



Concorde Investment Services, LLC
COMMISSION STATEMENT
December 15, 2017

12/15/2017
 Page No. 1

JOHN ROSS
 7261 W. Central Ave.

BROKER #: R119
 BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
12/04/2017	OBERT, RONALD	FORD MOTOR CO DEL COM PAR	-15,340.08	50.00	23.80	26.20	92.0	24.10
12/04/2017	OBERT, RONALD	WELLTOWER INC COM STK	26,746.24	40.00	22.60	17.40	92.0	16.01
* STOCKS SUBTOTAL *			\$11,406.16	\$90.00	\$46.40	\$43.60		\$40.11
*** CLEARING TRANSACTIONS TOTAL ***			\$11,406.16	\$90.00	\$46.40	\$43.60		\$40.11

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/08/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	92.0	4.60
* 529 PLANS SUBTOTAL *			\$100.00	\$5.00	\$0.00	\$5.00		\$4.60

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/04/2017	DRUCKENMILLER, CHRISTINA	AM FUNDS BALANCED PORT A	75,000.00	2,062.50	0.00	2,062.50	92.0	1,897.50
12/06/2017	ZENK, DERECK	AM FUNDS BALANCED PORT A	4,557.40	227.87	0.00	227.87	92.0	209.64
12/04/2017	DRUCKENMILLER, CHRISTINA	AM FUNDS GROWTH AND INCOME A	75,000.00	2,062.50	0.00	2,062.50	92.0	1,897.50
12/06/2017	ZENK, DERECK	AM FUNDS GROWTH AND INCOME A	1,970.44	98.52	0.00	98.52	92.0	90.64
12/04/2017	DRUCKENMILLER, CHRISTINA	AM FUNDS INCOME PORTFOLIO A	59,857.11	1,646.07	0.00	1,646.07	92.0	1,514.38
12/07/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	431.29	4.31	0.00	4.31	92.0	3.97
11/27/2017	PLAN	PUTNAM MULTI CAP GROWTH A	25.00	1.25	0.00	1.25	92.0	1.15
11/27/2017	PLAN	PUTNAM MULTI CAP GROWTH A	25.00	1.25	0.00	1.25	92.0	1.15
* MUTUAL FUNDS SUBTOTAL *			\$216,866.24	\$6,104.27	\$0.00	\$6,104.27		\$5,615.93

<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	IRWIN, JOHN	JNL ELITE ACCESS	155,083.73	32.31	0.00	32.31	92.0	29.73
11/30/2017	DEMKO, VERNA	JNL PERSPECTIVE	49,700.44	10.35	0.00	10.35	92.0	9.52
11/30/2017	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,415.99	1.42	0.00	1.42	92.0	1.31
11/30/2017	LONG, LORI	JNL PERSPECTIVE L	14,803.42	12.34	0.00	12.34	92.0	11.35

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	BENSCH, ARLYN	JNL PERSPECTIVE L	33,636.01	28.03	0.00	28.03	92.0	25.79
11/30/2017	BENSCH, CANDACE	JNL PERSPECTIVE L	28,612.57	23.84	0.00	23.84	92.0	21.93
11/30/2017	KRALL, JERRY	JOHN HANCOCK VENTURE III	42,407.94	35.34	0.00	35.34	92.0	32.51
11/30/2017	KEEFE, GERALD	JOHN HANCOCK VENTURE III	14,653.89	12.21	0.00	12.21	92.0	11.23
11/30/2017	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	112,839.88	94.03	0.00	94.03	92.0	86.51
11/30/2017	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	37,684.99	31.40	0.00	31.40	92.0	28.89
11/30/2017	GARDNER, WM	JOHN HANCOCK VENTURE III	131,907.85	109.92	0.00	109.92	92.0	101.13
11/30/2017	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	67,390.52	56.16	0.00	56.16	92.0	51.67
11/30/2017	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	63,051.36	52.54	0.00	52.54	92.0	48.34
11/30/2017	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	96,721.91	80.60	0.00	80.60	92.0	74.15
11/30/2017	MOORE, GARY	JOHN HANCOCK VENTURE III	87,841.75	73.20	0.00	73.20	92.0	67.34
11/30/2017	IRWIN, JOHN	JOHN HANCOCK VENTURE III	72,840.09	60.70	0.00	60.70	92.0	55.84
11/30/2017	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	59,672.05	49.73	0.00	49.73	92.0	45.75
11/30/2017	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	59,298.06	49.42	0.00	49.42	92.0	45.47
11/29/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
11/14/2017	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	148,928.12	124.11	0.00	124.11	92.0	114.18
11/20/2017	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	107,391.98	89.49	0.00	89.49	92.0	82.33
11/21/2017	DEMKO, VERNA	TRANSAMERICA LIBERTY	83,370.88	69.48	0.00	69.48	92.0	63.92
11/22/2017	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	195,872.57	163.23	0.00	163.23	92.0	150.17
11/27/2017	ROSS, SUSAN	TRANSAMERICA LIBERTY	4,490.80	3.74	0.00	3.74	92.0	3.44
11/29/2017	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	27,878.85	23.23	0.00	23.23	92.0	21.37
* VARIABLE ANNUITIES SUBTOTAL *			\$1,699,635.65	\$1,294.52	\$0.00	\$1,294.52		\$1,190.95
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KIEFER, SUSAN	AM FUNDS 2010 TARGET DATE-A	0.00	6.12	0.00	6.12	92.0	5.63
12/01/2017	TROUT, TINA	AM FUNDS 2020 TARGET DATE-A	0.00	7.62	0.00	7.62	92.0	7.01
12/01/2017	MAWHORTER, TIMOTHY	AM FUNDS 2045 TARGET DATE-A	0.00	9.60	0.00	9.60	92.0	8.83
12/01/2017	ZABORSKI, PAUL	AM FUNDS 2050 TARGET DATE-A	0.00	0.06	0.00	0.06	92.0	0.06
12/01/2017	KIEFER, SUSAN	AM FUNDS 2055 TARGET DATE-A	0.00	2.46	0.00	2.46	92.0	2.26
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP 529A	0.00	2.04	0.00	2.04	92.0	1.88
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	3.00	0.00	3.00	92.0	2.76
12/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	3.00	0.00	3.00	92.0	2.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BLAKE, MIRIAM	AM FUNDS AMCAP A	0.00	2.60	0.00	2.60	92.0	2.39
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMCAP A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	HEINAMAN, ROBERT	AM FUNDS AMCAP A	0.00	14.92	0.00	14.92	92.0	13.73
12/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.19	0.00	1.19	92.0	1.09
12/01/2017	ROSS, SALLY	AM FUNDS AMCAP A	0.00	1.68	0.00	1.68	92.0	1.55
12/01/2017	KRALL, GARY	AM FUNDS AMCAP A	0.00	2.48	0.00	2.48	92.0	2.28
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMCAP A	0.00	1.88	0.00	1.88	92.0	1.73
12/01/2017	RONEY, LINDA	AM FUNDS AMCAP A	0.00	29.21	0.00	29.21	92.0	26.87
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP A	0.00	4.01	0.00	4.01	92.0	3.69
12/01/2017	DAY, CHERYL	AM FUNDS AMCAP A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP A	0.00	1.66	0.00	1.66	92.0	1.53
12/01/2017	GOYER, TIMOTHY	AM FUNDS AMCAP A	0.00	2.00	0.00	2.00	92.0	1.84
12/01/2017	SMOOT, C STEVEN	AM FUNDS AMCAP A	0.00	20.37	0.00	20.37	92.0	18.74
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS AMCAP A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	MURPHY, JACK	AM FUNDS AMCAP A	0.00	2.37	0.00	2.37	92.0	2.18
12/01/2017	GLORE, DANIEL	AM FUNDS AMCAP A	0.00	1.05	0.00	1.05	92.0	0.97
12/01/2017	MURPHY, CAROL	AM FUNDS AMCAP A	0.00	4.39	0.00	4.39	92.0	4.04
12/01/2017	SHAFFER, DENISE	AM FUNDS AMCAP A	0.00	3.54	0.00	3.54	92.0	3.26
12/01/2017	ISAACSON, ROBERT	AM FUNDS AMCAP A	0.00	2.30	0.00	2.30	92.0	2.12
12/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	19.49	0.00	19.49	92.0	17.93
12/01/2017	DECKER, MARY BETH	AM FUNDS AMCAP A	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	HAUSER, ROBERT	AM FUNDS AMCAP A	0.00	11.01	0.00	11.01	92.0	10.13
12/01/2017	HAUSER, RONALD	AM FUNDS AMCAP A	0.00	4.57	0.00	4.57	92.0	4.20
12/01/2017	TARRIS, CHRISTINE	AM FUNDS AMCAP A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	2.69	0.00	2.69	92.0	2.47
12/01/2017	MOLNAR, JOSEPH	AM FUNDS AMCAP A	0.00	1.43	0.00	1.43	92.0	1.32
12/01/2017	ROSS, DANIEL	AM FUNDS AMCAP A	0.00	1.41	0.00	1.41	92.0	1.30
12/01/2017	FAIRCHILD, DANA	AM FUNDS AMCAP A	0.00	5.14	0.00	5.14	92.0	4.73
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMCAP A	0.00	1.38	0.00	1.38	92.0	1.27
12/01/2017	CURSON, STEVE	AM FUNDS AMCAP A	0.00	1.71	0.00	1.71	92.0	1.57
12/01/2017	LECHUGA, CARRIE	AM FUNDS AMCAP A	0.00	0.59	0.00	0.59	92.0	0.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KISER, ELIZABETH	AM FUNDS AMCAP A	0.00	1.49	0.00	1.49	92.0	1.37
12/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.49	0.00	1.49	92.0	1.37
12/01/2017	OBERT, DEBORA	AM FUNDS AMCAP A	0.00	1.14	0.00	1.14	92.0	1.05
12/01/2017	FLEMING, ANDREA	AM FUNDS AMCAP A	0.00	6.91	0.00	6.91	92.0	6.36
12/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	HILES, MARC	AM FUNDS AMCAP A	0.00	3.24	0.00	3.24	92.0	2.98
12/01/2017	SMITH, SUZANNE	AM FUNDS AMCAP A	0.00	7.30	0.00	7.30	92.0	6.72
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMCAP A	0.00	0.97	0.00	0.97	92.0	0.89
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMCAP A	0.00	1.46	0.00	1.46	92.0	1.34
12/01/2017	GOYER, CALLIE	AM FUNDS AMCAP A	0.00	3.58	0.00	3.58	92.0	3.29
12/01/2017	SMITH, MARK	AM FUNDS AMCAP A	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	SMITH, PADRAIC	AM FUNDS AMCAP A	0.00	2.96	0.00	2.96	92.0	2.72
12/01/2017	HALSEY, WILLIAM D	AM FUNDS AMCAP A	0.00	11.63	0.00	11.63	92.0	10.70
12/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.78	0.00	0.78	92.0	0.72
12/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.22	0.00	0.22	92.0	0.20
12/01/2017	GERMAN, MARIANNE	AM FUNDS AMCAP A	0.00	2.18	0.00	2.18	92.0	2.01
12/01/2017	GODFREY, TIMOTHY	AM FUNDS AMCAP A	0.00	0.76	0.00	0.76	92.0	0.70
12/01/2017	ZINK, ROBERT	AM FUNDS AMCAP A	0.00	4.75	0.00	4.75	92.0	4.37
12/01/2017	LARSON, PENNY	AM FUNDS AMCAP A	0.00	1.21	0.00	1.21	92.0	1.11
12/01/2017	GOYER, GRACE	AM FUNDS AMCAP A	0.00	1.69	0.00	1.69	92.0	1.55
12/01/2017	MCFARLAND, BRANDON	AM FUNDS AMCAP A	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	DRAKE, ERIC	AM FUNDS AMCAP A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	GROSVENOR, JOHN	AM FUNDS AMCAP A	0.00	0.78	0.00	0.78	92.0	0.72
12/01/2017	MOON, CHARLES	AM FUNDS AMCAP A	0.00	1.55	0.00	1.55	92.0	1.43
12/01/2017	COLEMAN, PARISS	AM FUNDS AMCAP A	0.00	3.20	0.00	3.20	92.0	2.94
12/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN BALANCED 529A	0.00	1.33	0.00	1.33	92.0	1.22
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	4.51	0.00	4.51	92.0	4.15
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	DREIER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	92.0	1.26
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.11	0.00	1.11	92.0	1.02
12/01/2017	HEINAMAN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	33.28	0.00	33.28	92.0	30.62
12/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	3.06	0.00	3.06	92.0	2.82
12/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	1.09	0.00	1.09	92.0	1.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MILLER, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.41	0.00	1.41	92.0	1.30
12/01/2017	SWINDLE, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.81	0.00	0.81	92.0	0.75
12/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	92.0	0.47
12/01/2017	KRALL, GARY	AM FUNDS AMERICAN BALANCED A	0.00	5.96	0.00	5.96	92.0	5.48
12/01/2017	RONEY, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	3.35	0.00	3.35	92.0	3.08
12/01/2017	ZUCCARELL, HEATHER	AM FUNDS AMERICAN BALANCED A	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.98	0.00	0.98	92.0	0.90
12/01/2017	WOODRUFF, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	2.06	0.00	2.06	92.0	1.90
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED A	0.00	2.49	0.00	2.49	92.0	2.29
12/01/2017	MOORE, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	6.48	0.00	6.48	92.0	5.96
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN BALANCED A	0.00	1.88	0.00	1.88	92.0	1.73
12/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN BALANCED A	0.00	2.49	0.00	2.49	92.0	2.29
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	2.96	0.00	2.96	92.0	2.72
12/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	1.99	0.00	1.99	92.0	1.83
12/01/2017	MURPHY, JACK	AM FUNDS AMERICAN BALANCED A	0.00	2.26	0.00	2.26	92.0	2.08
12/01/2017	HUDAK, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	92.0	0.72
12/01/2017	HUDAK, STASIA	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	92.0	1.08
12/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	2.71	0.00	2.71	92.0	2.49
12/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN BALANCED A	0.00	3.66	0.00	3.66	92.0	3.37
12/01/2017	WASSERMAN, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	92.0	1.29
12/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	24.00	0.00	24.00	92.0	22.08
12/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	1.18	0.00	1.18	92.0	1.09
12/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	19.14	0.00	19.14	92.0	17.61
12/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.66	0.00	2.66	92.0	2.45
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.61	0.00	7.61	92.0	7.00
12/01/2017	HUDAK, DARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.21	0.00	3.21	92.0	2.95
12/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	2.79	0.00	2.79	92.0	2.57
12/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN BALANCED A	0.00	2.27	0.00	2.27	92.0	2.09
12/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	92.0	1.66
12/01/2017	HELMINIYAK, CAROLYN	AM FUNDS AMERICAN BALANCED A	0.00	2.47	0.00	2.47	92.0	2.27
12/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN BALANCED A	0.00	2.79	0.00	2.79	92.0	2.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ROSS, KRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.08	0.00	2.08	92.0	1.91
12/01/2017	GARDNER, SHANNON	AM FUNDS AMERICAN BALANCED A	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	KISER, ELIZABETH	AM FUNDS AMERICAN BALANCED A	0.00	2.78	0.00	2.78	92.0	2.56
12/01/2017	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	2.78	0.00	2.78	92.0	2.56
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	BRILLHART, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	3.27	0.00	3.27	92.0	3.01
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	15.94	0.00	15.94	92.0	14.66
12/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	2.19	0.00	2.19	92.0	2.01
12/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	7.28	0.00	7.28	92.0	6.70
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	3.85	0.00	3.85	92.0	3.54
12/01/2017	SMITH, PADRAIC	AM FUNDS AMERICAN BALANCED A	0.00	3.05	0.00	3.05	92.0	2.81
12/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	6.66	0.00	6.66	92.0	6.13
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.69	0.00	0.69	92.0	0.63
12/01/2017	WASSERMAN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	92.0	0.23
12/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	4.56	0.00	4.56	92.0	4.20
12/01/2017	LARSON, PENNY	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	COUSINO, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	92.0	0.98
12/01/2017	BAKER-KANOUS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	5.69	0.00	5.69	92.0	5.23
12/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	92.0	0.34
12/01/2017	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	GROSVENOR, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.10	0.00	1.10	92.0	1.01
12/01/2017	STOUT, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.74	0.00	2.74	92.0	2.52
12/01/2017	FAIRCHILD, KERRY	AM FUNDS AMERICAN BALANCED A	0.00	4.85	0.00	4.85	92.0	4.46
12/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	92.0	1.13
12/01/2017	WEBBER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	92.0	0.19
12/01/2017	BIHN, JANELLE	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	92.0	0.99
12/01/2017	YOUNG, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	4.99	0.00	4.99	92.0	4.59
12/01/2017	WHALEN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	4.92	0.00	4.92	92.0	4.53
12/01/2017	DEMKO, VERNA	AM FUNDS AMERICAN BALANCED A	0.00	8.40	0.00	8.40	92.0	7.73
12/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	ROSS, NICOLE	AM FUNDS AMERICAN BALANCED A	0.00	1.69	0.00	1.69	92.0	1.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN BALANCED A	0.00	4.78	0.00	4.78	92.0	4.40
12/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.29	0.00	0.29	92.0	0.27
12/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	DREIER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.29	0.00	0.29	92.0	0.27
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.91	0.00	1.91	92.0	1.76
12/01/2017	KRALL, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.36	0.00	1.36	92.0	1.25
12/01/2017	GOYER, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.22	0.00	6.22	92.0	5.72
12/01/2017	MOORE, LINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.14	0.00	3.14	92.0	2.89
12/01/2017	ZAENGER, KYLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.93	0.00	0.93	92.0	0.86
12/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	URSITTI, MATTHEW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	KREMPA, CLAUDE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.77	0.00	2.77	92.0	2.55
12/01/2017	SHAFFER, LOREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	HUNTER, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.26	0.00	4.26	92.0	3.92
12/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.54	0.00	0.54	92.0	0.50
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.22	0.00	1.22	92.0	1.12
12/01/2017	KOTLARCZYK, JANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	GLORE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.40	0.00	1.40	92.0	1.29
12/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.33	0.00	4.33	92.0	3.98
12/01/2017	BIHN, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.76	0.00	0.76	92.0	0.70
12/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.00	0.00	23.00	92.0	21.16
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.98	0.00	0.98	92.0	0.90
12/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.25	0.00	2.25	92.0	2.07
12/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.25	0.00	3.25	92.0	2.99
12/01/2017	CASTOR, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	REED, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.68	0.00	2.68	92.0	2.47
12/01/2017	REED, COLLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.68	0.00	2.68	92.0	2.47
12/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	ROSS, PATRICK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	ZARAGOZA, JULIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.51	0.00	0.51	92.0	0.47
12/01/2017	ZARAGOZA, VICTOR	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.51	0.00	0.51	92.0	0.47

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.70	0.00	5.70	92.0	5.24
12/01/2017	CESSNA, JENI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.87	0.00	0.87	92.0	0.80
12/01/2017	WARNER, COREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.89	0.00	3.89	92.0	3.58
12/01/2017	SCANLAN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	GERMAN, MARIANNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.29	0.00	1.29	92.0	1.19
12/01/2017	CARVER, DENISE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.36	0.00	0.36	92.0	0.33
12/01/2017	FISCHER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.17	0.00	1.17	92.0	1.08
12/01/2017	HAUETER, GREGORY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.15	0.00	2.15	92.0	1.98
12/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.67	0.00	13.67	92.0	12.58
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.21	0.00	10.21	92.0	9.39
12/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.32	0.00	2.32	92.0	2.13
12/01/2017	KORAKAS, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.60	0.00	1.60	92.0	1.47
12/01/2017	HILES, MARC	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.20	0.00	2.20	92.0	2.02
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.50	0.00	1.50	92.0	1.38
12/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.94	0.00	1.94	92.0	1.78
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	92.0	0.23
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	DEMKO, VERNA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.09	0.00	3.09	92.0	2.84
12/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.53	0.00	6.53	92.0	6.01
12/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.03	0.00	3.03	92.0	2.79
12/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.03	0.00	3.03	92.0	2.79
12/01/2017	MOORE, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.22	0.00	1.22	92.0	1.12
12/01/2017	BENSCH, CANDACE	AM FUNDS AMERICAN MUTUAL A	0.00	1.66	0.00	1.66	92.0	1.53
12/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN MUTUAL A	0.00	1.75	0.00	1.75	92.0	1.61
12/01/2017	DREIER, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.46	0.00	1.46	92.0	1.34
12/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	1.44	0.00	1.44	92.0	1.32
12/01/2017	ROSS, SALLY	AM FUNDS AMERICAN MUTUAL A	0.00	3.24	0.00	3.24	92.0	2.98
12/01/2017	KRALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.84	0.00	3.84	92.0	3.53
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMERICAN MUTUAL A	0.00	2.56	0.00	2.56	92.0	2.36
12/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN MUTUAL A	0.00	0.20	0.00	0.20	92.0	0.18

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MOORE, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	5.69	0.00	5.69	92.0	5.23
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN MUTUAL A	0.00	0.81	0.00	0.81	92.0	0.75
12/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.56	0.00	2.56	92.0	2.36
12/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN MUTUAL A	0.00	1.32	0.00	1.32	92.0	1.21
12/01/2017	MURPHY, JACK	AM FUNDS AMERICAN MUTUAL A	0.00	2.40	0.00	2.40	92.0	2.21
12/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN MUTUAL A	0.00	2.88	0.00	2.88	92.0	2.65
12/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN MUTUAL A	0.00	4.97	0.00	4.97	92.0	4.57
12/01/2017	ISAACSON, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	9.82	0.00	9.82	92.0	9.03
12/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	19.11	0.00	19.11	92.0	17.58
12/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	15.89	0.00	15.89	92.0	14.62
12/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	5.44	0.00	5.44	92.0	5.00
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN MUTUAL A	0.00	1.32	0.00	1.32	92.0	1.21
12/01/2017	SUTHERLAND, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.97	0.00	1.97	92.0	1.81
12/01/2017	KORAL, ANDREW	AM FUNDS AMERICAN MUTUAL A	0.00	1.21	0.00	1.21	92.0	1.11
12/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN MUTUAL A	0.00	2.00	0.00	2.00	92.0	1.84
12/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN MUTUAL A	0.00	3.78	0.00	3.78	92.0	3.48
12/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN MUTUAL A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	HELMINIAC, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	4.21	0.00	4.21	92.0	3.87
12/01/2017	CURSON, STEVE	AM FUNDS AMERICAN MUTUAL A	0.00	1.99	0.00	1.99	92.0	1.83
12/01/2017	GARDNER, SHANNON	AM FUNDS AMERICAN MUTUAL A	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	LECHUGA, CARRIE	AM FUNDS AMERICAN MUTUAL A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	SCHNEE, LEO	AM FUNDS AMERICAN MUTUAL A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	OBERT, DEBORA	AM FUNDS AMERICAN MUTUAL A	0.00	1.16	0.00	1.16	92.0	1.07
12/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN MUTUAL A	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN MUTUAL A	0.00	7.95	0.00	7.95	92.0	7.31
12/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.79	0.00	3.79	92.0	3.49
12/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.49	0.00	1.49	92.0	1.37
12/01/2017	HILES, MARC	AM FUNDS AMERICAN MUTUAL A	0.00	5.56	0.00	5.56	92.0	5.12
12/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN MUTUAL A	0.00	6.57	0.00	6.57	92.0	6.04
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	2.63	0.00	2.63	92.0	2.42
12/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN MUTUAL A	0.00	7.01	0.00	7.01	92.0	6.45
12/01/2017	MCLAUGHLIN, JAIME	AM FUNDS AMERICAN MUTUAL A	0.00	0.19	0.00	0.19	92.0	0.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.95	0.00	1.95	92.0	1.79
12/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	GODFREY, TIMOTHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.65	0.00	4.65	92.0	4.28
12/01/2017	LARSON, PENNY	AM FUNDS AMERICAN MUTUAL A	0.00	3.11	0.00	3.11	92.0	2.86
12/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN MUTUAL A	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	DRAKE, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN MUTUAL A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	STOUT, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	2.08	0.00	2.08	92.0	1.91
12/01/2017	YOUNG, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	4.97	0.00	4.97	92.0	4.57
12/01/2017	DEMKO, VERNA	AM FUNDS AMERICAN MUTUAL A	0.00	4.74	0.00	4.74	92.0	4.36
12/01/2017	MOON, CHARLES	AM FUNDS AMERICAN MUTUAL A	0.00	2.08	0.00	2.08	92.0	1.91
12/01/2017	ROSS, NICOLE	AM FUNDS AMERICAN MUTUAL A	0.00	0.16	0.00	0.16	92.0	0.15
12/01/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	0.00	16.66	0.00	16.66	92.0	15.33
12/01/2017	VALADE, JOHN	AM FUNDS BALANCED PORT A	0.00	38.06	0.00	38.06	92.0	35.02
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS BALANCED PORT A	0.00	0.15	0.00	0.15	92.0	0.14
12/01/2017	ROSS, DANIEL	AM FUNDS BALANCED PORT A	0.00	1.10	0.00	1.10	92.0	1.01
12/01/2017	WALBERG, PAUL	AM FUNDS BALANCED PORT A	0.00	44.83	0.00	44.83	92.0	41.24
12/01/2017	ROSS, NICOLE	AM FUNDS BALANCED PORT A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	LETT, TRACY	AM FUNDS BALANCED PORT A	0.00	18.30	0.00	18.30	92.0	16.84
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS BALANCED PORT A	0.00	0.24	0.00	0.24	92.0	0.22
12/01/2017	HUDSON-ROSS, MICHELLE	AM FUNDS BALANCED PORT A	0.00	0.07	0.00	0.07	92.0	0.06
12/01/2017	HEINAMAN, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
12/01/2017	BLAKE, MIRIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.40	0.00	1.40	92.0	1.29
12/01/2017	DREIER, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	0.81	0.00	0.81	92.0	0.75
12/01/2017	SANDERSON, CATHY	AM FUNDS BOND FUND OF AMERICA A	0.00	1.29	0.00	1.29	92.0	1.19
12/01/2017	MILLER, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.94	0.00	0.94	92.0	0.86
12/01/2017	PEARSON, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.24	0.00	0.24	92.0	0.22
12/01/2017	KRALL, GARY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.38	0.00	3.38	92.0	3.11
12/01/2017	DAY, CHERYL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
12/01/2017	MOORE, LINDA	AM FUNDS BOND FUND OF AMERICA A	0.00	3.23	0.00	3.23	92.0	2.97
12/01/2017	KREMPA, CLAUDE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.29	0.00	2.29	92.0	2.11
12/01/2017	MURPHY, JACK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.64	0.00	1.64	92.0	1.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	IRWIN, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	HAUSER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	5.30	0.00	5.30	92.0	4.88
12/01/2017	CURSON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	GARDNER, SHANNON	AM FUNDS BOND FUND OF AMERICA A	0.00	0.10	0.00	0.10	92.0	0.09
12/01/2017	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	2.21	0.00	2.21	92.0	2.03
12/01/2017	WALBERG, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	COUSINO, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	ROSS, NICOLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	DONNELLY, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	DEMKO, VERNA	AM FUNDS BOND FUND OF AMERICA A	0.00	3.08	0.00	3.08	92.0	2.83
12/01/2017	HUDSON-ROSS, MICHELLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.04	0.00	1.04	92.0	0.96
12/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.20	0.00	3.20	92.0	2.94
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.86	0.00	1.86	92.0	1.71
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.10	0.00	0.10	92.0	0.09
12/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.04	0.00	1.04	92.0	0.96
12/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.82	0.00	3.82	92.0	3.51
12/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.82	0.00	3.82	92.0	3.51
12/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.10	0.00	0.10	92.0	0.09
12/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.40	0.00	3.40	92.0	3.13
12/01/2017	MOORE, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	BENSCH, CANDACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.67	0.00	1.67	92.0	1.54
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.87	0.00	0.87	92.0	0.80
12/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.26	0.00	22.26	92.0	20.48
12/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.41	0.00	2.41	92.0	2.22
12/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	92.0	0.64
12/01/2017	ROSS, SALLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	92.0	3.08

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HENDERSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	92.0	1.74
12/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	92.0	0.32
12/01/2017	KRALL, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.33	0.00	4.33	92.0	3.98
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.37	0.00	7.37	92.0	6.78
12/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	92.0	0.66
12/01/2017	DAY, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
12/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.82	0.00	1.82	92.0	1.67
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.38	0.00	1.38	92.0	1.27
12/01/2017	MOORE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.43	0.00	5.43	92.0	5.00
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.70	0.00	1.70	92.0	1.56
12/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	GRANT, MEGAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	92.0	0.26
12/01/2017	GRANT, AUDREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.90	0.00	22.90	92.0	21.07
12/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.07	0.00	3.07	92.0	2.82
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.63	0.00	3.63	92.0	3.34
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.33	0.00	1.33	92.0	1.22
12/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	92.0	1.30
12/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.87	0.00	2.87	92.0	2.64
12/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.85	0.00	0.85	92.0	0.78
12/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	0.00	2.00	92.0	1.84
12/01/2017	ZENK, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
12/01/2017	MURPHY, JACK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.21	0.00	4.21	92.0	3.87
12/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.61	0.00	5.61	92.0	5.16
12/01/2017	BIHN, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.10	0.00	2.10	92.0	1.93
12/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.96	0.00	4.96	92.0	4.56
12/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	26.26	0.00	26.26	92.0	24.16
12/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.01	0.00	20.01	92.0	18.41
12/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.25	0.00	8.25	92.0	7.59

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.89	0.00	5.89	92.0	5.42
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.12	0.00	7.12	92.0	6.55
12/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.59	0.00	4.59	92.0	4.22
12/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.52	0.00	4.52	92.0	4.16
12/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	ROSS, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.11	0.00	4.11	92.0	3.78
12/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.15	0.00	2.15	92.0	1.98
12/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.05	0.00	3.05	92.0	2.81
12/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.39	0.00	3.39	92.0	3.12
12/01/2017	CURSON, STEVE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.66	0.00	2.66	92.0	2.45
12/01/2017	REED, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.94	0.00	1.94	92.0	1.78
12/01/2017	REED, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.94	0.00	1.94	92.0	1.78
12/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.63	0.00	2.63	92.0	2.42
12/01/2017	ROSS, KRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.28	0.00	2.28	92.0	2.10
12/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
12/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	92.0	0.96
12/01/2017	KISER, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	92.0	1.09
12/01/2017	ROSS, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	92.0	0.57
12/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.53	0.00	1.53	92.0	1.41
12/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	92.0	0.27
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.88	0.00	13.88	92.0	12.77
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.59	0.00	1.59	92.0	1.46
12/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	WARNER, COREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.85	0.00	10.85	92.0	9.98
12/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.99	0.00	3.99	92.0	3.67
12/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
12/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	92.0	1.74
12/01/2017	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	KRALL, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.15	0.00	0.15	92.0	0.14
12/01/2017	BRILLHART, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	92.0	0.32
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	92.0	0.87

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.70	0.00	3.70	92.0	3.40
12/01/2017	KOZLOWSKI, KENNETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
12/01/2017	HAUETER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	92.0	1.38
12/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.68	0.00	12.68	92.0	11.67
12/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.33	0.00	1.33	92.0	1.22
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.46	0.00	18.46	92.0	16.98
12/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.42	0.00	3.42	92.0	3.15
12/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.43	0.00	3.43	92.0	3.16
12/01/2017	IRWIN, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
12/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	HILES, MARC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.46	0.00	4.46	92.0	4.10
12/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.15	0.00	2.15	92.0	1.98
12/01/2017	SMITH, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.78	0.00	4.78	92.0	4.40
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	92.0	0.83
12/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.52	0.00	2.52	92.0	2.32
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.96	0.00	3.96	92.0	3.64
12/01/2017	PELLIONI, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.05	0.00	6.05	92.0	5.57
12/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.64	0.00	8.64	92.0	7.95
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.19	0.00	3.19	92.0	2.93
12/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.19	0.00	3.19	92.0	2.93
12/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	WASSERMAN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.22	0.00	0.22	92.0	0.20
12/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	92.0	1.82
12/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.69	0.00	5.69	92.0	5.23
12/01/2017	LARSON, PENNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.83	0.00	2.83	92.0	2.60
12/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	92.0	1.50
12/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
12/01/2017	WHITTAKER, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.35	0.00	4.35	92.0	4.00
12/01/2017	GROSVENOR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.07	0.00	1.07	92.0	0.98
12/01/2017	STOUT, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.07	0.00	2.07	92.0	1.90
12/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.99	0.00	6.99	92.0	6.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BIHN, JANELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	92.0	0.98
12/01/2017	SPINKS, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.98	0.00	4.98	92.0	4.58
12/01/2017	DEMKO, VERNA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.19	0.00	8.19	92.0	7.53
12/01/2017	MOON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.26	0.00	2.26	92.0	2.08
12/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.59	0.00	1.59	92.0	1.46
12/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.69	0.00	10.69	92.0	9.83
12/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.10	0.00	2.10	92.0	1.93
12/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.17	0.00	3.17	92.0	2.92
12/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.17	0.00	3.17	92.0	2.92
12/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	4.18	0.00	4.18	92.0	3.85
12/01/2017	MOORE, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.07	0.00	0.07	92.0	0.06
12/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.80	0.00	1.80	92.0	1.66
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL WORLD BOND A	0.00	1.32	0.00	1.32	92.0	1.21
12/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD BOND A	0.00	0.94	0.00	0.94	92.0	0.86
12/01/2017	MOORE, LINDA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.47	0.00	2.47	92.0	2.27
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.72	0.00	0.72	92.0	0.66
12/01/2017	MURPHY, JACK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	HUDAK, NICHOLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.34	0.00	0.34	92.0	0.31
12/01/2017	HUDAK, STASIA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD BOND A	0.00	2.06	0.00	2.06	92.0	1.90
12/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	9.96	0.00	9.96	92.0	9.16
12/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	20.37	0.00	20.37	92.0	18.74
12/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	5.72	0.00	5.72	92.0	5.26
12/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.21	0.00	1.21	92.0	1.11
12/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	92.0	0.16
12/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.82	0.00	0.82	92.0	0.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.99	0.00	0.99	92.0	0.91
12/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.70	0.00	1.70	92.0	1.56
12/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.19	0.00	0.19	92.0	0.17
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.11	0.00	0.11	92.0	0.10
12/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	4.31	0.00	4.31	92.0	3.97
12/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL WORLD BOND A	0.00	0.10	0.00	0.10	92.0	0.09
12/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL WORLD BOND A	0.00	0.53	0.00	0.53	92.0	0.49
12/01/2017	WALLS, CONNOR	AM FUNDS CAPITAL WORLD BOND A	0.00	1.71	0.00	1.71	92.0	1.57
12/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL WORLD BOND A	0.00	4.67	0.00	4.67	92.0	4.30
12/01/2017	MOON, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.50	0.00	1.50	92.0	1.38
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.88	0.00	1.88	92.0	1.73
12/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.75	0.00	7.75	92.0	7.13
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.24	0.00	3.24	92.0	2.98
12/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	92.0	0.89
12/01/2017	DREIER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.39	0.00	6.39	92.0	5.88
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.09	0.00	15.09	92.0	13.88
12/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.59	0.00	2.59	92.0	2.38
12/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.15	0.00	2.15	92.0	1.98
12/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.71	0.00	0.71	92.0	0.65
12/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.77	0.00	1.77	92.0	1.63

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.56	0.00	32.56	92.0	29.96
12/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.30	0.00	5.30	92.0	4.88
12/01/2017	MOLNAR, CONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.97	0.00	3.97	92.0	3.65
12/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.76	0.00	1.76	92.0	1.62
12/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	DAY, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	92.0	0.50
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	92.0	0.18
12/01/2017	GOYER, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.40	0.00	4.40	92.0	4.05
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.66	0.00	0.66	92.0	0.61
12/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.47	0.00	26.47	92.0	24.35
12/01/2017	BENSCH, ARLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.82	0.00	3.82	92.0	3.51
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.09	0.00	5.09	92.0	4.68
12/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.73	0.00	1.73	92.0	1.59
12/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.68	0.00	3.68	92.0	3.39
12/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.86	0.00	2.86	92.0	2.63
12/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	92.0	1.09
12/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.82	0.00	7.82	92.0	7.19
12/01/2017	BIHN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	92.0	3.42
12/01/2017	SHAFFER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.21	0.00	4.21	92.0	3.87
12/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.77	0.00	5.77	92.0	5.31
12/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.21	0.00	19.21	92.0	17.67
12/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.08	0.00	8.08	92.0	7.43
12/01/2017	WALLS, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	92.0	0.47
12/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.78	0.00	3.78	92.0	3.48
12/01/2017	MCLAUGHLIN, JAIME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	KRAUS, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	92.0	2.23
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.72	0.00	5.72	92.0	5.26
12/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.47	0.00	6.47	92.0	5.95
12/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.61	0.00	1.61	92.0	1.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.54	0.00	3.54	92.0	3.26
12/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	92.0	1.30
12/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.94	0.00	3.94	92.0	3.62
12/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	92.0	1.02
12/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	92.0	0.86
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	92.0	2.56
12/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.26	0.00	2.26	92.0	2.08
12/01/2017	REED, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
12/01/2017	REED, COLLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
12/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	92.0	2.76
12/01/2017	MORRIS, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.12	0.00	0.12	92.0	0.11
12/01/2017	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	ROSS, KRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	KISER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.90	0.00	8.90	92.0	8.19
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.91	0.00	14.91	92.0	13.72
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.42	0.00	1.42	92.0	1.31
12/01/2017	MURD, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	WARNER, COREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.26	0.00	11.26	92.0	10.36
12/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.37	0.00	5.37	92.0	4.94
12/01/2017	OBERT, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	92.0	0.93
12/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.02	0.00	1.02	92.0	0.94
12/01/2017	CARVER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	FISCHER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.86	0.00	3.86	92.0	3.55
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.55	0.00	2.55	92.0	2.35
12/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.19	0.00	2.19	92.0	2.01
12/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.90	0.00	11.90	92.0	10.95

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.87	0.00	18.87	92.0	17.36
12/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.71	0.00	3.71	92.0	3.41
12/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	92.0	1.10
12/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.34	0.00	2.34	92.0	2.15
12/01/2017	HILES, MARC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.21	0.00	5.21	92.0	4.79
12/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.30	0.00	2.30	92.0	2.12
12/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.52	0.00	1.52	92.0	1.40
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	92.0	2.24
12/01/2017	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.80	0.00	9.80	92.0	9.02
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.75	0.00	1.75	92.0	1.61
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.34	0.00	0.34	92.0	0.31
12/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.76	0.00	0.76	92.0	0.70
12/01/2017	GOYER, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.16	0.00	3.16	92.0	2.91
12/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	92.0	2.72
12/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.33	0.00	5.33	92.0	4.90
12/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	92.0	1.23
12/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.45	0.00	5.45	92.0	5.01
12/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	BARE, HELEN	AM FUNDS COLLEGE 2030 FUND 529A	0.00	2.13	0.00	2.13	92.0	1.96
12/01/2017	COLEMAN, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.18	0.00	1.18	92.0	1.09
12/01/2017	HUNTER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.35	0.00	0.35	92.0	0.32
12/01/2017	BLAKE, MIRIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	DREIER, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.16	0.00	1.16	92.0	1.07
12/01/2017	COMBS, BRIAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.85	0.00	1.85	92.0	1.70
12/01/2017	SANDERSON, CATHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.04	0.00	1.04	92.0	0.96
12/01/2017	MILLER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	SWINDLE, DARRYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.51	0.00	1.51	92.0	1.39
12/01/2017	KOZIARSKI, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.50	0.00	7.50	92.0	6.90
12/01/2017	DECKER, MARY BETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	HOLT, JEAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.35	0.00	5.35	92.0	4.92
12/01/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.47	0.00	4.47	92.0	4.11
12/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.12	0.00	0.12	92.0	0.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	21.83	0.00	21.83	92.0	20.08
12/01/2017	KRALL, GARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.69	0.00	1.69	92.0	1.55
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.64	0.00	1.64	92.0	1.51
12/01/2017	MOLNAR, CONNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.90	0.00	2.90	92.0	2.67
12/01/2017	GOYER, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.82	0.00	2.82	92.0	2.59
12/01/2017	SMOOT, C STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	26.59	0.00	26.59	92.0	24.46
12/01/2017	MARKJA, BERNADINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.64	0.00	2.64	92.0	2.43
12/01/2017	URSITTI, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.97	0.00	2.97	92.0	2.73
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	SHAFFER, LOREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	HUNTER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.24	0.00	3.24	92.0	2.98
12/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	MURPHY, JACK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.51	0.00	1.51	92.0	1.39
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.76	0.00	0.76	92.0	0.70
12/01/2017	KOTLARCZYK, JANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.84	0.00	0.84	92.0	0.77
12/01/2017	HUDAK, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.91	0.00	0.91	92.0	0.84
12/01/2017	HUDAK, STASIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.91	0.00	0.91	92.0	0.84
12/01/2017	HARRISON, JEFFERY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.02	0.00	4.02	92.0	3.70
12/01/2017	GLORE, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.93	0.00	0.93	92.0	0.86
12/01/2017	MURPHY, CAROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.12	0.00	2.12	92.0	1.95
12/01/2017	SHAFFER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.00	0.00	4.00	92.0	3.68
12/01/2017	WALLS, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.67	0.00	1.67	92.0	1.54
12/01/2017	GLORE, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.36	0.00	3.36	92.0	3.09
12/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.75	0.00	1.75	92.0	1.61
12/01/2017	HELMINIAC, CAROLYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	92.0	0.79
12/01/2017	CURSON, STEVE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	REED, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.11	0.00	2.11	92.0	1.94
12/01/2017	REED, COLLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.11	0.00	2.11	92.0	1.94
12/01/2017	SILLIMAN, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.50	0.00	1.50	92.0	1.38
12/01/2017	GARDNER, SHANNON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	GARDNER, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.45	0.00	1.45	92.0	1.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KISER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.36	0.00	1.36	92.0	1.25
12/01/2017	KISER, EDWARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.42	0.00	1.42	92.0	1.31
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.43	0.00	6.43	92.0	5.92
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	28.63	0.00	28.63	92.0	26.34
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.41	0.00	1.41	92.0	1.30
12/01/2017	WARNER, COREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.88	0.00	6.88	92.0	6.33
12/01/2017	SCANLAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.29	0.00	2.29	92.0	2.11
12/01/2017	CARVER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.42	0.00	0.42	92.0	0.39
12/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.19	0.00	6.19	92.0	5.69
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.95	0.00	7.95	92.0	7.31
12/01/2017	KORAKAS, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	92.0	1.21
12/01/2017	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.13	0.00	2.13	92.0	1.96
12/01/2017	HALSEY, WILLIAM D	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.56	0.00	4.56	92.0	4.20
12/01/2017	DUNNE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.90	0.00	10.90	92.0	10.03
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	GOYER, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	WHITTAKER, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.83	0.00	4.83	92.0	4.44
12/01/2017	ROSS, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	18.65	0.00	18.65	92.0	17.16
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	COLEMAN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.68	0.00	1.68	92.0	1.55
12/01/2017	HUNTER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.29	0.00	0.29	92.0	0.27
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	DREIER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.94	0.00	1.94	92.0	1.78
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.47	0.00	8.47	92.0	7.79
12/01/2017	MILLER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.84	0.00	2.84	92.0	2.61
12/01/2017	SWINDLE, DARRYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.12	0.00	2.12	92.0	1.95
12/01/2017	KOZIARSKI, LAURA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	DECKER, MARY BETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	PEARSON, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	92.0	0.33
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.20	0.00	14.20	92.0	13.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KRALL, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.93	0.00	2.93	92.0	2.70
12/01/2017	MOLNAR, CONNIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.68	0.00	4.68	92.0	4.31
12/01/2017	RONEY, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	44.79	0.00	44.79	92.0	41.21
12/01/2017	IRELAN, TED	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	92.0	1.55
12/01/2017	ZUCCARELL, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.08	0.00	1.08	92.0	0.99
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.65	0.00	2.65	92.0	2.44
12/01/2017	WOODRUFF, AUSTIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.15	0.00	2.15	92.0	1.98
12/01/2017	GOYER, TIMOTHY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.00	0.00	3.00	92.0	2.76
12/01/2017	SMOOT, C STEVEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.76	0.00	29.76	92.0	27.38
12/01/2017	MARKJA, BERNADINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.50	0.00	4.50	92.0	4.14
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.55	0.00	1.55	92.0	1.43
12/01/2017	KREMPA, CLAUDE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.25	0.00	2.25	92.0	2.07
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	SHAFFER, LOREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.92	0.00	1.92	92.0	1.77
12/01/2017	HUNTER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.11	0.00	3.11	92.0	2.86
12/01/2017	MURPHY, JACK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.52	0.00	2.52	92.0	2.32
12/01/2017	KOTLARCZYK, JANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.02	0.00	2.02	92.0	1.86
12/01/2017	HUDAK, NICHOLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	HUDAK, STASIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	MURPHY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.71	0.00	5.71	92.0	5.25
12/01/2017	BIHN, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.11	0.00	3.11	92.0	2.86
12/01/2017	SHAFFER, DENISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.92	0.00	4.92	92.0	4.53
12/01/2017	WASSERMAN, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	IRWIN, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.71	0.00	4.71	92.0	4.33
12/01/2017	GLORE, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.25	0.00	5.25	92.0	4.83
12/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	92.0	2.24
12/01/2017	ROSS, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.32	0.00	2.32	92.0	2.13
12/01/2017	HELMINIAC, CAROLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.07	0.00	2.07	92.0	1.90
12/01/2017	CURSON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.02	0.00	1.02	92.0	0.94
12/01/2017	REED, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	92.0	2.24
12/01/2017	REED, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	92.0	2.24
12/01/2017	GARDNER, SHANNON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.71	0.00	1.71	92.0	1.57
12/01/2017	GARDNER, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.71	0.00	1.71	92.0	1.57

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ROSS, KRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.56	0.00	10.56	92.0	9.72
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	92.0	1.19
12/01/2017	WARNER, COREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.00	0.00	11.00	92.0	10.12
12/01/2017	SCANLAN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.48	0.00	6.48	92.0	5.96
12/01/2017	MURD, FRANCIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.19	0.00	0.19	92.0	0.17
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.17	0.00	1.17	92.0	1.08
12/01/2017	KONZ, ORVEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.60	0.00	2.60	92.0	2.39
12/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.03	0.00	10.03	92.0	9.23
12/01/2017	HORN, TARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.70	0.00	3.70	92.0	3.40
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.70	0.00	14.70	92.0	13.52
12/01/2017	HILES, MARC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.53	0.00	3.53	92.0	3.25
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.04	0.00	3.04	92.0	2.80
12/01/2017	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.30	0.00	3.30	92.0	3.04
12/01/2017	HALSEY, WILLIAM D	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.67	0.00	7.67	92.0	7.06
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	GOYER, GRACE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.57	0.00	2.57	92.0	2.36
12/01/2017	STOUT, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.86	0.00	2.86	92.0	2.63
12/01/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.34	0.00	1.34	92.0	1.23
12/01/2017	WHALEN, KELLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.30	0.00	5.30	92.0	4.88
12/01/2017	SCHERMBECK, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS GROWTH AND INCOME 529A	0.00	0.72	0.00	0.72	92.0	0.66
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS GROWTH AND INCOME 529A	0.00	0.21	0.00	0.21	92.0	0.19
12/01/2017	ROSS, NICOLE	AM FUNDS GROWTH AND INCOME A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	DONNELLY, EMILY	AM FUNDS GROWTH AND INCOME A	0.00	0.07	0.00	0.07	92.0	0.06
12/01/2017	DONNELLY, EMILY	AM FUNDS GROWTH AND INCOME A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	HUDSON-ROSS, MICHELLE	AM FUNDS GROWTH AND INCOME A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	COLEMAN, LINDA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.35	0.00	1.35	92.0	1.24
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	DREIER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	92.0	1.47
12/01/2017	HEINAMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.68	0.00	4.68	92.0	4.31
12/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	92.0	0.11
12/01/2017	KRALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.40	0.00	2.40	92.0	2.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ONEY, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.31	0.00	16.31	92.0	15.01
12/01/2017	ZUCCARELL, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.11	0.00	1.11	92.0	1.02
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	SANDERSON, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
12/01/2017	SHAFFER, LOREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	92.0	0.19
12/01/2017	MURPHY, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.51	0.00	2.51	92.0	2.31
12/01/2017	MURPHY, CAROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.81	0.00	2.81	92.0	2.59
12/01/2017	WALLS, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	MCLAUGHLIN, JAIME	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	MOLNAR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	92.0	1.21
12/01/2017	KORAL, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	ROSS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	92.0	1.32
12/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.09	0.00	9.09	92.0	8.36
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.62	0.00	1.62	92.0	1.49
12/01/2017	WARNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.70	0.00	3.70	92.0	3.40
12/01/2017	FLEMING, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.25	0.00	4.25	92.0	3.91
12/01/2017	HORN, TARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.71	0.00	3.71	92.0	3.41
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.23	0.00	10.23	92.0	9.41
12/01/2017	HILES, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.23	0.00	3.23	92.0	2.97
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	92.0	1.56
12/01/2017	RAY, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	92.0	0.25
12/01/2017	ZABORSKI, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	92.0	0.14
12/01/2017	SHOEMAKER, MARY BETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	KISER, EDWARD	AM FUNDS ICA 529C	0.00	11.34	0.00	11.34	92.0	10.43
12/01/2017	HEINAMAN, ROBERT	AM FUNDS ICA A	0.00	10.35	0.00	10.35	92.0	9.52
12/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	1.92	0.00	1.92	92.0	1.77
12/01/2017	HAUSER, ROBERT	AM FUNDS ICA A	0.00	16.77	0.00	16.77	92.0	15.43
12/01/2017	FAIRCHILD, DANA	AM FUNDS ICA A	0.00	3.73	0.00	3.73	92.0	3.43
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS ICA A	0.00	11.45	0.00	11.45	92.0	10.53
12/01/2017	HALSEY, DEBORAH	AM FUNDS ICA A	0.00	3.46	0.00	3.46	92.0	3.18
12/01/2017	ZABORSKI, PAUL	AM FUNDS ICA A	0.00	0.35	0.00	0.35	92.0	0.32

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.23	0.00	0.23	92.0	0.21
12/01/2017	BENSCH, CANDACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.03	0.00	7.03	92.0	6.47
12/01/2017	BLAKE, MIRIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.43	0.00	5.43	92.0	5.00
12/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.69	0.00	19.69	92.0	18.11
12/01/2017	HENDERSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.98	0.00	1.98	92.0	1.82
12/01/2017	KRALL, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.01	0.00	5.01	92.0	4.61
12/01/2017	RONEY, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.32	0.00	3.32	92.0	3.05
12/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	WOODRUFF, AUSTIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	MOORE, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.32	0.00	3.32	92.0	3.05
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	MARKJA, BERNADINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.18	0.00	3.18	92.0	2.93
12/01/2017	BENSCH, ARLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.54	0.00	4.54	92.0	4.18
12/01/2017	BRILLHART, RYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.98	0.00	1.98	92.0	1.82
12/01/2017	MURPHY, JACK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	BIHN, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.96	0.00	1.96	92.0	1.80
12/01/2017	ISAACSON, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.44	0.00	6.44	92.0	5.92
12/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.03	0.00	22.03	92.0	20.27
12/01/2017	DECKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.05	0.00	54.05	92.0	49.73
12/01/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	49.92	0.00	49.92	92.0	45.93
12/01/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.65	0.00	17.65	92.0	16.24
12/01/2017	KRAUS, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.59	0.00	1.59	92.0	1.46
12/01/2017	GLORE, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.42	0.00	4.42	92.0	4.07
12/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.02	0.00	5.02	92.0	4.62
12/01/2017	ROSS, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.77	0.00	3.77	92.0	3.47
12/01/2017	BRILLHART, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.89	0.00	1.89	92.0	1.74
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.66	0.00	4.66	92.0	4.29
12/01/2017	CURSON, STEVE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	92.0	2.01
12/01/2017	SILLIMAN, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.99	0.00	0.99	92.0	0.91
12/01/2017	GARDNER, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.89	0.00	6.89	92.0	6.34
12/01/2017	GERMAN, MARIANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	92.0	2.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KONZ, ORVEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.41	0.00	2.41	92.0	2.22
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.28	0.00	13.28	92.0	12.22
12/01/2017	HALSEY, DEBORAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.21	0.00	6.21	92.0	5.71
12/01/2017	HILES, MARC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.21	0.00	2.21	92.0	2.03
12/01/2017	SMITH, SUZANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.64	0.00	3.64	92.0	3.35
12/01/2017	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.47	0.00	10.47	92.0	9.63
12/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.59	0.00	2.59	92.0	2.38
12/01/2017	PELLIONI, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.33	0.00	6.33	92.0	5.82
12/01/2017	NICHOLSON, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.61	0.00	6.61	92.0	6.08
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.18	0.00	0.18	92.0	0.17
12/01/2017	ZINK, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.40	0.00	4.40	92.0	4.05
12/01/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	SHOEMAKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.21	0.00	1.21	92.0	1.11
12/01/2017	WEBBER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
12/01/2017	YOUNG, KEITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.96	0.00	4.96	92.0	4.56
12/01/2017	DEMKO, VERNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.14	0.00	3.14	92.0	2.89
12/01/2017	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.29	0.00	0.29	92.0	0.27
12/01/2017	MOON, CHARLES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.65	0.00	1.65	92.0	1.52
12/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.70	0.00	3.70	92.0	3.40
12/01/2017	SEYMOUR, DONALD	AM FUNDS INCOME FUND OF AMERICA C	0.00	45.00	0.00	45.00	92.0	41.40
12/01/2017	FAIRCHILD, KERRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	11.86	0.00	11.86	92.0	10.91
12/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	IRWIN, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	28.96	0.00	28.96	92.0	26.64
12/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS INCOME PORTFOLIO A	0.00	43.56	0.00	43.56	92.0	40.08
12/01/2017	VALADE, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	95.56	0.00	95.56	92.0	87.92
12/01/2017	BOCHI, ANDREW	AM FUNDS INCOME PORTFOLIO A	0.00	66.56	0.00	66.56	92.0	61.24
12/01/2017	REEVES, DIANE	AM FUNDS INCOME PORTFOLIO A	0.00	29.50	0.00	29.50	92.0	27.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KOZIARSKI, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	38.95	0.00	38.95	92.0	35.83
12/01/2017	COMBS, ROXANNE	AM FUNDS INCOME PORTFOLIO A	0.00	20.09	0.00	20.09	92.0	18.48
12/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	63.68	0.00	63.68	92.0	58.59
12/01/2017	GARDNER, SHARYL	AM FUNDS INCOME PORTFOLIO A	0.00	72.11	0.00	72.11	92.0	66.34
12/01/2017	DURIS, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	62.58	0.00	62.58	92.0	57.57
12/01/2017	BARE, HELEN	AM FUNDS INCOME PORTFOLIO A	0.00	12.98	0.00	12.98	92.0	11.94
12/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	35.63	0.00	35.63	92.0	32.78
12/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	31.43	0.00	31.43	92.0	28.92
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INCOME PORTFOLIO A	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	BARE III, HARRY	AM FUNDS INCOME PORTFOLIO A	0.00	20.71	0.00	20.71	92.0	19.05
12/01/2017	ZINK, KARIS	AM FUNDS INCOME PORTFOLIO A	0.00	17.78	0.00	17.78	92.0	16.36
12/01/2017	PASCHAL, MICHAEL	AM FUNDS INCOME PORTFOLIO A	0.00	83.09	0.00	83.09	92.0	76.44
12/01/2017	FLEMING, ANDREA	AM FUNDS INCOME PORTFOLIO A	0.00	124.19	0.00	124.19	92.0	114.25
12/01/2017	WASSERMAN, FRANK	AM FUNDS INCOME PORTFOLIO A	0.00	86.66	0.00	86.66	92.0	79.73
12/01/2017	TROUT, TINA	AM FUNDS INCOME PORTFOLIO A	0.00	6.51	0.00	6.51	92.0	5.99
12/01/2017	ROSS, NICOLE	AM FUNDS INCOME PORTFOLIO A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	LETT, TRACY	AM FUNDS INCOME PORTFOLIO A	0.00	18.07	0.00	18.07	92.0	16.62
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INCOME PORTFOLIO A	0.00	0.17	0.00	0.17	92.0	0.16
12/01/2017	KISER, EDWARD	AM FUNDS INCOME PORTFOLIO A	0.00	69.62	0.00	69.62	92.0	64.05
12/01/2017	GARDNER, WM	AM FUNDS INCOME PORTFOLIO A	0.00	100.97	0.00	100.97	92.0	92.89
12/01/2017	GARDNER, SHARYL	AM FUNDS INCOME PORTFOLIO A	0.00	32.90	0.00	32.90	92.0	30.27
12/01/2017	HENDERSON, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.28	0.00	1.28	92.0	1.18
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.48	0.00	2.48	92.0	2.28
12/01/2017	KRAUS, JENNIFER	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	92.0	0.18
12/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.18	0.00	7.18	92.0	6.61
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.16	0.00	5.16	92.0	4.75
12/01/2017	FERRARI, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.61	0.00	5.61	92.0	5.16
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.23	0.00	4.23	92.0	3.89
12/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.37	0.00	2.37	92.0	2.18
12/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.37	0.00	2.37	92.0	2.18
12/01/2017	BLAKE, MIRIAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.16	0.00	1.16	92.0	1.07
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.66	0.00	2.66	92.0	2.45

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MOORE, LINDA	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.73	0.00	1.73	92.0	1.59
12/01/2017	HUNTER, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.93	0.00	2.93	92.0	2.70
12/01/2017	ISAACSON, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.55	0.00	2.55	92.0	2.35
12/01/2017	TARRIS, CHRISTINE	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.12	0.00	2.12	92.0	1.95
12/01/2017	SUTHERLAND, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	KORAL, ANDREW	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.06	0.00	1.06	92.0	0.98
12/01/2017	LECHUGA, CARRIE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.54	0.00	0.54	92.0	0.50
12/01/2017	OBERT, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	OBERT, DEBORA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	FISCHER, DAVID	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.18	0.00	3.18	92.0	2.93
12/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.23	0.00	3.23	92.0	2.97
12/01/2017	IRWIN, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.93	0.00	1.93	92.0	1.78
12/01/2017	BENSCH, JEFFREY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.80	0.00	1.80	92.0	1.66
12/01/2017	HILES, MARC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.13	0.00	2.13	92.0	1.96
12/01/2017	SMITH, SUZANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.31	0.00	4.31	92.0	3.97
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.71	0.00	0.71	92.0	0.65
12/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.30	0.00	1.30	92.0	1.20
12/01/2017	GODFREY, TIMOTHY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	ZINK, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.24	0.00	4.24	92.0	3.90
12/01/2017	LARSON, PENNY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	DRAKE, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
12/01/2017	MOON, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	COLEMAN, PARISS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.24	0.00	2.24	92.0	2.06
12/01/2017	RONEY, LINDA	AM FUNDS MORTGAGE A	0.00	51.86	0.00	51.86	92.0	47.71
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	COLEMAN, LINDA	AM FUNDS NEW ECONOMY 529A	0.00	1.18	0.00	1.18	92.0	1.09
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW ECONOMY 529A	0.00	0.18	0.00	0.18	92.0	0.17
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.53	0.00	0.53	92.0	0.49
12/01/2017	HEINAMAN, ROBERT	AM FUNDS NEW ECONOMY A	0.00	0.33	0.00	0.33	92.0	0.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	DREIER, DAVID	AM FUNDS NEW ECONOMY A	0.00	3.89	0.00	3.89	92.0	3.58
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.55	0.00	0.55	92.0	0.51
12/01/2017	DECKER, MARY BETH	AM FUNDS NEW ECONOMY A	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	ROSS, SALLY	AM FUNDS NEW ECONOMY A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	HOLT, JEAN	AM FUNDS NEW ECONOMY A	0.00	6.34	0.00	6.34	92.0	5.83
12/01/2017	PEARSON, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	92.0	0.57
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	12.52	0.00	12.52	92.0	11.52
12/01/2017	MOLNAR, CONNIE	AM FUNDS NEW ECONOMY A	0.00	3.85	0.00	3.85	92.0	3.54
12/01/2017	RONEY, LINDA	AM FUNDS NEW ECONOMY A	0.00	17.46	0.00	17.46	92.0	16.06
12/01/2017	DAY, CHERYL	AM FUNDS NEW ECONOMY A	0.00	0.55	0.00	0.55	92.0	0.51
12/01/2017	GOYER, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	2.62	0.00	2.62	92.0	2.41
12/01/2017	MARKJA, BERNADINE	AM FUNDS NEW ECONOMY A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	URSITTI, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	3.21	0.00	3.21	92.0	2.95
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	1.47	0.00	1.47	92.0	1.35
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	SHAFFER, LOREN	AM FUNDS NEW ECONOMY A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	HUNTER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.77	0.00	2.77	92.0	2.55
12/01/2017	BRILLHART, RYAN	AM FUNDS NEW ECONOMY A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	MURPHY, JACK	AM FUNDS NEW ECONOMY A	0.00	2.41	0.00	2.41	92.0	2.22
12/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW ECONOMY A	0.00	1.20	0.00	1.20	92.0	1.10
12/01/2017	HUDAK, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	GLORE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	1.22	0.00	1.22	92.0	1.12
12/01/2017	MURPHY, CAROL	AM FUNDS NEW ECONOMY A	0.00	2.16	0.00	2.16	92.0	1.99
12/01/2017	SHAFFER, DENISE	AM FUNDS NEW ECONOMY A	0.00	3.74	0.00	3.74	92.0	3.44
12/01/2017	IRWIN, JOHN	AM FUNDS NEW ECONOMY A	0.00	6.78	0.00	6.78	92.0	6.24
12/01/2017	WALLS, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	KRAUS, JENNIFER	AM FUNDS NEW ECONOMY A	0.00	1.22	0.00	1.22	92.0	1.12
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW ECONOMY A	0.00	1.61	0.00	1.61	92.0	1.48
12/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	5.33	0.00	5.33	92.0	4.90
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW ECONOMY A	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	0.00	3.20	0.00	3.20	92.0	2.94
12/01/2017	GODFREY, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	GOYER, GRACE	AM FUNDS NEW ECONOMY A	0.00	1.62	0.00	1.62	92.0	1.49

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ROSS, NICOLE	AM FUNDS NEW ECONOMY A	0.00	0.76	0.00	0.76	92.0	0.70
12/01/2017	COLEMAN, PARISS	AM FUNDS NEW ECONOMY A	0.00	2.81	0.00	2.81	92.0	2.59
12/01/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	0.00	75.09	0.00	75.09	92.0	69.08
12/01/2017	COLEMAN, LINDA	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.51	0.00	0.51	92.0	0.47
12/01/2017	BLAKE, MIRIAM	AM FUNDS NEW PERSPECTIVE A	0.00	2.05	0.00	2.05	92.0	1.89
12/01/2017	BENSCH, CANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	2.01	0.00	2.01	92.0	1.85
12/01/2017	DECKER, MARY BETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.86	0.00	0.86	92.0	0.79
12/01/2017	HOLT, JEAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.26	0.00	6.26	92.0	5.76
12/01/2017	PEARSON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.44	0.00	0.44	92.0	0.40
12/01/2017	EDWARTOSKI, DONNA	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	92.0	1.35
12/01/2017	RONEY, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	9.84	0.00	9.84	92.0	9.05
12/01/2017	ZUCCARELL, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	0.98	0.00	0.98	92.0	0.90
12/01/2017	WOODRUFF, AUSTIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.83	0.00	2.83	92.0	2.60
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	92.0	0.18
12/01/2017	SWINDLE, DARRYL	AM FUNDS NEW PERSPECTIVE A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	KREMPA, CLAUDE	AM FUNDS NEW PERSPECTIVE A	0.00	5.13	0.00	5.13	92.0	4.72
12/01/2017	SHAFFER, LOREN	AM FUNDS NEW PERSPECTIVE A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	MURPHY, JACK	AM FUNDS NEW PERSPECTIVE A	0.00	2.03	0.00	2.03	92.0	1.87
12/01/2017	JAKSETIC, ZACHARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	HAUSER, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	12.89	0.00	12.89	92.0	11.86
12/01/2017	ROSS, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	FAIRCHILD, DANA	AM FUNDS NEW PERSPECTIVE A	0.00	4.33	0.00	4.33	92.0	3.98
12/01/2017	GARDNER, SHANNON	AM FUNDS NEW PERSPECTIVE A	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	1.72	0.00	1.72	92.0	1.58
12/01/2017	FISCHER, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	1.52	0.00	1.52	92.0	1.40
12/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	6.77	0.00	6.77	92.0	6.23
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	7.52	0.00	7.52	92.0	6.92
12/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	0.00	2.08	0.00	2.08	92.0	1.91
12/01/2017	DEMKO, VERNA	AM FUNDS NEW PERSPECTIVE A	0.00	3.45	0.00	3.45	92.0	3.17
12/01/2017	ROSS, NICOLE	AM FUNDS NEW PERSPECTIVE A	0.00	0.10	0.00	0.10	92.0	0.09
12/01/2017	COLEMAN, LINDA	AM FUNDS NEW WORLD 529A	0.00	0.93	0.00	0.93	92.0	0.86
12/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD 529A	0.00	0.47	0.00	0.47	92.0	0.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	2.00	0.00	2.00	92.0	1.84
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	0.08	0.00	0.08	92.0	0.07
12/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	BLAKE, MIRIAM	AM FUNDS NEW WORLD A	0.00	1.46	0.00	1.46	92.0	1.34
12/01/2017	MOORE, GARY	AM FUNDS NEW WORLD A	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	DREIER, DAVID	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	COMBS, BRIAN	AM FUNDS NEW WORLD A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	MILLER, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	ROSS, SALLY	AM FUNDS NEW WORLD A	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	PEARSON, JOHN	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	KRALL, GARY	AM FUNDS NEW WORLD A	0.00	1.70	0.00	1.70	92.0	1.56
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS NEW WORLD A	0.00	1.50	0.00	1.50	92.0	1.38
12/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	SUTHERLAND, JOHN	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	GOYER, TIMOTHY	AM FUNDS NEW WORLD A	0.00	1.57	0.00	1.57	92.0	1.44
12/01/2017	MOORE, LINDA	AM FUNDS NEW WORLD A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	0.00	3.97	0.00	3.97	92.0	3.65
12/01/2017	SMOOT, C STEVEN	AM FUNDS NEW WORLD A	0.00	16.98	0.00	16.98	92.0	15.62
12/01/2017	MARKJA, BERNADINE	AM FUNDS NEW WORLD A	0.00	3.68	0.00	3.68	92.0	3.39
12/01/2017	URSITTI, MATTHEW	AM FUNDS NEW WORLD A	0.00	4.36	0.00	4.36	92.0	4.01
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW WORLD A	0.00	4.66	0.00	4.66	92.0	4.29
12/01/2017	BENSCH, ARLYN	AM FUNDS NEW WORLD A	0.00	1.80	0.00	1.80	92.0	1.66
12/01/2017	KREMPA, CLAUDE	AM FUNDS NEW WORLD A	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	2.65	0.00	2.65	92.0	2.44
12/01/2017	SHAFFER, LOREN	AM FUNDS NEW WORLD A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	MURPHY, JACK	AM FUNDS NEW WORLD A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.60	0.00	2.60	92.0	2.39
12/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW WORLD A	0.00	2.60	0.00	2.60	92.0	2.39
12/01/2017	MURPHY, CAROL	AM FUNDS NEW WORLD A	0.00	3.38	0.00	3.38	92.0	3.11
12/01/2017	SHAFFER, DENISE	AM FUNDS NEW WORLD A	0.00	3.22	0.00	3.22	92.0	2.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	COUSINO, SUSAN	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	WASSERMAN, JULIE	AM FUNDS NEW WORLD A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	ISAACSON, ROBERT	AM FUNDS NEW WORLD A	0.00	1.51	0.00	1.51	92.0	1.39
12/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	6.82	0.00	6.82	92.0	6.27
12/01/2017	TARRIS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.57	0.00	1.57	92.0	1.44
12/01/2017	MCLAUGHLIN, JAIME	AM FUNDS NEW WORLD A	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	KRAUS, JENNIFER	AM FUNDS NEW WORLD A	0.00	1.18	0.00	1.18	92.0	1.09
12/01/2017	GLORE, CHRISTINE	AM FUNDS NEW WORLD A	0.00	2.45	0.00	2.45	92.0	2.25
12/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	92.0	0.75
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	CURSON, STEVE	AM FUNDS NEW WORLD A	0.00	1.56	0.00	1.56	92.0	1.44
12/01/2017	GARDNER, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.08	0.00	1.08	92.0	0.99
12/01/2017	LECHUGA, CARRIE	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	KISER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	2.72	0.00	2.72	92.0	2.50
12/01/2017	KISER, EDWARD	AM FUNDS NEW WORLD A	0.00	1.49	0.00	1.49	92.0	1.37
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	8.91	0.00	8.91	92.0	8.20
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	17.66	0.00	17.66	92.0	16.25
12/01/2017	KANOUS, JOSHUA	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	92.0	0.21
12/01/2017	WARNER, COREY	AM FUNDS NEW WORLD A	0.00	3.05	0.00	3.05	92.0	2.81
12/01/2017	SCANLAN, DAVID	AM FUNDS NEW WORLD A	0.00	2.01	0.00	2.01	92.0	1.85
12/01/2017	OBERT, RONALD	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	92.0	0.57
12/01/2017	OBERT, DEBORA	AM FUNDS NEW WORLD A	0.00	0.99	0.00	0.99	92.0	0.91
12/01/2017	FISCHER, DAVID	AM FUNDS NEW WORLD A	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	1.04	0.00	1.04	92.0	0.96
12/01/2017	HAUETER, GREGORY	AM FUNDS NEW WORLD A	0.00	0.86	0.00	0.86	92.0	0.79
12/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	5.87	0.00	5.87	92.0	5.40
12/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW WORLD A	0.00	7.82	0.00	7.82	92.0	7.19
12/01/2017	HALSEY, DEBORAH	AM FUNDS NEW WORLD A	0.00	1.29	0.00	1.29	92.0	1.19
12/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	1.10	0.00	1.10	92.0	1.01
12/01/2017	KORAKAS, SANDRA	AM FUNDS NEW WORLD A	0.00	1.33	0.00	1.33	92.0	1.22
12/01/2017	BENSCH, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	HILES, MARC	AM FUNDS NEW WORLD A	0.00	3.16	0.00	3.16	92.0	2.91

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SMITH, SUZANNE	AM FUNDS NEW WORLD A	0.00	2.99	0.00	2.99	92.0	2.75
12/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW WORLD A	0.00	0.58	0.00	0.58	92.0	0.53
12/01/2017	GOYER, CALLIE	AM FUNDS NEW WORLD A	0.00	2.25	0.00	2.25	92.0	2.07
12/01/2017	HALSEY, WILLIAM D	AM FUNDS NEW WORLD A	0.00	4.08	0.00	4.08	92.0	3.75
12/01/2017	ZINK, ROBERT	AM FUNDS NEW WORLD A	0.00	3.05	0.00	3.05	92.0	2.81
12/01/2017	LARSON, PENNY	AM FUNDS NEW WORLD A	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	COUSINO, NICHOLAS	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	GOYER, GRACE	AM FUNDS NEW WORLD A	0.00	1.16	0.00	1.16	92.0	1.07
12/01/2017	DRAKE, ERIC	AM FUNDS NEW WORLD A	0.00	0.38	0.00	0.38	92.0	0.35
12/01/2017	ROSS, NICOLE	AM FUNDS NEW WORLD A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	COLEMAN, PARISS	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
12/01/2017	SEYMOUR, DONALD	AM FUNDS NEW WORLD C	0.00	13.32	0.00	13.32	92.0	12.25
12/01/2017	STUBLESKI, DANIEL	AM FUNDS PRESERVATION PORT A	0.00	82.26	0.00	82.26	92.0	75.68
12/01/2017	BLAKE, MIRIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	HEINAMAN, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.86	0.00	10.86	92.0	9.99
12/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.77	0.00	0.77	92.0	0.71
12/01/2017	KRALL, GARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.48	0.00	3.48	92.0	3.20
12/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	KREMPA, CLAUDE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.95	0.00	1.95	92.0	1.79
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.99	0.00	0.99	92.0	0.91
12/01/2017	MURPHY, JACK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	MURPHY, CAROL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.47	0.00	3.47	92.0	3.19
12/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.57	0.00	1.57	92.0	1.44
12/01/2017	ROSS, DANIEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.52	0.00	9.52	92.0	8.76
12/01/2017	ROSS, KRISTINE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.66	0.00	2.66	92.0	2.45
12/01/2017	ZARAGOZA, JULIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.07	0.00	1.07	92.0	0.98
12/01/2017	ZARAGOZA, VICTOR	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	WARNER, COREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.45	0.00	2.45	92.0	2.25
12/01/2017	SCANLAN, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.88	0.00	2.88	92.0	2.65
12/01/2017	GERMAN, MARIANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	CARVER, DENISE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.20	0.00	0.20	92.0	0.18
12/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.84	0.00	1.84	92.0	1.69

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
12/01/2017	FISCHER, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.11	0.00	2.11	92.0	1.94
12/01/2017	HAUETER, GREGORY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.45	0.00	2.45	92.0	2.25
12/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	12.76	0.00	12.76	92.0	11.74
12/01/2017	HORN, TARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.02	0.00	2.02	92.0	1.86
12/01/2017	BENSCH, JEFFREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.39	0.00	1.39	92.0	1.28
12/01/2017	COLEMAN, LINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.42	0.00	2.42	92.0	2.23
12/01/2017	SMITH, SUZANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.99	0.00	3.99	92.0	3.67
12/01/2017	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.35	0.00	1.35	92.0	1.24
12/01/2017	PELLIONI, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.26	0.00	9.26	92.0	8.52
12/01/2017	ROSS, NICOLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.89	0.00	1.89	92.0	1.74
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	8.27	0.00	8.27	92.0	7.61
12/01/2017	MOLNAR, COURTNEY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	DREIER, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	2.07	0.00	2.07	92.0	1.90
12/01/2017	HOLT, JEAN	AM FUNDS SMALLCAP WORLD A	0.00	6.10	0.00	6.10	92.0	5.61
12/01/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	2.84	0.00	2.84	92.0	2.61
12/01/2017	PEARSON, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.53	0.00	0.53	92.0	0.49
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	17.61	0.00	17.61	92.0	16.20
12/01/2017	KRALL, GARY	AM FUNDS SMALLCAP WORLD A	0.00	1.44	0.00	1.44	92.0	1.32
12/01/2017	BEE, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	MOLNAR, CONNIE	AM FUNDS SMALLCAP WORLD A	0.00	3.18	0.00	3.18	92.0	2.93
12/01/2017	RONEY, LINDA	AM FUNDS SMALLCAP WORLD A	0.00	6.51	0.00	6.51	92.0	5.99
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SMALLCAP WORLD A	0.00	0.85	0.00	0.85	92.0	0.78
12/01/2017	GOYER, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	1.98	0.00	1.98	92.0	1.82
12/01/2017	SWINDLE, DARRYL	AM FUNDS SMALLCAP WORLD A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	MARKJA, BERNADINE	AM FUNDS SMALLCAP WORLD A	0.00	2.13	0.00	2.13	92.0	1.96
12/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	SHAFFER, LOREN	AM FUNDS SMALLCAP WORLD A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	MURPHY, JACK	AM FUNDS SMALLCAP WORLD A	0.00	1.50	0.00	1.50	92.0	1.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	GLORE, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.69	0.00	0.69	92.0	0.63
12/01/2017	MURPHY, CAROL	AM FUNDS SMALLCAP WORLD A	0.00	1.77	0.00	1.77	92.0	1.63
12/01/2017	SHAFFER, DENISE	AM FUNDS SMALLCAP WORLD A	0.00	2.88	0.00	2.88	92.0	2.65
12/01/2017	IRWIN, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	6.64	0.00	6.64	92.0	6.11
12/01/2017	WALLS, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	GLORE, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	1.93	0.00	1.93	92.0	1.78
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	5.59	0.00	5.59	92.0	5.14
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	16.12	0.00	16.12	92.0	14.83
12/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	6.92	0.00	6.92	92.0	6.37
12/01/2017	HORN, TARA	AM FUNDS SMALLCAP WORLD A	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	HILES, MARC	AM FUNDS SMALLCAP WORLD A	0.00	2.17	0.00	2.17	92.0	2.00
12/01/2017	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	0.00	2.90	0.00	2.90	92.0	2.67
12/01/2017	SMITH, PADRAIC	AM FUNDS SMALLCAP WORLD A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	HALSEY, WILLIAM D	AM FUNDS SMALLCAP WORLD A	0.00	5.13	0.00	5.13	92.0	4.72
12/01/2017	GOYER, GRACE	AM FUNDS SMALLCAP WORLD A	0.00	0.91	0.00	0.91	92.0	0.84
12/01/2017	ZABORSKI, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	0.22	0.00	0.22	92.0	0.20
12/01/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.44	0.00	0.44	92.0	0.40
12/01/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	0.00	37.32	0.00	37.32	92.0	34.33
12/01/2017	COLEMAN, LINDA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.87	0.00	0.87	92.0	0.80
12/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
12/01/2017	BRUMMETT, DOUGLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.32	0.00	1.32	92.0	1.21
12/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	30.65	0.00	30.65	92.0	28.20
12/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.34	0.00	1.34	92.0	1.23
12/01/2017	MILLER, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.12	0.00	2.12	92.0	1.95
12/01/2017	ROSS, SALLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.05	0.00	1.05	92.0	0.97
12/01/2017	SUTHERLAND, BARBARA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.74	0.00	0.74	92.0	0.68
12/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.90	0.00	0.90	92.0	0.83
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.12	0.00	3.12	92.0	2.87
12/01/2017	MOORE, LINDA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.97	0.00	3.97	92.0	3.65
12/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MARKJA, BERNADINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.62	0.00	1.62	92.0	1.49
12/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.37	0.00	3.37	92.0	3.10
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.89	0.00	1.89	92.0	1.74
12/01/2017	ISAACSON, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	14.91	0.00	14.91	92.0	13.72
12/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	31.71	0.00	31.71	92.0	29.17
12/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.28	0.00	1.28	92.0	1.18
12/01/2017	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.03	0.00	6.03	92.0	5.55
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.80	0.00	2.80	92.0	2.58
12/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.11	0.00	1.11	92.0	1.02
12/01/2017	ROSS, DANIEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	11.61	0.00	11.61	92.0	10.68
12/01/2017	BRILLHART, SHARON	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.27	0.00	2.27	92.0	2.09
12/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.71	0.00	0.71	92.0	0.65
12/01/2017	RUPP, MARJORIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.81	0.00	1.81	92.0	1.67
12/01/2017	ROSS, KRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.86	0.00	2.86	92.0	2.63
12/01/2017	LECHUGA, CARRIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.24	0.00	0.24	92.0	0.22
12/01/2017	KISER, ELIZABETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78
12/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	ZARAGOZA, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.51	0.00	2.51	92.0	2.31
12/01/2017	SCHNEE, LEO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
12/01/2017	GERMAN, MARIANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	BRILLHART, GREGORY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	FLEMING, ANDREA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.25	0.00	3.25	92.0	2.99
12/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	10.66	0.00	10.66	92.0	9.81
12/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.68	0.00	3.68	92.0	3.39
12/01/2017	IRWIN, JOYCE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
12/01/2017	LARSON, PENNY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.41	0.00	0.41	92.0	0.38
12/01/2017	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.62	0.00	5.62	92.0	5.17

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	GROSVENOR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.75	0.00	1.75	92.0	1.61
12/01/2017	FAIRCHILD, KERRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.11	0.00	6.11	92.0	5.62
12/01/2017	DONNELLY, EMILY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.22	0.00	0.22	92.0	0.20
12/01/2017	WEBBER, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	BIHN, JANELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.47	0.00	2.47	92.0	2.27
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.19	0.00	1.19	92.0	1.09
12/01/2017	YOUNG, KEITH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.84	0.00	3.84	92.0	3.53
12/01/2017	WHALEN, KELLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	4.63	0.00	4.63	92.0	4.26
12/01/2017	DEMKO, VERNA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	7.54	0.00	7.54	92.0	6.94
12/01/2017	DONNELLY, EMILY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
12/01/2017	MOON, CHARLES	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.24	0.00	1.24	92.0	1.14
12/01/2017	ROSS, NICOLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.38	0.00	2.38	92.0	2.19
12/01/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	74.43	0.00	74.43	92.0	68.48
12/01/2017	BENSCH, CANDACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.59	0.00	1.59	92.0	1.46
12/01/2017	HEINAMAN, ROBERT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.69	0.00	12.69	92.0	11.67
12/01/2017	SANDERSON, CATHY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	MILLER, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.20	0.00	1.20	92.0	1.10
12/01/2017	HENDERSON, BARBARA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	RONEY, LINDA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	43.17	0.00	43.17	92.0	39.72
12/01/2017	KREMPA, CLAUDE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.14	0.00	2.14	92.0	1.97
12/01/2017	SANDVIG TRUST, ANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	BRILLHART, RYAN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.23	0.00	1.23	92.0	1.13
12/01/2017	IRWIN, JOHN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.45	0.00	11.45	92.0	10.53
12/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.51	0.00	0.51	92.0	0.47
12/01/2017	SILLIMAN, JEFFREY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	ROSS, DANIEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	SILLIMAN, GRACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	ROSS, KRISTINE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.07	0.00	3.07	92.0	2.82
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.71	0.00	1.71	92.0	1.57
12/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	22.62	0.00	22.62	92.0	20.81
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.68	0.00	8.68	92.0	7.99
12/01/2017	SMITH, SUZANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.90	0.00	1.90	92.0	1.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SMITH, PADRAIC	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.36	0.00	2.36	92.0	2.17
12/01/2017	NICHOLSON, JAMES	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.36	0.00	6.36	92.0	5.85
12/01/2017	WOODRUFF, STEPHANIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
12/01/2017	DONNELLY, EMILY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	DEMKO, VERNA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.52	0.00	7.52	92.0	6.92
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.29	0.00	6.29	92.0	5.79
12/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.15	0.00	0.15	92.0	0.14
12/01/2017	BLAKE, MIRIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.12	0.00	1.12	92.0	1.03
12/01/2017	BENSCH, CANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.90	0.00	1.90	92.0	1.75
12/01/2017	DREIER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.11	0.00	2.11	92.0	1.94
12/01/2017	COMBS, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.53	0.00	2.53	92.0	2.33
12/01/2017	SWINDLE, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	ROSS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.72	0.00	2.72	92.0	2.50
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.07	0.00	9.07	92.0	8.34
12/01/2017	KRALL, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.94	0.00	3.94	92.0	3.62
12/01/2017	RONEY, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.75	0.00	31.75	92.0	29.21
12/01/2017	ZUCCARELL, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	92.0	1.06
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.30	0.00	2.30	92.0	2.12
12/01/2017	WOODRUFF, AUSTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.11	0.00	2.11	92.0	1.94
12/01/2017	DAY, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	92.0	0.25
12/01/2017	SMOOT, C STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.66	0.00	18.66	92.0	17.17
12/01/2017	HANUDEL, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.98	0.00	7.98	92.0	7.34
12/01/2017	URSITTI, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.19	0.00	4.19	92.0	3.85
12/01/2017	HUNTER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	92.0	1.84
12/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.02	0.00	2.02	92.0	1.86
12/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	92.0	0.62
12/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.56	0.00	2.56	92.0	2.36
12/01/2017	KOTLARCZYK, JANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.10	0.00	1.10	92.0	1.01
12/01/2017	HARRISON, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.09	0.00	4.09	92.0	3.76
12/01/2017	MURPHY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.37	0.00	5.37	92.0	4.94
12/01/2017	SHAFFER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.23	0.00	3.23	92.0	2.97
12/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	92.0	1.32

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WASSERMAN, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.66	0.00	0.66	92.0	0.61
12/01/2017	JAKSETIC, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	92.0	0.36
12/01/2017	HAUSER, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.38	0.00	12.38	92.0	11.39
12/01/2017	HAUSER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.48	0.00	3.48	92.0	3.20
12/01/2017	WALLS, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	KRAUS, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.22	0.00	2.22	92.0	2.04
12/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.99	0.00	2.99	92.0	2.75
12/01/2017	KORAL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.41	0.00	0.41	92.0	0.38
12/01/2017	ROSS, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	92.0	1.55
12/01/2017	CASTOR, TIMOTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.69	0.00	0.69	92.0	0.63
12/01/2017	HELMINIAK, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	92.0	1.49
12/01/2017	CURSON, STEVE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.71	0.00	1.71	92.0	1.57
12/01/2017	ROSS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.65	0.00	12.65	92.0	11.64
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.54	0.00	1.54	92.0	1.42
12/01/2017	FLEMING, ANDREA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.65	0.00	6.65	92.0	6.12
12/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.50	0.00	12.50	92.0	11.50
12/01/2017	HALSEY, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.68	0.00	2.68	92.0	2.47
12/01/2017	KORAKAS, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	92.0	0.60
12/01/2017	BENSCH, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.69	0.00	3.69	92.0	3.39
12/01/2017	HILES, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.79	0.00	2.79	92.0	2.57
12/01/2017	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.08	0.00	3.08	92.0	2.83
12/01/2017	WASSERMAN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	GOYER, GRACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.93	0.00	1.93	92.0	1.78
12/01/2017	STOUT, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.80	0.00	2.80	92.0	2.58
12/01/2017	FAIRCHILD, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.27	0.00	2.27	92.0	2.09
12/01/2017	WHALEN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.36	0.00	3.36	92.0	3.09
12/01/2017	DEMKO, VERNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.79	0.00	4.79	92.0	4.41
12/01/2017	COLEMAN, PARISS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.79	0.00	5.79	92.0	5.33
12/01/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	146.18	0.00	146.18	92.0	134.49
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	92.0	0.46
12/01/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.49	0.00	6.49	92.0	5.97
12/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	92.0	0.42

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	ROSS, MICHELLE L HUDS	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	0.35	0.00	0.35	92.0	0.32
12/01/2017	ROSS, MICHELLE L HUDS	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	MOLNAR, COURTNEY	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	0.09	0.00	0.09	92.0	0.08
12/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	0.00	23.94	0.00	23.94	92.0	22.02
12/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2020 TARGET DATE-C	0.00	40.52	0.00	40.52	92.0	37.28
12/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	21.16	0.00	21.16	92.0	19.47
12/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	15.43	0.00	15.43	92.0	14.20
12/01/2017	ROSS, MICHELLE L HUDS	AMERICAN FUNDS INCOME PF -529A	0.00	0.72	0.00	0.72	92.0	0.66
12/01/2017	ROSS, MICHELLE L HUDS	AMERICAN FUNDS INCOME PF -529A	0.00	0.31	0.00	0.31	92.0	0.29
12/01/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	67.43	0.00	67.43	92.0	62.04
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	2.15	0.00	2.15	92.0	1.98
11/16/2017	MOORE, LINDA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.97	0.00	4.97	92.0	4.57
12/01/2017	WOODRUFF, STEPHANIE	INFLATION LINKED BOND FUND A	0.00	0.71	0.00	0.71	92.0	0.65
11/14/2017	BLAKE, MIRIAM	LORD ABBETT AFFILIATED A	0.00	5.00	0.00	5.00	92.0	4.60
11/14/2017	ROSSCO INVESTMENT CL	LORD ABBETT BOND DEBENTURE A	0.00	0.27	0.00	0.27	92.0	0.25
11/14/2017	BLAKE, MIRIAM	LORD ABBETT DEVELOPING GROWTH A	0.00	1.34	0.00	1.34	92.0	1.23
11/14/2017	BLAKE, MIRIAM	LORD ABBETT EMERGING MARKETS A	0.00	0.05	0.00	0.05	92.0	0.05
11/14/2017	BLAKE, MIRIAM	LORD ABBETT INCOME A	0.00	3.68	0.00	3.68	92.0	3.39
11/14/2017	ROSSCO INVESTMENT CL	LORD ABBETT MID CAP STOCK A	0.00	1.20	0.00	1.20	92.0	1.10
11/20/2017	ROSS, JEROME	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	4.96	0.00	4.96	92.0	4.56
11/13/2017	OBERT, RONALD	TEMPLETON GROWTH A	0.00	0.15	0.00	0.15	92.0	0.14
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,002.20	\$0.00	\$6,002.20		\$5,521.94
*** DIRECT TRANSACTIONS TOTAL ***			\$1,916,601.89	\$13,405.99	\$0.00	\$13,405.99		\$12,333.42

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	ABBE JR, GARY	AM FUNDS AMCAP A	0.00	1.83	0.00	1.83	85.0	0.13
12/01/2017	PAPIO, AARON	AM FUNDS AMCAP A	0.00	0.61	0.00	0.61	85.0	0.04
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	5.81	0.00	5.81	85.0	0.41
12/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN BALANCED A	0.00	0.87	0.00	0.87	85.0	0.06
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS AMERICAN BALANCED A	0.00	3.73	0.00	3.73	85.0	0.26
12/01/2017	FOSTER, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	85.0	0.03
12/01/2017	WRAY, KIM	AM FUNDS AMERICAN BALANCED A	0.00	10.91	0.00	10.91	85.0	0.76
12/01/2017	PAPIO, JOE	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	85.0	0.04
12/01/2017	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	0.00	2.01	0.00	2.01	85.0	0.14
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	9.81	0.00	9.81	85.0	0.69
12/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	0.36	0.00	0.36	85.0	0.03
12/01/2017	MEREDITH, TERESE	AM FUNDS AMERICAN BALANCED A	0.00	2.36	0.00	2.36	85.0	0.17
12/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.53	0.00	4.53	85.0	0.32
12/01/2017	KRAMER, DELANEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	85.0	0.02
12/01/2017	KRAMER, KARYS	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	85.0	0.02
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS AMERICAN BALANCED A	0.00	0.69	0.00	0.69	85.0	0.05
12/01/2017	ALDRICH, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	85.0	0.02
12/01/2017	LEININGER, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	3.10	0.00	3.10	85.0	0.22
12/01/2017	PERRY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	18.80	0.00	18.80	85.0	1.32
12/01/2017	GERE, AMY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	85.0	0.02
12/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	9.48	0.00	9.48	85.0	0.66
12/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.04	0.00	1.04	85.0	0.07
12/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.29	0.00	1.29	85.0	0.09
12/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.41	0.00	0.41	85.0	0.03
12/01/2017	RICHARDS, STEPHEN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.88	0.00	1.88	85.0	0.13
12/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.21	0.00	0.21	85.0	0.01
12/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.17	0.00	0.17	85.0	0.01
12/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.20	0.00	2.20	85.0	0.15
12/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	11.80	0.00	11.80	85.0	0.83
12/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.35	0.00	0.35	85.0	0.02
12/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	19.67	0.00	19.67	85.0	1.38
12/01/2017	DESELMS, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.67	0.00	1.67	85.0	0.12
12/01/2017	DESELMS, ELEVLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.92	0.00	6.92	85.0	0.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.86	0.00	3.86	85.0	0.27
12/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.43	0.00	0.43	85.0	0.03
12/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.68	0.00	0.68	85.0	0.05
12/01/2017	BAKER, ELAINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.31	0.00	5.31	85.0	0.37
12/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.71	0.00	0.71	85.0	0.05
12/01/2017	BAUMGARTNER, DIANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.47	0.00	5.47	85.0	0.38
12/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.21	0.00	1.21	85.0	0.08
12/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.73	0.00	0.73	85.0	0.05
12/01/2017	HAWBLITZ, PETER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.42	0.00	3.42	85.0	0.24
12/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.30	0.00	5.30	85.0	0.37
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.87	0.00	7.87	85.0	0.55
12/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	85.0	0.02
12/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.37	0.00	0.37	85.0	0.03
12/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	85.0	0.01
12/01/2017	ABBE JR, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.79	0.00	1.79	85.0	0.13
12/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.43	0.00	1.43	85.0	0.10
12/01/2017	DREEZE, MARCELINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
12/01/2017	MI/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.41	0.00	1.41	85.0	0.10
12/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	16.52	0.00	16.52	85.0	1.16
12/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
12/01/2017	MEREDITH, JEFFERY	AM FUNDS AMERICAN MUTUAL A	0.00	2.41	0.00	2.41	85.0	0.17
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.32	0.00	3.32	85.0	0.23
12/01/2017	FOSTER, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.33	0.00	0.33	85.0	0.02
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.29	0.00	4.29	85.0	0.30
12/01/2017	RIEBE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.38	0.00	3.38	85.0	0.24
12/01/2017	HALSEY, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	85.0	0.01
12/01/2017	DIENER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.25	0.00	9.25	85.0	0.65
12/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.83	0.00	8.83	85.0	0.62
12/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	85.0	0.06
12/01/2017	LEININGER, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.34	0.00	1.34	85.0	0.09
12/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.12	0.00	1.12	85.0	0.08
12/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.83	0.00	5.83	85.0	0.41
12/01/2017	NOWAK, COLETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	85.0	0.05

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: THOMAS HALSEY #82</u>								
12/01/2017	BAUMGARTNER, DIANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.53	0.00	4.53	85.0	0.32
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.49	0.00	2.49	85.0	0.17
12/01/2017	FOSTER, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	85.0	0.10
12/01/2017	WRAY, KIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.17	0.00	13.17	85.0	0.92
12/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.30	0.00	6.30	85.0	0.44
12/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	85.0	0.07
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.17	0.00	7.17	85.0	0.50
12/01/2017	MEREDITH, TERESE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.82	0.00	1.82	85.0	0.13
12/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	85.0	0.02
12/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.24	0.00	9.24	85.0	0.65
12/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.71	0.00	3.71	85.0	0.26
12/01/2017	FISHER, SCOTT TW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.40	0.00	3.40	85.0	0.24
12/01/2017	FRENCH, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	85.0	0.02
12/01/2017	FRENCH, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	85.0	0.02
12/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	85.0	0.03
12/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	85.0	0.04
12/01/2017	KRAL, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	85.0	0.11
12/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	85.0	0.10
12/01/2017	STACY, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	85.0	0.02
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	85.0	0.05
12/01/2017	LATTA, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	85.0	0.07
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.85	0.00	6.85	85.0	0.48
12/01/2017	MI/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.21	0.00	4.21	85.0	0.29
12/01/2017	PERRY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.44	0.00	11.44	85.0	0.80
12/01/2017	VESEY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	85.0	0.05
12/01/2017	KRAL/BENE, ADRIENNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	85.0	0.03
12/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	9.48	0.00	9.48	85.0	0.66
12/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS CAPITAL WORLD BOND A	0.00	5.78	0.00	5.78	85.0	0.40
12/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS CAPITAL WORLD BOND A	0.00	5.78	0.00	5.78	85.0	0.40
12/01/2017	HALSEY, WILLIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.16	0.00	0.16	85.0	0.01
12/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.32	0.00	0.32	85.0	0.02
12/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.53	0.00	1.53	85.0	0.11
12/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.61	0.00	2.61	85.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	85.0	0.04
12/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.92	0.00	10.92	85.0	0.76
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.11	0.00	8.11	85.0	0.57
12/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	85.0	0.05
12/01/2017	LEININGER, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.12	0.00	2.12	85.0	0.15
12/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	85.0	0.04
12/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.13	0.00	11.13	85.0	0.78
12/01/2017	JOHNSON, ZACHARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	85.0	0.07
12/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.82	0.00	2.82	85.0	0.20
12/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.91	0.00	2.91	85.0	0.20
12/01/2017	JOHNSON, CHLOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	85.0	0.07
12/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	85.0	0.11
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	85.0	0.10
12/01/2017	WRAY, KIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.40	0.00	6.40	85.0	0.45
12/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.97	0.00	5.97	85.0	0.42
12/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	85.0	0.03
12/01/2017	PAPIO, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	85.0	0.03
12/01/2017	PAPIO, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	85.0	0.03
12/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	85.0	0.08
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.19	0.00	7.19	85.0	0.50
12/01/2017	MEREDITH, JEFFERY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	85.0	0.21
12/01/2017	KRAMER, TRISTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	85.0	0.03
12/01/2017	ZORNOW, JORDAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	85.0	0.08
12/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	85.0	0.02
12/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.16	0.00	9.16	85.0	0.64
12/01/2017	ABBE JR, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	85.0	0.04
12/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	85.0	0.03
12/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	85.0	0.03
12/01/2017	HARRISON, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.51	0.00	1.51	85.0	0.11
12/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	85.0	0.08
12/01/2017	STACY, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	85.0	0.01
12/01/2017	GRAHAM, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	85.0	0.01
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.68	0.00	8.68	85.0	0.61

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
12/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.06	0.00	6.06	85.0	0.42
12/01/2017	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	85.0	0.21
12/01/2017	PERRY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.56	0.00	22.56	85.0	1.58
12/01/2017	VESEY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	85.0	0.03
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	85.0	0.04
12/01/2017	FRANTZ, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.32	0.00	0.32	85.0	0.02
12/01/2017	WRAY, KIM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.64	0.00	5.64	85.0	0.39
12/01/2017	ZORNOW, JORDAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.52	0.00	1.52	85.0	0.11
12/01/2017	FISHER, SCOTT TW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.61	0.00	3.61	85.0	0.25
12/01/2017	LEININGER, KENNETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.55	0.00	1.55	85.0	0.11
12/01/2017	DIENER, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.68	0.00	7.68	85.0	0.54
12/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	85.0	0.09
12/01/2017	DESELMS, ELEVLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.98	0.00	11.98	85.0	0.84
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.49	0.00	17.49	85.0	1.22
12/01/2017	KREMPEC, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.16	0.00	1.16	85.0	0.08
12/01/2017	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.74	0.00	2.74	85.0	0.19
12/01/2017	FOSTER, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.80	0.00	0.80	85.0	0.06
12/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.97	0.00	0.97	85.0	0.07
12/01/2017	BAKER, ELAINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.76	0.00	7.76	85.0	0.54
12/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.45	0.00	2.45	85.0	0.17
12/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.23	0.00	2.23	85.0	0.16
12/01/2017	WRAY, KIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.10	0.00	6.10	85.0	0.43
12/01/2017	EYLER, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.99	0.00	13.99	85.0	0.98
12/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.62	0.00	2.62	85.0	0.18
12/01/2017	DENHAM, CONSTANCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.03	0.00	2.03	85.0	0.14
12/01/2017	JOHNSON, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	85.0	0.11
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.19	0.00	12.19	85.0	0.85
12/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	85.0	0.03
12/01/2017	MEREDITH, TERESE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.16	0.00	3.16	85.0	0.22
12/01/2017	MEREDITH, JEFFERY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	85.0	0.18
12/01/2017	KRAMER, TRISTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.87	0.00	0.87	85.0	0.06
12/01/2017	ZORNOW, JORDAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.81	0.00	2.81	85.0	0.20
12/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	85.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
12/01/2017	FISHER, SCOTT TW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.27	0.00	5.27	85.0	0.37
12/01/2017	HALSEY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.20	0.00	0.20	85.0	0.01
12/01/2017	LEININGER, ELI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.30	0.00	0.30	85.0	0.02
12/01/2017	FRENCH, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.53	0.00	0.53	85.0	0.04
12/01/2017	FRENCH, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.53	0.00	0.53	85.0	0.04
12/01/2017	KRAMER, DELANEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	85.0	0.02
12/01/2017	ABBE JR, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.63	0.00	3.63	85.0	0.25
12/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	85.0	0.02
12/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.19	0.00	0.19	85.0	0.01
12/01/2017	KRAMER, KARYS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.32	0.00	0.32	85.0	0.02
12/01/2017	HARRISON, JERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	85.0	0.18
12/01/2017	DREEZE, MARCELINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.76	0.00	1.76	85.0	0.12
12/01/2017	STACY, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.67	0.00	0.67	85.0	0.05
12/01/2017	CANNON, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	85.0	0.02
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.99	0.00	0.99	85.0	0.07
12/01/2017	LATTA, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.24	0.00	1.24	85.0	0.09
12/01/2017	ALDRICH, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.95	0.00	11.95	85.0	0.84
12/01/2017	MI/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.73	0.00	7.73	85.0	0.54
12/01/2017	PAPPIO, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.37	0.00	0.37	85.0	0.03
12/01/2017	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.16	0.00	3.16	85.0	0.22
12/01/2017	PERRY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.99	0.00	18.99	85.0	1.33
12/01/2017	GERE, AMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	85.0	0.02
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.27	0.00	0.27	85.0	0.02
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	85.0	0.04
12/01/2017	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	0.00	1.10	0.00	1.10	85.0	0.08
12/01/2017	GERE, AMY	AM FUNDS GLOBAL BALANCED A	0.00	0.13	0.00	0.13	85.0	0.01
12/01/2017	DIENER, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	85.0	0.18
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.35	0.00	3.35	85.0	0.23
12/01/2017	BAKER, ELAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.73	0.00	6.73	85.0	0.47
12/01/2017	NOWAK, COLETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	85.0	0.04
12/01/2017	BAUMGARTNER, DIANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.80	0.00	2.80	85.0	0.20
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.86	0.00	2.86	85.0	0.20

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
12/01/2017	FOSTER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	85.0	0.08
12/01/2017	WRAY, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	85.0	0.26
12/01/2017	DESELMS, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	85.0	0.03
12/01/2017	KRAMER, DELANEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	85.0	0.02
12/01/2017	BELKOFER, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	85.0	0.04
12/01/2017	KRAMER, KARYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.33	0.00	0.33	85.0	0.02
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	85.0	0.01
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.95	0.00	3.95	85.0	0.28
12/01/2017	LEININGER, KENNETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	85.0	0.11
12/01/2017	GERE, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	85.0	0.02
12/01/2017	DIENER, RONALD	AM FUNDS ICA A	0.00	6.87	0.00	6.87	85.0	0.48
12/01/2017	MEREDITH, TERESE	AM FUNDS ICA A	0.00	2.34	0.00	2.34	85.0	0.16
12/01/2017	ZORNOW, JORDAN	AM FUNDS ICA A	0.00	2.53	0.00	2.53	85.0	0.18
12/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS ICA A	0.00	8.61	0.00	8.61	85.0	0.60
12/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS ICA A	0.00	8.65	0.00	8.65	85.0	0.61
12/01/2017	KRIEGER, RENEE	AM FUNDS ICA A	0.00	11.11	0.00	11.11	85.0	0.78
12/01/2017	BELKOFER, STACEY	AM FUNDS ICA A	0.00	0.66	0.00	0.66	85.0	0.05
12/01/2017	GRAHAM, DAVID	AM FUNDS ICA A	0.00	0.30	0.00	0.30	85.0	0.02
12/01/2017	DIENER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.57	0.00	22.57	85.0	1.58
12/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.61	0.00	0.61	85.0	0.04
12/01/2017	FOSTER, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.78	0.00	0.78	85.0	0.05
12/01/2017	BAKER, ELAINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.66	0.00	4.66	85.0	0.33
12/01/2017	HAWBLITZ, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.13	0.00	4.13	85.0	0.29
12/01/2017	PAPIO, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.38	0.00	0.38	85.0	0.03
12/01/2017	PAPIO, JOE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	85.0	0.03
12/01/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.36	0.00	1.36	85.0	0.10
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.93	0.00	13.93	85.0	0.98
12/01/2017	FRANTZ, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	85.0	0.03
12/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.37	0.00	16.37	85.0	1.15
12/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.65	0.00	16.65	85.0	1.17
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.60	0.00	0.60	85.0	0.04
12/01/2017	ALDRICH, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.29	0.00	0.29	85.0	0.02
12/01/2017	LEININGER, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.60	0.00	3.60	85.0	0.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	GERE, AMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.20	0.00	0.20	85.0	0.01
12/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.54	0.00	0.54	85.0	0.04
12/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.69	0.00	0.69	85.0	0.05
12/01/2017	DIENER, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	9.98	0.00	9.98	85.0	0.70
12/01/2017	RIEBE, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.73	0.00	3.73	85.0	0.26
12/01/2017	KRAL, ADAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.92	0.00	0.92	85.0	0.06
12/01/2017	LATTA, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.63	0.00	0.63	85.0	0.04
12/01/2017	ALDRICH, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.20	0.00	0.20	85.0	0.01
12/01/2017	LEININGER, KENNETH	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.02	0.00	3.02	85.0	0.21
12/01/2017	KRAL/BENE, ADRIENNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	DESELMS, ELEVLYN	AM FUNDS NEW ECONOMY A	0.00	12.86	0.00	12.86	85.0	0.90
12/01/2017	KRIEGER, RENEE	AM FUNDS NEW ECONOMY A	0.00	11.12	0.00	11.12	85.0	0.78
12/01/2017	FISHER, SCOTT TW	AM FUNDS NEW ECONOMY A	0.00	5.44	0.00	5.44	85.0	0.38
12/01/2017	LEININGER, ELI	AM FUNDS NEW ECONOMY A	0.00	0.33	0.00	0.33	85.0	0.02
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS NEW ECONOMY A	0.00	0.29	0.00	0.29	85.0	0.02
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	2.84	0.00	2.84	85.0	0.20
12/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.51	0.00	0.51	85.0	0.04
12/01/2017	BAKER, ELAINE	AM FUNDS NEW PERSPECTIVE A	0.00	6.76	0.00	6.76	85.0	0.47
12/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	85.0	0.04
12/01/2017	WRAY, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	3.17	0.00	3.17	85.0	0.22
12/01/2017	KRIEGER, RENEE	AM FUNDS NEW PERSPECTIVE A	0.00	8.71	0.00	8.71	85.0	0.61
12/01/2017	ABBE JR, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	0.00	0.88	85.0	0.06
12/01/2017	PAPIO, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.36	0.00	0.36	85.0	0.03
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.64	0.00	2.64	85.0	0.18
12/01/2017	LEININGER, LISA	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	85.0	0.04
12/01/2017	WRAY, KIM	AM FUNDS NEW WORLD A	0.00	4.74	0.00	4.74	85.0	0.33
12/01/2017	EYLER, BARBARA	AM FUNDS NEW WORLD A	0.00	3.43	0.00	3.43	85.0	0.24
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	7.73	0.00	7.73	85.0	0.54
12/01/2017	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	1.09	0.00	1.09	85.0	0.08
12/01/2017	BAKER, ELAINE	AM FUNDS SMALLCAP WORLD A	0.00	5.75	0.00	5.75	85.0	0.40
12/01/2017	WRAY, KIM	AM FUNDS SMALLCAP WORLD A	0.00	6.49	0.00	6.49	85.0	0.45
12/01/2017	EYLER, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	3.83	0.00	3.83	85.0	0.27
12/01/2017	MEREDITH, TERESE	AM FUNDS SMALLCAP WORLD A	0.00	2.18	0.00	2.18	85.0	0.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	MEREDITH, JEFFERY	AM FUNDS SMALLCAP WORLD A	0.00	1.63	0.00	1.63	85.0	0.11
12/01/2017	ZORNOW, JORDAN	AM FUNDS SMALLCAP WORLD A	0.00	2.50	0.00	2.50	85.0	0.18
12/01/2017	LEININGER, ELI	AM FUNDS SMALLCAP WORLD A	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	FRENCH, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.21	0.00	0.21	85.0	0.01
12/01/2017	FRENCH, RICHARD	AM FUNDS SMALLCAP WORLD A	0.00	0.21	0.00	0.21	85.0	0.01
12/01/2017	ABBE JR, GARY	AM FUNDS SMALLCAP WORLD A	0.00	2.34	0.00	2.34	85.0	0.16
12/01/2017	BELKOFER, STACEY	AM FUNDS SMALLCAP WORLD A	0.00	0.42	0.00	0.42	85.0	0.03
12/01/2017	KRAL, ADAM	AM FUNDS SMALLCAP WORLD A	0.00	1.21	0.00	1.21	85.0	0.08
12/01/2017	DREEZE, MARCELINA	AM FUNDS SMALLCAP WORLD A	0.00	1.05	0.00	1.05	85.0	0.07
12/01/2017	CANNON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	0.16	0.00	0.16	85.0	0.01
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS SMALLCAP WORLD A	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	LATTA, MARY	AM FUNDS SMALLCAP WORLD A	0.00	1.00	0.00	1.00	85.0	0.07
12/01/2017	ALDRICH, SUSAN	AM FUNDS SMALLCAP WORLD A	0.00	0.22	0.00	0.22	85.0	0.02
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS SMALLCAP WORLD A	0.00	11.41	0.00	11.41	85.0	0.80
12/01/2017	MI/TOD	AM FUNDS SMALLCAP WORLD A	0.00	9.72	0.00	9.72	85.0	0.68
12/01/2017	PAPIO, AARON	AM FUNDS SMALLCAP WORLD A	0.00	0.33	0.00	0.33	85.0	0.02
12/01/2017	LEININGER, KENNETH	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	85.0	0.11
12/01/2017	GERE, AMY	AM FUNDS SMALLCAP WORLD A	0.00	0.19	0.00	0.19	85.0	0.01
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS SMALLCAP WORLD A	0.00	0.23	0.00	0.23	85.0	0.02
12/01/2017	KRAL/BENE, ADRIENNE	AM FUNDS SMALLCAP WORLD A	0.00	0.34	0.00	0.34	85.0	0.02
11/28/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	-50.00	-2.50	0.00	-2.50	85.0	-0.18
12/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.66	0.00	5.66	85.0	0.40
12/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.26	0.00	4.26	85.0	0.30
12/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
12/01/2017	TANGEMAN, JEANETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.93	0.00	30.93	85.0	2.17
12/01/2017	DESELMS, ELEVLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.99	0.00	9.99	85.0	0.70
12/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.53	0.00	13.53	85.0	0.95
12/01/2017	FILIPEK, BETHANY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	85.0	0.03
12/01/2017	DESELMS, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.42	0.00	4.42	85.0	0.31
12/01/2017	BASSETT, HANNAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	85.0	0.08
12/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	85.0	0.08
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.50	0.00	4.50	85.0	0.32
12/01/2017	BEISWENGER, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.82	0.00	6.82	85.0	0.48

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	COUSINO, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.43	0.00	34.43	85.0	2.41
12/01/2017	TAYLOR, GERALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.18	0.00	11.18	85.0	0.78
12/01/2017	KREMPEC, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.30	0.00	2.30	85.0	0.16
12/01/2017	FILIPEK, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.88	0.00	13.88	85.0	0.97
12/01/2017	AUGUSTYNIAK, SETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	85.0	0.03
12/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	85.0	0.05
12/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	85.0	0.07
12/01/2017	BAKER, ELAINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.14	0.00	7.14	85.0	0.50
12/01/2017	DIERKSHEIDE, TRACI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	85.0	0.13
12/01/2017	JOHNSON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.66	0.00	0.66	85.0	0.05
12/01/2017	FRANTZ, KAYLYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.86	0.00	0.86	85.0	0.06
12/01/2017	FRANTZ, CASSANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	85.0	0.06
12/01/2017	NOWAK, COLETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	85.0	0.06
12/01/2017	BAUMGARTNER, DIANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.34	0.00	7.34	85.0	0.51
12/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.17	0.00	2.17	85.0	0.15
12/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.16	0.00	2.16	85.0	0.15
12/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.87	0.00	12.87	85.0	0.90
12/01/2017	JACKSON, MARNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.93	0.00	13.93	85.0	0.98
12/01/2017	JOHNSON, CHLOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.85	0.00	0.85	85.0	0.06
12/01/2017	BASSETT, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	85.0	0.04
12/01/2017	COOK, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.66	0.00	0.66	85.0	0.05
12/01/2017	KRIEGER, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.58	0.00	3.58	85.0	0.25
12/01/2017	FRANTZ, KARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	85.0	0.05
12/01/2017	RIEBE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.12	0.00	2.12	85.0	0.15
12/01/2017	HAWBLITZ, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.41	0.00	6.41	85.0	0.45
12/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.61	0.00	4.61	85.0	0.32
12/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.87	0.00	1.87	85.0	0.13
12/01/2017	WRAY, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.22	0.00	15.22	85.0	1.07
12/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	85.0	0.04
12/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.98	0.00	2.98	85.0	0.21
12/01/2017	THANASIU, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.54	0.00	1.54	85.0	0.11
12/01/2017	PAPIO, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	85.0	0.05

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/01/2017	PAPIO, JOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.53	0.00	0.53	85.0	0.04
12/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	85.0	0.16
12/01/2017	ZORNOW TRUST, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.06	0.00	14.06	85.0	0.98
12/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.49	0.00	0.49	85.0	0.03
12/01/2017	MEREDITH, TERESE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	85.0	0.08
12/01/2017	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.83	0.00	4.83	85.0	0.34
12/01/2017	KRAMER, TRISTON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	85.0	0.05
12/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.23	0.00	9.23	85.0	0.65
12/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.30	0.00	9.30	85.0	0.65
12/01/2017	KRIEGER, RENEE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.44	0.00	9.44	85.0	0.66
12/01/2017	FISHER, SCOTT TW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.44	0.00	4.44	85.0	0.31
12/01/2017	LEININGER, ELI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.31	0.00	0.31	85.0	0.02
12/01/2017	FRENCH, VICTORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
12/01/2017	FRENCH, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
12/01/2017	KRAMER, DELANEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	85.0	0.02
12/01/2017	ABBE JR, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.73	0.00	3.73	85.0	0.26
12/01/2017	BELKOFE, STACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	85.0	0.03
12/01/2017	KRAMER, KARYS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	85.0	0.02
12/01/2017	KRAL, ADAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.95	0.00	1.95	85.0	0.14
12/01/2017	DREEZE, MARCELINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	85.0	0.14
12/01/2017	STACY, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	85.0	0.03
12/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	85.0	0.01
12/01/2017	SAPP, ANGELAMARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	85.0	0.09
12/01/2017	LATTA, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.34	0.00	1.34	85.0	0.09
12/01/2017	GRAHAM, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	85.0	0.01
12/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.84	0.00	12.84	85.0	0.90
12/01/2017	MI/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.85	0.00	8.85	85.0	0.62
12/01/2017	PAPIO, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.53	0.00	0.53	85.0	0.04
12/01/2017	LEININGER, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.62	0.00	4.62	85.0	0.32
12/01/2017	PERRY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.51	0.00	20.51	85.0	1.44
12/01/2017	GERE, AMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.21	0.00	0.21	85.0	0.01
12/01/2017	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	85.0	0.01
12/01/2017	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.10	0.00	3.10	85.0	0.22

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: THOMAS HALSEY #82</u>								
12/01/2017	VESEY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	85.0	0.08
12/01/2017	UNTIL AGE 21, OH/UTMA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
12/01/2017	KRAL/BENE, ADRIENNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	85.0	0.04
12/06/2017	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	2,700.00	135.00	0.00	135.00	85.0	9.45
/ /	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	37.50	0.00	37.50	85.0	2.63
11/30/2017	BUEHRER, DANIEL	JNL PERSPECTIVE L	189,774.92	158.15	0.00	158.15	85.0	11.07
11/30/2017	NOWAK, DAVID	JOHN HANCOCK VENTURE III	19,252.15	16.04	0.00	16.04	85.0	1.12
11/30/2017	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	54,729.56	45.61	0.00	45.61	85.0	3.19
11/30/2017	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	43,276.63	36.06	0.00	36.06	85.0	2.52
12/01/2017	DESELMS, ROBERT	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.67	0.00	0.67	85.0	0.05
11/28/2017	PRZYBYLSKI, JEREMIAH	MML ARTISTRY	100.00	5.50	0.00	5.50	85.0	0.39
11/29/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
11/02/2017	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	138,303.22	115.25	0.00	115.25	85.0	8.07
11/05/2017	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	110,744.61	92.29	0.00	92.29	85.0	6.46
11/05/2017	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	86,897.77	72.41	0.00	72.41	85.0	5.07
11/06/2017	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	240,021.81	200.02	0.00	200.02	85.0	14.00
11/07/2017	EYLER, BARBARA	TRANSAMERICA LIBERTY	103,106.79	85.92	0.00	85.92	85.0	6.01
11/07/2017	BUEHRER, SARAH	TRANSAMERICA LIBERTY	144,808.80	120.67	0.00	120.67	85.0	8.45
11/07/2017	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	154,797.24	129.00	0.00	129.00	85.0	9.03
11/07/2017	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	194,892.95	162.41	0.00	162.41	85.0	11.37
11/08/2017	FERGUSON, MARK	TRANSAMERICA LIBERTY	246,770.96	205.64	0.00	205.64	85.0	14.39
11/08/2017	DE SELMS, KAREN	TRANSAMERICA LIBERTY	135,949.77	113.29	0.00	113.29	85.0	7.93
11/09/2017	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	179,837.83	149.86	0.00	149.86	85.0	10.49
11/10/2017	THANASIU, THOMAS	TRANSAMERICA LIBERTY	111,809.36	93.17	0.00	93.17	85.0	6.52
11/10/2017	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	96,593.23	80.49	0.00	80.49	85.0	5.63
11/10/2017	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	90,586.89	75.49	0.00	75.49	85.0	5.28
11/12/2017	DIENER, JUDITH	TRANSAMERICA LIBERTY	139,696.35	116.41	0.00	116.41	85.0	8.15
11/12/2017	RUCH, RONALD	TRANSAMERICA LIBERTY	67,963.55	56.64	0.00	56.64	85.0	3.96
11/13/2017	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	29,488.96	24.57	0.00	24.57	85.0	1.72
11/16/2017	BAKER, ELAINE	TRANSAMERICA LIBERTY	225,584.99	187.99	0.00	187.99	85.0	13.16
11/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	70,670.66	58.89	0.00	58.89	85.0	4.12
11/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	70,670.66	58.89	0.00	58.89	85.0	4.12
11/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	70,670.66	58.89	0.00	58.89	85.0	4.12

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
11/20/2017	RICHARDS, STEPHEN	TRANSAMERICA LIBERTY	107,780.63	89.82	0.00	89.82	85.0	6.29
11/21/2017	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	204,482.11	170.40	0.00	170.40	85.0	11.93
11/22/2017	AUGUSTYNYIAK JR, ROGER	TRANSAMERICA LIBERTY	435,365.00	362.80	0.00	362.80	85.0	25.40
11/22/2017	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	95,556.11	79.63	0.00	79.63	85.0	5.57
11/25/2017	PERRY, ALAN	TRANSAMERICA LIBERTY	411,563.14	342.97	0.00	342.97	85.0	24.01
11/25/2017	TAYLOR, LILY	TRANSAMERICA LIBERTY	72,907.49	60.76	0.00	60.76	85.0	4.25
11/26/2017	ANNESSER, CAROL	TRANSAMERICA LIBERTY	116,041.98	96.70	0.00	96.70	85.0	6.77
11/27/2017	DESELMS, KAREN	TRANSAMERICA LIBERTY	125,738.11	104.78	0.00	104.78	85.0	7.33
11/27/2017	WRAY, JOCELYN	TRANSAMERICA LIBERTY	29,259.81	24.38	0.00	24.38	85.0	1.71
11/27/2017	WRAY, KIM	TRANSAMERICA LIBERTY	68,138.70	56.78	0.00	56.78	85.0	3.97
11/27/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	37,177.76	30.98	0.00	30.98	85.0	2.17
11/30/2017	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	48,980.97	40.82	0.00	40.82	85.0	2.86
* THOMAS HALSEY SUBTOTAL *			\$4,772,692.13	\$5,467.56	\$0.00	\$5,467.56		\$382.72

 BROKER: ROBERT THOMPSON #83

12/01/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	18.27	0.00	18.27	90.0	0.37
12/01/2017	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	11.49	0.00	11.49	90.0	0.23
12/01/2017	SCHUMACHER, ROSEMARY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.28	0.00	4.28	90.0	0.09
12/01/2017	MAXFIELD, RICHARD	AM FUNDS BOND FUND OF AMERICA A	0.00	18.69	0.00	18.69	90.0	0.37
12/01/2017	PENNINGTON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	12.50	0.00	12.50	90.0	0.25
12/01/2017	SHAFFER TRUST, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	14.64	0.00	14.64	90.0	0.29
12/01/2017	GRAHAM, JUDY	AM FUNDS BOND FUND OF AMERICA A	0.00	7.13	0.00	7.13	90.0	0.14
12/01/2017	DAVIS, HOWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	6.65	0.00	6.65	90.0	0.13
12/01/2017	MICHALSKI, PAIGE	AM FUNDS BOND FUND OF AMERICA A	0.00	7.83	0.00	7.83	90.0	0.16
12/01/2017	HILEMAN, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	32.14	0.00	32.14	90.0	0.64
12/01/2017	MOORE CHARIT TRUST, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	16.36	0.00	16.36	90.0	0.33
12/01/2017	BLADEL, JACQUELYN	AM FUNDS BOND FUND OF AMERICA A	0.00	35.28	0.00	35.28	90.0	0.71
12/01/2017	FURNEY, DANNY	AM FUNDS BOND FUND OF AMERICA A	0.00	12.40	0.00	12.40	90.0	0.25
12/01/2017	RICE, GREGG	AM FUNDS BOND FUND OF AMERICA A	0.00	57.81	0.00	57.81	90.0	1.16
12/01/2017	MITTEN, ETTA	AM FUNDS BOND FUND OF AMERICA A	0.00	40.62	0.00	40.62	90.0	0.81
12/01/2017	GRUBB, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	0.00	25.21	0.00	25.21	90.0	0.50
12/01/2017	MICHALSKI, GERALDINE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.08	0.00	2.08	90.0	0.04
12/01/2017	WALTER, JEFFREY	AM FUNDS BOND FUND OF AMERICA A	0.00	6.76	0.00	6.76	90.0	0.14
12/01/2017	MUIR, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.09	0.00	9.09	90.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
12/01/2017	WALTER, JEFFREY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.60	0.00	2.60	90.0	0.05
12/01/2017	BESTOR, SALLY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.69	0.00	2.69	90.0	0.05
12/01/2017	JACOB TRUST, MARILYN	AM FUNDS BOND FUND OF AMERICA A	0.00	33.36	0.00	33.36	90.0	0.67
12/01/2017	RICE, PAMELA	AM FUNDS BOND FUND OF AMERICA A	0.00	11.44	0.00	11.44	90.0	0.23
12/01/2017	ROSSWURM, ELAINE	AM FUNDS BOND FUND OF AMERICA A	0.00	15.07	0.00	15.07	90.0	0.30
12/01/2017	WALTER, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	0.04
12/01/2017	WALTER, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	1.15	0.00	1.15	90.0	0.02
12/06/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	20,000.00	550.00	0.00	550.00	90.0	11.00
12/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.13	0.00	4.13	90.0	0.08
12/01/2017	JACOB TRUST, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.65	0.00	4.65	90.0	0.09
12/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD BOND A	0.00	6.85	0.00	6.85	90.0	0.14
12/01/2017	JEFFERS, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	4.99	0.00	4.99	90.0	0.10
12/01/2017	GAJEWSKI, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	3.35	0.00	3.35	90.0	0.07
12/01/2017	JACOB, MARILYN	AM FUNDS CAPITAL WORLD BOND A	0.00	19.10	0.00	19.10	90.0	0.38
12/01/2017	BUEHLER, ARNOLD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.69	0.00	19.69	90.0	0.39
12/01/2017	SCHWEINHAGEN, RUPERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.80	0.00	35.80	90.0	0.72
12/01/2017	NEITZ, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.78	0.00	13.78	90.0	0.28
12/01/2017	PENNINGTON, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.83	0.00	26.83	90.0	0.54
12/01/2017	MAXFIELD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	39.01	0.00	39.01	90.0	0.78
12/01/2017	BESTOR, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.76	0.00	17.76	90.0	0.36
12/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	60.75	0.00	60.75	90.0	1.22
12/01/2017	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.44	0.00	31.44	90.0	0.63
12/01/2017	GRIM, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.02
12/01/2017	ROSSWURM, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.38	0.00	23.38	90.0	0.47
12/01/2017	RECKNER, GARTH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.87	0.00	1.87	90.0	0.04
12/01/2017	WALTER, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.30	0.00	2.30	90.0	0.05
12/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	50.16	0.00	50.16	90.0	1.00
12/01/2017	SHAFFER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	90.0	0.01
12/01/2017	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.74	0.00	21.74	90.0	0.43
12/01/2017	RICE, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.48	0.00	3.48	90.0	0.07
12/01/2017	RICE JR, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.28	0.00	5.28	90.0	0.11
12/01/2017	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.97	0.00	19.97	90.0	0.40
12/01/2017	WALTER, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.91	0.00	1.91	90.0	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
12/01/2017	SWEARINGEN, ERIC	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	32.29	0.00	32.29	90.0	0.65
12/01/2017	RINGGER, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.69	0.00	14.69	90.0	0.29
12/01/2017	JEFFERS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.57	0.00	10.57	90.0	0.21
12/01/2017	FLECK, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.76	0.00	14.76	90.0	0.30
12/01/2017	SHAFFER, JAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	21.74	0.00	21.74	90.0	0.43
12/01/2017	RICE JR, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.27	0.00	0.27	90.0	0.01
12/01/2017	RICE, GREGG	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.19	0.00	3.19	90.0	0.06
12/01/2017	PENNINGTON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.02	0.00	29.02	90.0	0.58
12/01/2017	RICE, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.38	0.00	4.38	90.0	0.09
12/01/2017	GRIM, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
12/01/2017	WALTER, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	90.0	0.05
12/01/2017	RICE JR, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.02
12/01/2017	WALTER, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.93	0.00	1.93	90.0	0.04
12/01/2017	SEITZINGER, MARK	AM FUNDS ICA A	0.00	27.30	0.00	27.30	90.0	0.55
12/01/2017	WALTER, JEFFREY	AM FUNDS ICA A	0.00	2.25	0.00	2.25	90.0	0.05
12/01/2017	WALTER, LAURA	AM FUNDS ICA A	0.00	1.86	0.00	1.86	90.0	0.04
12/01/2017	MOORE, EILEEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	55.93	0.00	55.93	90.0	1.12
12/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	13.81	0.00	13.81	90.0	0.28
12/01/2017	DAVIS, HOWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	12.01	0.00	12.01	90.0	0.24
12/01/2017	SWEARINGEN, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.34	0.00	2.34	90.0	0.05
12/01/2017	LYKES, EMMANUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.85	0.00	0.85	90.0	0.02
12/01/2017	LYKES, EMMANUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.50	0.00	0.50	90.0	0.01
12/01/2017	NEITZ, CHRISTINA	AM FUNDS NEW WORLD A	0.00	5.08	0.00	5.08	90.0	0.10
12/01/2017	GRIM, SUSAN	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	90.0	0.01
12/01/2017	PENNINGTON, SANDRA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	37.00	0.00	37.00	90.0	0.74
12/01/2017	MAXFIELD, RICHARD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	17.52	0.00	17.52	90.0	0.35
12/01/2017	PENNINGTON, STEVE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.96	0.00	10.96	90.0	0.22
12/01/2017	WODA, HELENE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.75	0.00	6.75	90.0	0.14
12/01/2017	MOORE, EILEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	22.33	0.00	22.33	90.0	0.45
12/01/2017	JACOB, MARILYN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.59	0.00	7.59	90.0	0.15
12/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.16	0.00	9.16	90.0	0.18
12/01/2017	SHAFFER, JAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	27.49	0.00	27.49	90.0	0.55
12/01/2017	JEFFERS, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	7.91	0.00	7.91	90.0	0.16

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
12/01/2017	FLECK, GERALD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.04	0.00	9.04	90.0	0.18
12/01/2017	GRIM, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.34	0.00	0.34	90.0	0.01
11/14/2017	RUTLEDGE, JOANNE	GOOD HARBOR TACTICAL CORE US FD A	0.00	4.90	0.00	4.90	90.0	0.10
11/29/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
11/30/2017	RICHARDS, MILDRED	JNL PERSPECTIVE	39,017.92	8.13	0.00	8.13	90.0	0.16
11/30/2017	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,136.29	1.34	0.00	1.34	90.0	0.03
11/30/2017	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	39,805.67	33.17	0.00	33.17	90.0	0.66
11/30/2017	SMITH, FRANK	JOHN HANCOCK VENTURE III	103,547.20	86.29	0.00	86.29	90.0	1.73
11/30/2017	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	25,980.65	21.65	0.00	21.65	90.0	0.43
11/30/2017	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	36,968.55	30.81	0.00	30.81	90.0	0.62
11/30/2017	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	131,972.62	109.98	0.00	109.98	90.0	2.20
11/30/2017	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	135,715.39	113.10	0.00	113.10	90.0	2.26
11/30/2017	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	171,725.37	143.10	0.00	143.10	90.0	2.86
11/30/2017	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	25,953.88	21.63	0.00	21.63	90.0	0.43
11/30/2017	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	44,326.07	36.94	0.00	36.94	90.0	0.74
11/30/2017	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	19,198.25	16.00	0.00	16.00	90.0	0.32
11/30/2017	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	23,274.08	19.40	0.00	19.40	90.0	0.39
11/30/2017	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	166,653.70	138.88	0.00	138.88	90.0	2.78
11/30/2017	ELWING, LOUISE	JOHN HANCOCK VENTURE III	157,047.60	130.87	0.00	130.87	90.0	2.62
11/30/2017	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	152,815.21	127.35	0.00	127.35	90.0	2.55
11/30/2017	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	223,389.62	186.16	0.00	186.16	90.0	3.72
11/30/2017	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	42,144.47	35.12	0.00	35.12	90.0	0.70
11/30/2017	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	120,694.60	100.58	0.00	100.58	90.0	2.01
11/30/2017	RICE, PAMELA	JOHN HANCOCK VENTURE III	112,797.27	94.00	0.00	94.00	90.0	1.88
11/30/2017	RINGGER, LINDA	JOHN HANCOCK VENTURE III	122,558.76	102.13	0.00	102.13	90.0	2.04
11/30/2017	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	24,353.68	20.29	0.00	20.29	90.0	0.41
11/30/2017	WODA, HELENE	JOHN HANCOCK VENTURE III	27,691.67	23.08	0.00	23.08	90.0	0.46
11/29/2017	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	58,437.67	60.87	0.00	60.87	90.0	1.22
11/02/2017	RINGGER, MARK	TRANSAMERICA LIBERTY	137,969.25	114.97	0.00	114.97	90.0	2.30
11/04/2017	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,722.66	3.94	0.00	3.94	90.0	0.08
11/05/2017	MOORE, EILEEN	TRANSAMERICA LIBERTY	263,861.16	219.88	0.00	219.88	90.0	4.40
11/05/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	24,553.10	20.46	0.00	20.46	90.0	0.41
11/07/2017	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	6,048.34	5.04	0.00	5.04	90.0	0.10

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
11/07/2017	FRAZIER, JULIE	TRANSAMERICA LIBERTY	56,965.50	47.47	0.00	47.47	90.0	0.95
11/08/2017	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	94,044.95	78.37	0.00	78.37	90.0	1.57
11/09/2017	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	48,309.74	40.26	0.00	40.26	90.0	0.81
11/12/2017	LABERDEE, LARRY	TRANSAMERICA LIBERTY	33,049.97	27.54	0.00	27.54	90.0	0.55
11/13/2017	WODA, HELENE	TRANSAMERICA LIBERTY	39,263.22	32.72	0.00	32.72	90.0	0.65
11/13/2017	FURNEY, DANNY	TRANSAMERICA LIBERTY	256,559.49	213.80	0.00	213.80	90.0	4.28
11/13/2017	MERZ, EDWIN	TRANSAMERICA LIBERTY	158,137.73	131.78	0.00	131.78	90.0	2.64
11/13/2017	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	80,084.85	66.74	0.00	66.74	90.0	1.33
11/15/2017	RICE, CHERYL	TRANSAMERICA LIBERTY	2,624.10	2.19	0.00	2.19	90.0	0.04
11/15/2017	JACOB, MARILYN	TRANSAMERICA LIBERTY	241,353.52	201.13	0.00	201.13	90.0	4.02
11/16/2017	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	114,519.32	95.43	0.00	95.43	90.0	1.91
11/16/2017	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,670.13	2.23	0.00	2.23	90.0	0.04
11/16/2017	RICE, SUSAN	TRANSAMERICA LIBERTY	122,355.54	101.96	0.00	101.96	90.0	2.04
11/17/2017	OSTER, JENNIFER	TRANSAMERICA LIBERTY	27,132.85	22.61	0.00	22.61	90.0	0.45
11/21/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	101,444.66	84.54	0.00	84.54	90.0	1.69
11/22/2017	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	81,793.74	68.16	0.00	68.16	90.0	1.36
11/22/2017	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	40,691.41	33.91	0.00	33.91	90.0	0.68
11/22/2017	JEFFERS, DAVID	TRANSAMERICA LIBERTY	113,283.11	94.40	0.00	94.40	90.0	1.89
11/23/2017	SEITZINGER, MARK	TRANSAMERICA LIBERTY	72,111.80	60.09	0.00	60.09	90.0	1.20
11/23/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	100,360.50	83.63	0.00	83.63	90.0	1.67
11/24/2017	HALL, WAYNE	TRANSAMERICA LIBERTY	170,016.57	141.68	0.00	141.68	90.0	2.83
11/24/2017	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	215,805.23	179.84	0.00	179.84	90.0	3.60
11/26/2017	WENZ, JAMES	TRANSAMERICA LIBERTY	26,168.74	21.81	0.00	21.81	90.0	0.44
11/26/2017	FISH, SANDRA	TRANSAMERICA LIBERTY	77,047.69	64.21	0.00	64.21	90.0	1.28
11/26/2017	ZAWODNI, CAROL	TRANSAMERICA LIBERTY	149,778.48	124.82	0.00	124.82	90.0	2.50
11/26/2017	RICE, PAMELA	TRANSAMERICA LIBERTY	61,926.83	51.61	0.00	51.61	90.0	1.03
11/27/2017	DAVIS, HOWARD	TRANSAMERICA LIBERTY	30,981.99	25.82	0.00	25.82	90.0	0.52
11/28/2017	COOPER, MARK	TRANSAMERICA LIBERTY	116,105.00	96.75	0.00	96.75	90.0	1.94
11/29/2017	SHAFFER, EMILY	TRANSAMERICA LIBERTY	168,687.34	140.57	0.00	140.57	90.0	2.81
* ROBERT THOMPSON SUBTOTAL *			\$5,268,784.70	\$6,168.25	\$0.00	\$6,168.25		\$123.44
*** OVERRIDE TRANSACTIONS TOTAL ***			\$10,041,476.83	\$11,635.81	\$0.00	\$11,635.81		\$506.16

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<u>ADJUSTMENTS</u>								
12/15/2017		*ALBRIDGE: FULL USER	0.00					-176.00
12/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
12/15/2017		*TECHNOLOGY: ADMIN - DEB RYAN 1/3R	0.00					-43.34
12/15/2017		*TECHNOLOGY: ADMIN - J BOYERS 1/3RD	0.00					-43.34
12/15/2017		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-742.68

BROKER COMMISSION TOTALS

Broker Transactions	\$12,373.53
Split Transactions	\$0.00
Override Transactions	\$506.16
Adjustments	\$-742.68
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$12,137.01
Year-to-date Gross	\$118,929.80
Year-to-date Earnings	\$115,124.55

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