



All Companies

05/30/2018

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# COMMISSION STATEMENT

June 01, 2018

JON D. JOHNSON  
6630 Dark Canyon Road

BROKER #: 9604  
BRANCH: HOME OFFICE

Rapid City, SD 57702-

## COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

### BROKER TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

|            |                                      |                                   |   |          |       |      |       |      |       |
|------------|--------------------------------------|-----------------------------------|---|----------|-------|------|-------|------|-------|
| 04/30/2018 | TRAILS                               | - LORD ABBETT                     | B | 90.37    | 90.37 | 0.00 | 90.37 | 90.0 | 81.33 |
| 05/15/2018 | PETERSON, JEFF W.                    | -PUTNAM                           | B | 114.00   | 4.28  | 0.00 | 4.28  | 90.0 | 3.85  |
| 05/15/2018 | PRECISION PHYS THERAPY               | NATIONWIDE QUALIFIED PLAN         | B | 3,122.18 | 95.56 | 0.00 | 95.56 | 90.0 | 86.00 |
| 05/15/2018 | 000000002736585 WEISCHEDEL,<br>SCOTT | MUTUAL BEACON FND - CL A          | B | 110.00   | 3.08  | 0.00 | 3.08  | 90.0 | 2.77  |
| 05/15/2018 | 000000008622413 KILEY, JACOB<br>L.   | MUTUAL DISC FND - CL A            | B | 114.50   | 4.29  | 0.00 | 4.29  | 90.0 | 3.86  |
| 05/15/2018 | 000002974389195 WEISCHEDEL,<br>SCOTT | TEMPLETON WORLD FD CL I           | B | 110.00   | 3.08  | 0.00 | 3.08  | 90.0 | 2.77  |
| 05/07/2018 | 000004978615738 PARKS, DANIEL        | TEMPLETON FOREIGN FD CL I         | B | 150.00   | 4.20  | 0.00 | 4.20  | 90.0 | 3.78  |
| 05/15/2018 | 000006983387835 NILLES, VICKIE       | TEMPLETON GLOBAL BD FD CL I       | B | 500.00   | 20.00 | 0.00 | 20.00 | 90.0 | 18.00 |
| 05/15/2018 | 000015815190438 KILEY, JACOB<br>L.   | FRANKLIN RISING DIVIDEND FD CL I  | B | 114.50   | 4.29  | 0.00 | 4.29  | 90.0 | 3.86  |
| 05/07/2018 | 000019818033829 PARKS, DANIEL        | FRANKLIN SMALL CAP GROWTH FD CL I | B | 150.00   | 4.20  | 0.00 | 4.20  | 90.0 | 3.78  |
| 05/15/2018 | 000019818050371 WEISCHEDEL,<br>SCOTT | FRANKLIN SMALL CAP GROWTH FD CL I | B | 110.00   | 3.08  | 0.00 | 3.08  | 90.0 | 2.77  |
| 05/01/2018 | 00002407595 SWANSON, JOHN H.         | FUNDAMENTAL ALL CAP CORE C        | B | 99.00    | 0.99  | 0.00 | 0.99  | 90.0 | 0.89  |
| 05/16/2018 | 00002407595 SWANSON, JOHN H.         | FUNDAMENTAL ALL CAP CORE C        | B | 202.68   | 2.03  | 0.00 | 2.03  | 90.0 | 1.83  |
| 05/01/2018 | 00002407597 SHOUP, MICHAEL           | LARGE CAP EQUITY C                | B | 163.73   | 1.64  | 0.00 | 1.64  | 90.0 | 1.48  |
| 05/16/2018 | 00002407597 SHOUP, MICHAEL           | LARGE CAP EQUITY C                | B | 396.12   | 3.96  | 0.00 | 3.96  | 90.0 | 3.56  |
| 05/01/2018 | 00003378327 LAWRENCE, ANDRE X.       | MULTIMANAGER 2060 LIFETIME PORT A | B | 99.00    | 4.21  | 0.00 | 4.21  | 90.0 | 3.79  |
| 05/16/2018 | 00003378327 LAWRENCE, ANDRE X.       | MULTIMANAGER 2060 LIFETIME PORT A | B | 220.34   | 9.36  | 0.00 | 9.36  | 90.0 | 8.42  |
| 05/15/2018 | 000060177587736 KILEY, JACOB<br>L.   | FRANKLIN GROWTH FD CL I           | B | 114.50   | 4.29  | 0.00 | 4.29  | 90.0 | 3.86  |
| 05/07/2018 | 000080192852311 PARKS, DANIEL        | FRANKLIN DYNATECH FD CL I         | B | 200.00   | 5.60  | 0.00 | 5.60  | 90.0 | 5.04  |
| 05/15/2018 | 000080193156393 KILEY, JACOB<br>L.   | FRANKLIN DYNATECH FD CL I         | B | 114.50   | 4.29  | 0.00 | 4.29  | 90.0 | 3.86  |
| 05/03/2018 | 00035820046 HERMAN, BARRY            | IVY GLOBAL EQUITY INCOME A        | B | 500.00   | 25.00 | 0.00 | 25.00 | 90.0 | 22.50 |
| 05/07/2018 | 00035825027 FOWLER, RANDY S.         | IVY GLOBAL EQUITY INCOME A        | B | 25.00    | 1.13  | 0.00 | 1.13  | 90.0 | 1.02  |
| 05/07/2018 | 00035825027 FOWLER, RANDY S.         | IVY HIGH INCOME A                 | B | 25.00    | 1.13  | 0.00 | 1.13  | 90.0 | 1.02  |
| 05/07/2018 | 00035825032 FOWLER, MARY B.          | IVY ASSET STRATEGY A              | B | 50.00    | 2.25  | 0.00 | 2.25  | 90.0 | 2.03  |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT                                     | INVESTMENT                          | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|--|-------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |  |                                     |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |  |                                     |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00035837032 WEISCHEDEL,<br>VANESSA BRANDLI | IVY ASSET STRATEGY A                | B   | 110.00               | 4.95                | 0.00               | 4.95              | 90.0 | 4.46                 |
| 05/15/2018                            | 00035837032 WEISCHEDEL,<br>VANESSA BRANDLI | IVY INTERNATIONAL CORE EQUITY A     | B   | 110.00               | 4.95                | 0.00               | 4.95              | 90.0 | 4.46                 |
| 05/15/2018                            | 00035837032 WEISCHEDEL,<br>VANESSA BRANDLI | IVY VALUE A                         | B   | 110.00               | 4.95                | 0.00               | 4.95              | 90.0 | 4.46                 |
| 05/08/2018                            | 00035841068 STELLWAGEN, JAY                | IVY CUNDILL GLOBAL VALUE A          | B   | 729.25               | 14.59               | 0.00               | 14.59             | 90.0 | 13.13                |
| 05/08/2018                            | 00035841068 STELLWAGEN, JAY                | IVY MID CAP GROWTH A                | B   | 729.25               | 14.59               | 0.00               | 14.59             | 90.0 | 13.13                |
| 05/08/2018                            | 00035841068 STELLWAGEN, JAY                | IVY SCIENCE & TECH A                | B   | 729.25               | 14.59               | 0.00               | 14.59             | 90.0 | 13.13                |
| 05/08/2018                            | 00035841068 STELLWAGEN, JAY                | IVY VALUE A                         | B   | 729.25               | 14.59               | 0.00               | 14.59             | 90.0 | 13.13                |
| 05/10/2018                            | 00035926510 ROSETTER, LUANN                | IVY BALANCED A                      | B   | 114.00               | 4.56                | 0.00               | 4.56              | 90.0 | 4.10                 |
| 05/10/2018                            | 00035926510 ROSETTER, LUANN                | IVY CUNDILL GLOBAL VALUE A          | B   | 114.00               | 4.56                | 0.00               | 4.56              | 90.0 | 4.10                 |
| 05/10/2018                            | 00035926510 ROSETTER, LUANN                | IVY LARGE CAP GROWTH A              | B   | 115.00               | 4.60                | 0.00               | 4.60              | 90.0 | 4.14                 |
| 05/10/2018                            | 00035926510 ROSETTER, LUANN                | IVY SCIENCE & TECH A                | B   | 115.00               | 4.60                | 0.00               | 4.60              | 90.0 | 4.14                 |
| 05/15/2018                            | 00035932391 KILEY, ELIZABETH               | IVY LARGE CAP GROWTH A              | B   | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00036173189 TRANS MIN ACT NM,<br>UNIF      | IVY CORE EQUITY A                   | B   | 162.44               | 3.25                | 0.00               | 3.25              | 90.0 | 2.93                 |
| 05/15/2018                            | 00036182725 KILEY,<br>EMILY/CHANDRA        | IVY VALUE A                         | B   | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/01/2018                            | 00036207246 SAWYER, ALEXANDER              | IVY LARGE CAP GROWTH A              | B   | 458.00               | 12.82               | 0.00               | 12.82             | 90.0 | 11.54                |
| 05/01/2018                            | 00036207269 SAWYER, MADELYN E.             | IVY CORE EQUITY A                   | B   | 458.00               | 12.82               | 0.00               | 12.82             | 90.0 | 11.54                |
| 05/15/2018                            | 00036277542 STELLWAGEN, JAY T.             | IVY GLOBAL EQUITY INCOME A          | B   | 167.00               | 3.34                | 0.00               | 3.34              | 90.0 | 3.01                 |
| 05/15/2018                            | 00036277546 STELLWAGEN, JAY T.             | IVY GLOBAL EQUITY INCOME A          | B   | 167.00               | 3.34                | 0.00               | 3.34              | 90.0 | 3.01                 |
| 05/14/2018                            | 00036357089 DUNN, ANGELA C.                | IVY BALANCED A                      | B   | 2,516.31             | 125.82              | 0.00               | 125.82            | 90.0 | 113.24               |
| 05/15/2018                            | 00063960504 LECY, DOUG                     | AMERICAN FUNDS AMCAP FD             | B   | 115.00               | 2.30                | 0.00               | 2.30              | 90.0 | 2.07                 |
| 05/15/2018                            | 00063960504 LECY, DOUG                     | AMERICAN FUNDS AMERICAN MUTUAL FD   | B   | 115.00               | 2.30                | 0.00               | 2.30              | 90.0 | 2.07                 |
| 05/15/2018                            | 00063960504 LECY, DOUG                     | AMERICAN FUNDS INCOME FD OF AMERI   | B   | 114.00               | 2.28                | 0.00               | 2.28              | 90.0 | 2.05                 |
| 05/15/2018                            | 00063960504 LECY, DOUG                     | AMERICAN FUNDS NEW PERSPECTIVE FD   | B   | 114.00               | 2.28                | 0.00               | 2.28              | 90.0 | 2.05                 |
| 05/15/2018                            | 00069075893 BARBER, PEGGY                  | AMERICAN FUNDS BD FD OF AMER FD     | B   | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 05/15/2018                            | 00069075893 BARBER, PEGGY                  | AMERICAN FUNDS GROWTH FUND OF AMERI | B   | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS AMCAP FD             | B   | 75.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS BD FD OF AMER FD     | B   | 60.00                | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS BD FD OF AMER FD     | B   | 336.00               | 6.72                | 0.00               | 6.72              | 90.0 | 6.05                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS FUNDAMENTAL INVES    | B   | 45.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS FUNDAMENTAL INVES    | B   | 288.00               | 5.76                | 0.00               | 5.76              | 90.0 | 5.18                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS GROWTH FUND OF AMERI | B   | 144.00               | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS INTERM BD FD OF AMER | B   | 30.00                | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS INTERM BD FD OF AMER | B   | 144.00               | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS NEW PERSPECTIVE FD   | B   | 45.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 05/10/2018                            | 00074802215 DIAMOND, KENNETH               | AMERICAN FUNDS NEW PERSPECTIVE FD   | B   | 144.00               | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |

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| TRADE DATE                     | CLIENT      | INVESTMENT                  | B/S                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |      |
|--------------------------------|-------------|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|------|
| BROKER TRANSACTIONS            |             |                             |                                     |                      |                     |                    |                   |      |                      |      |
| PRODUCT CATEGORY: MUTUAL FUNDS |             |                             |                                     |                      |                     |                    |                   |      |                      |      |
| 05/10/2018                     | 00074802215 | DIAMOND, KENNETH            | AMERICAN FUNDS SMALL CAP WORLD FD   | B                    | 45.00               | 0.90               | 0.00              | 0.90 | 90.0                 | 0.81 |
| 05/10/2018                     | 00074802215 | DIAMOND, KENNETH            | AMERICAN FUNDS SMALL CAP WORLD FD   | B                    | 144.00              | 2.88               | 0.00              | 2.88 | 90.0                 | 2.59 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS AMCAP FD             | B                    | 44.83               | 0.90               | 0.00              | 0.90 | 90.0                 | 0.81 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS AMCAP FD             | B                    | 44.83               | 0.90               | 0.00              | 0.90 | 90.0                 | 0.81 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS BALANCED FD          | B                    | 24.91               | 0.50               | 0.00              | 0.50 | 90.0                 | 0.45 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS BALANCED FD          | B                    | 24.91               | 0.50               | 0.00              | 0.50 | 90.0                 | 0.45 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS INTERM BD FD OF AMER | B                    | 14.94               | 0.30               | 0.00              | 0.30 | 90.0                 | 0.27 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | AMERICAN FUNDS INTERM BD FD OF AMER | B                    | 14.94               | 0.30               | 0.00              | 0.30 | 90.0                 | 0.27 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | NEW WORLD FUND-A                    | B                    | 14.94               | 0.30               | 0.00              | 0.30 | 90.0                 | 0.27 |
| 05/10/2018                     | 00074802242 | REGAN-HAMILTON,<br>JENNIFER | NEW WORLD FUND-A                    | B                    | 14.94               | 0.30               | 0.00              | 0.30 | 90.0                 | 0.27 |
| 05/17/2018                     | 00075013619 | BECK, EMILY                 | AMERICAN FUNDS AMCAP FD             | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/17/2018                     | 00075013619 | BECK, EMILY                 | AMERICAN FUNDS CAPITAL INCOME BUILD | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/17/2018                     | 00075013619 | BECK, EMILY                 | GLOBAL BALANCED FUND-A              | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/14/2018                     | 00081152428 | LECY, ANN                   | AMERICAN FUNDS AMCAP FD             | B                    | 115.00              | 2.30               | 0.00              | 2.30 | 90.0                 | 2.07 |
| 05/14/2018                     | 00081152428 | LECY, ANN                   | AMERICAN FUNDS CAPITAL WORLD GROWT  | B                    | 114.00              | 2.28               | 0.00              | 2.28 | 90.0                 | 2.05 |
| 05/14/2018                     | 00081152428 | LECY, ANN                   | AMERICAN FUNDS INCOME FD OF AMERI   | B                    | 115.00              | 2.30               | 0.00              | 2.30 | 90.0                 | 2.07 |
| 05/14/2018                     | 00081152428 | LECY, ANN                   | NEW WORLD FUND-A                    | B                    | 114.00              | 2.28               | 0.00              | 2.28 | 90.0                 | 2.05 |
| 05/17/2018                     | 00081536505 | BECK, MICHAEL               | AMERICAN FUNDS FUNDAMENTAL INVES    | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/17/2018                     | 00081536505 | BECK, MICHAEL               | AMERICAN FUNDS GROWTH FUND OF AMERI | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/17/2018                     | 00081536505 | BECK, MICHAEL               | AMERICAN FUNDS SMALL CAP WORLD FD   | B                    | 76.25               | 2.10               | 0.00              | 2.10 | 90.0                 | 1.89 |
| 05/10/2018                     | 00081638112 | KETZNER, TODD               | AMERICAN FUNDS CAPITAL WORLD GROWT  | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00081638112 | KETZNER, TODD               | AMERICAN FUNDS GROWTH FUND OF AMERI | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00081638112 | KETZNER, TODD               | AMERICAN FUNDS INVESTMENT COMP OF A | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00081638112 | KETZNER, TODD               | AMERICAN FUNDS NEW PERSPECTIVE FD   | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00082366615 | KETZNER, KARISSA            | AMERICAN FUNDS CAPITAL WORLD GROWT  | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00082366615 | KETZNER, KARISSA            | AMERICAN FUNDS GROWTH FUND OF AMERI | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00082366615 | KETZNER, KARISSA            | AMERICAN FUNDS INVESTMENT COMP OF A | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00082366615 | KETZNER, KARISSA            | AMERICAN FUNDS NEW PERSPECTIVE FD   | B                    | 50.00               | 1.38               | 0.00              | 1.38 | 90.0                 | 1.24 |
| 05/10/2018                     | 00082960130 | REGIER, STEPHANIE           | AMERICAN FUNDS CAPITAL INCOME BUILD | B                    | 50.00               | 2.13               | 0.00              | 2.13 | 90.0                 | 1.92 |
| 05/10/2018                     | 00082960130 | REGIER, STEPHANIE           | AMERICAN FUNDS EURO PACIFIC GROWT   | B                    | 50.00               | 2.13               | 0.00              | 2.13 | 90.0                 | 1.92 |
| 05/10/2018                     | 00082960130 | REGIER, STEPHANIE           | AMERICAN FUNDS GROWTH FUND OF AMERI | B                    | 50.00               | 2.13               | 0.00              | 2.13 | 90.0                 | 1.92 |
| 05/10/2018                     | 00082960172 | REGIER, DARYL               | AMERICAN FUNDS AMCAP FD             | B                    | 50.00               | 2.13               | 0.00              | 2.13 | 90.0                 | 1.92 |

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|---------------------------------------|-------------|--------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |             |                    |                                       |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |             |                    |                                       |                      |                     |                    |                   |      |                      |
| 05/10/2018                            | 00082960172 | REGIER, DARYL      | AMERICAN FUNDS CAPITAL WORLD GROWT B  | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/10/2018                            | 00082960172 | REGIER, DARYL      | AMERICAN FUNDS SMALL CAP WORLD FD B   | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/08/2018                            | 00084627739 | GESINGER, BLAINE   | AMERICAN FUNDS BALANCED FD B          | 50.00                | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 05/08/2018                            | 00084627739 | GESINGER, BLAINE   | AMERICAN FUNDS CAPITAL INCOME BUILD B | 50.00                | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 05/18/2018                            | 00084775331 | GESINGER, BLAINE   | AMERICAN FUNDS AMERICAN MUTUAL FD B   | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/18/2018                            | 00084775331 | GESINGER, BLAINE   | AMERICAN FUNDS CAPITAL INCOME BUILD B | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/18/2018                            | 00084775331 | GESINGER, BLAINE   | AMERICAN FUNDS CAPITAL WORLD GROWT B  | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/18/2018                            | 00084775331 | GESINGER, BLAINE   | AMERICAN FUNDS NEW PERSPECTIVE FD B   | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/18/2018                            | 00084775331 | GESINGER, BLAINE   | NEW WORLD FUND-A B                    | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | AMERICAN FUNDS AMCAP FD B             | 26.40                | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | AMERICAN FUNDS AMCAP FD B             | 400.00               | 8.00                | 0.00               | 8.00              | 90.0 | 7.20                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | AMERICAN FUNDS BD FD OF AMER FD B     | 13.20                | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | AMERICAN FUNDS BD FD OF AMER FD B     | 200.00               | 4.00                | 0.00               | 4.00              | 90.0 | 3.60                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | NEW WORLD FUND-A B                    | 26.40                | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
| 05/10/2018                            | 00084818800 | DIAMOND, KARI      | NEW WORLD FUND-A B                    | 400.00               | 8.00                | 0.00               | 8.00              | 90.0 | 7.20                 |
| 05/07/2018                            | 00085231984 | HOLLAND, GREGG     | AMERICAN FUNDS AMCAP FD B             | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/07/2018                            | 00085232020 | HOLLAND, RANA      | AMERICAN FUNDS BALANCED FD B          | 67.00                | 2.51                | 0.00               | 2.51              | 90.0 | 2.26                 |
| 05/07/2018                            | 00085232020 | HOLLAND, RANA      | AMERICAN FUNDS EURO PACIFIC GROWT B   | 66.00                | 2.48                | 0.00               | 2.48              | 90.0 | 2.23                 |
| 05/07/2018                            | 00085232020 | HOLLAND, RANA      | AMERICAN FUNDS INCOME FD OF AMERI B   | 67.00                | 2.51                | 0.00               | 2.51              | 90.0 | 2.26                 |
| 05/18/2018                            | 00085443655 | ODEGARD, ROSS      | AMERICAN FUNDS SMALL CAP WORLD FD B   | 109.93               | 4.12                | 0.00               | 4.12              | 90.0 | 3.71                 |
| 05/18/2018                            | 00085443655 | ODEGARD, ROSS      | AMERICAN FUNDS SMALL CAP WORLD FD B   | 109.93               | 4.12                | 0.00               | 4.12              | 90.0 | 3.71                 |
| 05/07/2018                            | 00085956994 | MASSIE, CLAY       | AMERICAN FUNDS CAPITAL INCOME BUILD B | 76.39                | 2.86                | 0.00               | 2.86              | 90.0 | 2.57                 |
| 05/07/2018                            | 00085956994 | MASSIE, CLAY       | AMERICAN FUNDS CAPITAL WORLD GROWT B  | 76.39                | 2.86                | 0.00               | 2.86              | 90.0 | 2.57                 |
| 05/07/2018                            | 00085956994 | MASSIE, CLAY       | AMERICAN FUNDS GROWTH FUND OF AMERI B | 76.39                | 2.86                | 0.00               | 2.86              | 90.0 | 2.57                 |
| 05/10/2018                            | 00086593760 | DARROW, LINETTE    | AMCAP FUND-C B                        | 100.67               | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
| 05/10/2018                            | 00086593760 | DARROW, LINETTE    | AMCAP FUND-C B                        | 100.67               | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
| 05/15/2018                            | 00086832111 | MARCOV, ERIK       | AMERICAN FUNDS FUNDAMENTAL INVES B    | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832111 | MARCOV, ERIK       | AMERICAN FUNDS INCOME FD OF AMERI B   | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832111 | MARCOV, ERIK       | AMERICAN FUNDS INVESTMENT COMP OF A B | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832111 | MARCOV, ERIK       | AMERICAN FUNDS SMALL CAP WORLD FD B   | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832145 | MARCOV, SARAH F.   | AMERICAN FUNDS CAPITAL INCOME BUILD B | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832145 | MARCOV, SARAH F.   | AMERICAN FUNDS GROWTH FUND OF AMERI B | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832145 | MARCOV, SARAH F.   | AMERICAN FUNDS NEW PERSPECTIVE FD B   | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/15/2018                            | 00086832145 | MARCOV, SARAH F.   | NEW WORLD FUND-A B                    | 114.58               | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| 05/18/2018                            | 00086957629 | WILLIAMS, MELANIE  | AMERICAN FUNDS AMCAP FD B             | 63.55                | 2.38                | 0.00               | 2.38              | 90.0 | 2.14                 |
| 05/18/2018                            | 00086957629 | WILLIAMS, MELANIE  | AMERICAN FUNDS AMCAP FD B             | 63.55                | 2.38                | 0.00               | 2.38              | 90.0 | 2.14                 |
| 05/17/2018                            | 00087108999 | FLOTTMEYER, BRENDA | AMERICAN FUNDS AMCAP FD B             | 55.00                | 2.34                | 0.00               | 2.34              | 90.0 | 2.11                 |
| 05/17/2018                            | 00087108999 | FLOTTMEYER, BRENDA | AMERICAN FUNDS CAPITAL WORLD GROWT B  | 55.00                | 2.34                | 0.00               | 2.34              | 90.0 | 2.11                 |
| 05/17/2018                            | 00087108999 | FLOTTMEYER, BRENDA | AMERICAN FUNDS GROWTH FUND OF AMERI B | 55.00                | 2.34                | 0.00               | 2.34              | 90.0 | 2.11                 |
| 05/17/2018                            | 00087108999 | FLOTTMEYER, BRENDA | AMERICAN FUNDS WA MUTUAL INVES B      | 55.00                | 2.34                | 0.00               | 2.34              | 90.0 | 2.11                 |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT                                 | INVESTMENT                          | B/S     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|--|-------------------------------------|---------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |  |                                     |         |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |  |                                     |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00087295220 DELES DERNIER,<br>DOUGLAS  | AMERICAN FUNDS AMCAP FD             | B       | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/15/2018                            | 00087295220 DELES DERNIER,<br>DOUGLAS  | AMERICAN FUNDS GROWTH FUND OF AMERI | B       | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/15/2018                            | 00087295220 DELES DERNIER,<br>DOUGLAS  | AMERICAN FUNDS WA MUTUAL            | INVES B | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/15/2018                            | 00087295220 DELES DERNIER,<br>DOUGLAS  | GLOBAL BALANCED FUND-A              | B       | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/15/2018                            | 00087374237 KING, TIMOTHY              | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00087374237 KING, TIMOTHY              | AMERICAN FUNDS CAPITAL WORLD GROWT  | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00087374237 KING, TIMOTHY              | AMERICAN FUNDS NEW PERSPECTIVE FD   | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00087374237 KING, TIMOTHY              | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00087391906 WILSON, DONNELLE           | GLOBAL BALANCED FUND-C              | B       | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/15/2018                            | 00087391906 WILSON, DONNELLE           | THE GROWTH FUND OF AMERICA-C        | B       | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/10/2018                            | 00087396195 DAHL, DAVID                | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 53.00                | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
| 05/10/2018                            | 00087396195 DAHL, DAVID                | AMERICAN FUNDS GROWTH FUND OF AMERI | B       | 53.00                | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
| 05/10/2018                            | 00087396195 DAHL, DAVID                | AMERICAN FUNDS NEW ECONOMY FD       | B       | 53.00                | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
| 05/10/2018                            | 00087396195 DAHL, DAVID                | NEW WORLD FUND-A                    | B       | 70.00                | 2.63                | 0.00               | 2.63              | 90.0 | 2.37                 |
| 05/10/2018                            | 00087396210 DAHL, AMANDA               | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/10/2018                            | 00087396210 DAHL, AMANDA               | AMERICAN FUNDS CAPITAL WORLD GROWT  | B       | 65.00                | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 05/10/2018                            | 00087396210 DAHL, AMANDA               | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 64.00                | 2.40                | 0.00               | 2.40              | 90.0 | 2.16                 |
| 05/10/2018                            | 00087396210 DAHL, AMANDA               | AMERICAN FUNDS WA MUTUAL            | INVES B | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/16/2018                            | 00087436654 LYONS, ASHLEY              | AMERICAN FUNDS AMCAP FD             | B       | 200.00               | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 05/16/2018                            | 00087436654 LYONS, ASHLEY              | AMERICAN FUNDS CAPITAL WORLD GROWT  | B       | 200.00               | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 05/10/2018                            | 00087574970 BANE, REBEKAH              | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 60.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 05/10/2018                            | 00087574970 BANE, REBEKAH              | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 600.00               | 16.50               | 0.00               | 16.50             | 90.0 | 14.85                |
| 05/10/2018                            | 00087574970 BANE, REBEKAH              | AMERICAN FUNDS GROWTH FUND OF AMERI | B       | 60.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 05/10/2018                            | 00087578524 BANE, DANIEL               | AMERICAN FUNDS NEW PERSPECTIVE FD   | B       | 60.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 05/10/2018                            | 00087578524 BANE, DANIEL               | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 60.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 05/10/2018                            | 00087578524 BANE, DANIEL               | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 600.00               | 16.50               | 0.00               | 16.50             | 90.0 | 14.85                |
| 05/15/2018                            | 00087709550 GUNDERSON,<br>SUSAN/DILLON | GROWTH PORTFOLIO-529A               | B       | 400.00               | 17.00               | 0.00               | 17.00             | 90.0 | 15.30                |
| 05/18/2018                            | 00087793439 ROSENBAUM,<br>BENJAMIN     | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/18/2018                            | 00087793439 ROSENBAUM,<br>BENJAMIN     | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/18/2018                            | 00087985974 MCGINLEY,<br>CONSTANCE     | AMERICAN FUNDS EURO PACIFIC         | GROWT B | 112.00               | 2.24                | 0.00               | 2.24              | 90.0 | 2.02                 |
| 05/18/2018                            | 00087985974 MCGINLEY,<br>CONSTANCE     | AMERICAN FUNDS INCOME FD OF         | AMERI B | 112.00               | 2.24                | 0.00               | 2.24              | 90.0 | 2.02                 |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                                   | CLIENT                                    | INVESTMENT                            | B/S     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---------------------------------------|---------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |   |                                       |         |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |   |                                       |         |                      |                     |                    |                   |      |                      |
| 05/18/2018                                   | 00087985974 MCGINLEY,<br>CONSTANCE        | AMERICAN FUNDS INVESTMENT COMP OF A B |         | 113.00               | 2.26                | 0.00               | 2.26              | 90.0 | 2.03                 |
| 05/18/2018                                   | 00087985974 MCGINLEY,<br>CONSTANCE        | AMERICAN FUNDS NEW ECONOMY FD         | B       | 113.00               | 2.26                | 0.00               | 2.26              | 90.0 | 2.03                 |
| 05/18/2018                                   | 00087989188 MCGINLEY, JOHN                | AMERICAN FUNDS AMCAP FD               | B       | 112.00               | 2.24                | 0.00               | 2.24              | 90.0 | 2.02                 |
| 05/18/2018                                   | 00087989188 MCGINLEY, JOHN                | AMERICAN FUNDS AMERICAN MUTUAL FD     | B       | 112.00               | 2.24                | 0.00               | 2.24              | 90.0 | 2.02                 |
| 05/18/2018                                   | 00087989188 MCGINLEY, JOHN                | AMERICAN FUNDS CAPITAL WORLD GROWT B  | B       | 113.00               | 2.26                | 0.00               | 2.26              | 90.0 | 2.03                 |
| 05/18/2018                                   | 00087989188 MCGINLEY, JOHN                | AMERICAN FUNDS SMALL CAP WORLD FD     | B       | 113.00               | 2.26                | 0.00               | 2.26              | 90.0 | 2.03                 |
| 05/10/2018                                   | 00088093369 FRERICH, CORA                 | AMERICAN FUNDS BALANCED FD            | B       | 150.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 05/18/2018                                   | 00088216102 WEISBECK, CORISSA<br>A.       | AMERICAN MUTUAL FUND-C                | B       | 45.00                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 05/18/2018                                   | 00088216102 WEISBECK, CORISSA<br>A.       | AMERICAN MUTUAL FUND-C                | B       | 45.00                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 05/10/2018                                   | 00088267226 KEFFELER, TRACY L.            | AMERICAN FUNDS AMCAP FD               | B       | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/17/2018                                   | 00088298154 ALEXANDER, MARILYN            | AMERICAN FUNDS BALANCED FD            | B       | 1,000.00             | 27.50               | 0.00               | 27.50             | 90.0 | 24.75                |
| 05/18/2018                                   | 00088306950 RICE, LOIS G.                 | AMERICAN BALANCED FUND-C              | B       | 27.83                | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
| 05/18/2018                                   | 00088306950 RICE, LOIS G.                 | AMERICAN BALANCED FUND-C              | B       | 37.11                | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 05/18/2018                                   | 00088306950 RICE, LOIS G.                 | THE GROWTH FUND OF AMERICA-C          | B       | 27.83                | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
| 05/18/2018                                   | 00088306950 RICE, LOIS G.                 | THE GROWTH FUND OF AMERICA-C          | B       | 37.11                | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 05/15/2018                                   | 00088320633 PACHL/AUTH PER,<br>JESSICA L. | AMERICAN FUNDS WA MUTUAL              | INVES B | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/17/2018                                   | 00088397974 LEWIS, MICAH                  | AMERICAN FUNDS WA MUTUAL              | INVES B | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/09/2018                                   | 00088502628 SUTLIFF-GROSS,<br>SABRINA     | AMERICAN FUNDS AMERICAN MUTUAL FD     | B       | 150.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 05/15/2018                                   | 00088504226 SUTLIFF-GROSS,<br>SABRINA     | CAPITAL INCOME BUILDER-529A           | B       | 250.00               | 12.50               | 0.00               | 12.50             | 90.0 | 11.25                |
| 05/15/2018                                   | 00088565229 LIMKE, JESSICA                | AMERICAN FUNDS INVESTMENT COMP OF A B |         | 200.00               | 8.50                | 0.00               | 8.50              | 90.0 | 7.65                 |
| 05/14/2018                                   | 00088586746 MATTHEW, SHANNON              | AMERICAN FUNDS BALANCED FD            | B       | 62.50                | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 05/14/2018                                   | 00088586746 MATTHEW, SHANNON              | AMERICAN FUNDS FUNDAMENTAL            | INVES B | 62.50                | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 05/14/2018                                   | 00088586746 MATTHEW, SHANNON              | AMERICAN FUNDS INCOME FD OF AMERI B   | B       | 62.50                | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 05/14/2018                                   | 00088586746 MATTHEW, SHANNON              | AMERICAN FUNDS NEW PERSPECTIVE FD     | B       | 62.50                | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 05/15/2018                                   | 00088605154 LYONS, CAMERON                | WASHINGTON MUTUAL INVESTORS FUND-52 B | B       | 100.00               | 5.00                | 0.00               | 5.00              | 90.0 | 4.50                 |
| 05/10/2018                                   | 00088618305 LORD, TIMOTHY R.              | AMERICAN FUNDS AMCAP FD               | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618305 LORD, TIMOTHY R.              | AMERICAN FUNDS CAPITAL INCOME BUILD B | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618305 LORD, TIMOTHY R.              | AMERICAN FUNDS FUNDAMENTAL            | INVES B | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618305 LORD, TIMOTHY R.              | NEW WORLD FUND-A                      | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618538 LORD, CORRIN P.               | AMERICAN FUNDS CAPITAL WORLD GROWT B  | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618538 LORD, CORRIN P.               | AMERICAN FUNDS GROWTH FUND OF AMERI B | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618538 LORD, CORRIN P.               | AMERICAN FUNDS INCOME FD OF AMERI B   | B       | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
| 05/10/2018                                   | 00088618538 LORD, CORRIN P.               | AMERICAN FUNDS INVESTMENT COMP OF A B |         | 114.50               | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT                           | INVESTMENT                          | B/S     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|----------------------------------|-------------------------------------|---------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                                  |                                     |         |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                                  |                                     |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00088631279 FLOTTMEYER, KEVIN A. | AMERICAN FUNDS CAPITAL WORLD        | GROWT B | 125.00               | 6.25                | 0.00               | 6.25              | 90.0 | 5.63                 |
| 05/07/2018                            | 00088631455 DYKSTRA, TYLER A.    | AMERICAN FUNDS BALANCED FD          | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/07/2018                            | 00088631490 DYKSTRA, TYLER A.    | AMERICAN FUNDS BALANCED FD          | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/07/2018                            | 00088631520 DYKSTRA, TYLER A.    | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/07/2018                            | 00088631530 DYKSTRA, AYREN K.    | AMERICAN FUNDS AMERICAN MUTUAL FD   | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/16/2018                            | 00088648517 BOWEN, LANA L.       | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/16/2018                            | 00088648517 BOWEN, LANA L.       | AMERICAN FUNDS BALANCED FD          | B       | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/16/2018                            | 00088648517 BOWEN, LANA L.       | AMERICAN FUNDS CAPITAL INCOME BUILD | B       | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/16/2018                            | 00088648517 BOWEN, LANA L.       | NEW WORLD FUND-A                    | B       | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
| 05/10/2018                            | 00088738575 SPITZER, BRUCE A.    | AMERICAN FUNDS AMCAP FD             | B       | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/10/2018                            | 00088738575 SPITZER, BRUCE A.    | AMERICAN FUNDS AMERICAN MUTUAL FD   | B       | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/10/2018                            | 00088738575 SPITZER, BRUCE A.    | AMERICAN FUNDS EURO PACIFIC         | GROWT B | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/15/2018                            | 00088828419 HOP, DANIEL J.       | WASHINGTON MUTUAL INVESTORS FUND-52 | B       | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/07/2018                            | 00088883631 LEWIS, MICAH         | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 80.07                | 4.00                | 0.00               | 4.00              | 90.0 | 3.60                 |
| 05/07/2018                            | 00088883631 LEWIS, MICAH         | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 80.07                | 4.00                | 0.00               | 4.00              | 90.0 | 3.60                 |
| 05/15/2018                            | 00088908568 ANDERSON, ANGELA M.  | AMERICAN FUNDS AMCAP FD             | B       | 57.30                | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 05/15/2018                            | 00088908568 ANDERSON, ANGELA M.  | AMERICAN FUNDS CAPITAL INCOME BUILD | B       | 57.30                | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 05/15/2018                            | 00088908568 ANDERSON, ANGELA M.  | AMERICAN FUNDS FUNDAMENTAL          | INVES B | 57.30                | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 05/15/2018                            | 00088908568 ANDERSON, ANGELA M.  | AMERICAN FUNDS NEW PERSPECTIVE FD   | B       | 57.30                | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 05/15/2018                            | 00088934030 HAFFNER, RONALD L.   | AMERICAN MUTUAL FUND-C              | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934030 HAFFNER, RONALD L.   | CAPITAL WORLD GROWTH AND INCOME FUN | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934030 HAFFNER, RONALD L.   | NEW PERSPECTIVE FUND-C              | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934030 HAFFNER, RONALD L.   | THE GROWTH FUND OF AMERICA-C        | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934072 HAFFNER, ELLEN       | AMCAP FUND-C                        | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934072 HAFFNER, ELLEN       | AMERICAN MUTUAL FUND-C              | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934072 HAFFNER, ELLEN       | CAPITAL INCOME BUILDER-C            | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00088934072 HAFFNER, ELLEN       | SMALLCAP WORLD FUND-C               | B       | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/07/2018                            | 00089007318 WUDEL, JOSHUA J.     | AMCAP FUND-C                        | B       | 100.00               | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 05/07/2018                            | 00089007351 WUDEL, KATELYN J.    | WASHINGTON MUTUAL INVESTORS FUND-C  | B       | 100.00               | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 05/15/2018                            | 00089019546 HOLLEARN, JAMES R.   | AMERICAN FUNDS BALANCED FD          | B       | 100.00               | 5.00                | 0.00               | 5.00              | 90.0 | 4.50                 |
| 05/15/2018                            | 00089019593 HOLLEARN, SEAN R.    | AMERICAN FUNDS AMCAP FD             | B       | 57.00                | 2.85                | 0.00               | 2.85              | 90.0 | 2.57                 |
| 05/15/2018                            | 00089019593 HOLLEARN, SEAN R.    | AMERICAN FUNDS AMERICAN MUTUAL FD   | B       | 56.00                | 2.80                | 0.00               | 2.80              | 90.0 | 2.52                 |
| 05/15/2018                            | 00089019593 HOLLEARN, SEAN R.    | AMERICAN FUNDS CAPITAL INCOME BUILD | B       | 56.00                | 2.80                | 0.00               | 2.80              | 90.0 | 2.52                 |
| 05/15/2018                            | 00089019593 HOLLEARN, SEAN R.    | AMERICAN FUNDS SMALL CAP WORLD FD   | B       | 56.00                | 2.80                | 0.00               | 2.80              | 90.0 | 2.52                 |
| 05/15/2018                            | 00089019699 HOLLEARN,            | AMERICAN FUNDS GROWTH FUND OF AMERI | B       | 75.00                | 3.75                | 0.00               | 3.75              | 90.0 | 3.38                 |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT                         | INVESTMENT                        | B/S     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|--------------------------------|-----------------------------------|---------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                                |                                   |         |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                                |                                   |         |                      |                     |                    |                   |      |                      |
| CHRISTINA M.                          |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089019699 HOLLEARN,          | AMERICAN FUNDS INCOME FD OF       | AMERI B | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| CHRISTINA M.                          |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089049697 WARREN, BRIANNA M. | AMERICAN FUNDS FUNDAMENTAL        | INVES B | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 00089123660 TEN EYCK, SHEILA   | AMERICAN FUNDS INCOME FD OF       | AMERI B | 75.00                | 2.81                | 0.00               | 2.81              | 90.0 | 2.53                 |
| T.                                    |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089123704 TEN EYCK, JOHN C.  | AMERICAN FUNDS AMCAP FD           | B       | 75.00                | 2.81                | 0.00               | 2.81              | 90.0 | 2.53                 |
| 05/18/2018                            | 00089123815 KULESA, CASSIDY R. | AMERICAN FUNDS CAPITAL WORLD      | GROWT B | 81.25                | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
| 05/18/2018                            | 00089123815 KULESA, CASSIDY R. | AMERICAN FUNDS GROWTH FUND OF     | AMERI B | 81.25                | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
| 05/18/2018                            | 00089123815 KULESA, CASSIDY R. | AMERICAN FUNDS INVESTMENT COMP OF | A B     | 81.25                | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
| 05/18/2018                            | 00089123815 KULESA, CASSIDY R. | AMERICAN FUNDS NEW PERSPECTIVE FD | B       | 81.25                | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
| 05/15/2018                            | 00089163089 CIOCARLAN,         | AMERICAN FUNDS GROWTH FUND OF     | AMERI B | 55.00                | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
| CHRISTOPHER J.                        |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089163089 CIOCARLAN,         | NEW WORLD FUND-A                  | B       | 55.00                | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
| CHRISTOPHER J.                        |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089163184 CIOCARLAN,         | AMERICAN FUNDS WA MUTUAL          | INVES B | 100.00               | 2.75                | 0.00               | 2.75              | 90.0 | 2.48                 |
| CHRISTOPHER J.                        |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089163224 CIOCARLAN,         | AMERICAN FUNDS AMERICAN MUTUAL FD | B       | 100.00               | 2.75                | 0.00               | 2.75              | 90.0 | 2.48                 |
| CHRISTOPHER J.                        |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089249484 WILLIAMS, DONALD   | AMERICAN FUNDS INCOME FD OF       | AMERI B | 1,291.64             | 35.52               | 0.00               | 35.52             | 90.0 | 31.97                |
| 05/15/2018                            | 00089249484 WILLIAMS, DONALD   | AMERICAN FUNDS INCOME FD OF       | AMERI B | 615.00               | 16.91               | 0.00               | 16.91             | 90.0 | 15.22                |
| 05/15/2018                            | 00089249498 WILLIAMS,          | AMERICAN FUNDS BALANCED FD        | B       | 1,291.64             | 35.52               | 0.00               | 35.52             | 90.0 | 31.97                |
| GERALDINE                             |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089249498 WILLIAMS,          | AMERICAN FUNDS BALANCED FD        | B       | 510.00               | 14.03               | 0.00               | 14.03             | 90.0 | 12.63                |
| GERALDINE                             |                                |                                   |         |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089296173 WILLIAMS, KEVIN M. | AMERICAN FUNDS GROWTH FUND OF     | AMERI B | 487.20               | 13.40               | 0.00               | 13.40             | 90.0 | 12.06                |
| 05/15/2018                            | 00089296173 WILLIAMS, KEVIN M. | AMERICAN FUNDS GROWTH FUND OF     | AMERI B | 146.16               | 4.02                | 0.00               | 4.02              | 90.0 | 3.62                 |
| 05/16/2018                            | 00089303112 MASSIE, KATEY      | AMERICAN FUNDS AMCAP FD           | B       | 58.00                | 2.18                | 0.00               | 2.18              | 90.0 | 1.96                 |
| 05/16/2018                            | 00089303112 MASSIE, KATEY      | AMERICAN FUNDS SMALL CAP WORLD FD | B       | 57.00                | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 05/16/2018                            | 00089303112 MASSIE, KATEY      | AMERICAN FUNDS WA MUTUAL          | INVES B | 57.00                | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 05/16/2018                            | 00089303112 MASSIE, KATEY      | NEW WORLD FUND-A                  | B       | 57.00                | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 05/15/2018                            | 00089406954 KAUFMAN, EDWARD R. | AMERICAN FUNDS 2020 TARGET DATE-A | B       | 181.30               | 4.99                | 0.00               | 4.99              | 90.0 | 4.49                 |
| 05/15/2018                            | 00089406954 KAUFMAN, EDWARD R. | AMERICAN FUNDS 2020 TARGET DATE-A | B       | 77.70                | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 05/07/2018                            | 00089408180 HAAN, LUCAS J.     | AMERICAN FUNDS FUNDAMENTAL        | INVES B | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089408180 HAAN, LUCAS J.     | AMERICAN FUNDS GROWTH FUND OF     | AMERI B | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089408180 HAAN, LUCAS J.     | AMERICAN FUNDS NEW PERSPECTIVE FD | B       | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089408180 HAAN, LUCAS J.     | AMERICAN FUNDS SMALL CAP WORLD FD | B       | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089408276 HAAN, LUCAS J.     | AMERICAN FUNDS WA MUTUAL          | INVES B | 167.00               | 7.10                | 0.00               | 7.10              | 90.0 | 6.39                 |
| 05/18/2018                            | 00089436102 BOHLMANN, JACOB B. | AMERICAN FUNDS BALANCED FD        | B       | 53.58                | 2.01                | 0.00               | 2.01              | 90.0 | 1.81                 |
| 05/18/2018                            | 00089436102 BOHLMANN, JACOB B. | AMERICAN FUNDS BALANCED FD        | B       | 53.58                | 2.01                | 0.00               | 2.01              | 90.0 | 1.81                 |



COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT      | INVESTMENT  | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|-------------|---|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |             |   |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |             |   |     |                      |                     |                    |                   |      |                      |
| 05/07/2018                            | 00089449545 | ELLINGSON, KRISTEN AMERICAN BALANCED FUND-C           | B   | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|                                       |             | K.  |     |                      |                     |                    |                   |      |                      |
| 05/14/2018                            | 00089449545 | ELLINGSON, KRISTEN AMERICAN BALANCED FUND-C           | B   | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|                                       |             | K.  |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089449609 | THOURON, MARIA E. AMERICAN FUNDS AMERICAN MUTUAL FD   | B   | 104.25               | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
| 05/15/2018                            | 00089449609 | THOURON, MARIA E. AMERICAN FUNDS EURO PACIFIC GROWT   | B   | 104.25               | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
| 05/15/2018                            | 00089449609 | THOURON, MARIA E. AMERICAN FUNDS GROWTH FUND OF AMERI | B   | 104.25               | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
| 05/15/2018                            | 00089449609 | THOURON, MARIA E. AMERICAN FUNDS INCOME FD OF AMERI   | B   | 104.25               | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
| 05/15/2018                            | 00089491398 | KOKOSZKA, KENNETH AMERICAN FUNDS 2025 TARGET DATE-A   | B   | 220.00               | 11.00               | 0.00               | 11.00             | 90.0 | 9.90                 |
|                                       |             | J.  |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089491398 | KOKOSZKA, KENNETH AMERICAN FUNDS 2025 TARGET DATE-A   | B   | 33.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
|                                       |             | J.  |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089491403 | WELLS, DENISE M. AMERICAN FUNDS 2050 TARGET DATE-A    | B   | 480.00               | 24.00               | 0.00               | 24.00             | 90.0 | 21.60                |
| 05/15/2018                            | 00089491403 | WELLS, DENISE M. AMERICAN FUNDS 2050 TARGET DATE-A    | B   | 180.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 05/15/2018                            | 00089549237 | HENRY, STEVEN L. AMCAP FUND-C                         | B   | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/15/2018                            | 00089549237 | HENRY, STEVEN L. WASHINGTON MUTUAL INVESTORS FUND-C   | B   | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/15/2018                            | 00089549281 | HENRY, NICOLE M. FUNDAMENTAL INVESTORS-C              | B   | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/15/2018                            | 00089549281 | HENRY, NICOLE M. THE GROWTH FUND OF AMERICA-C         | B   | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/15/2018                            | 00089606497 | DELES DERNIER, AMERICAN FUNDS FUNDAMENTAL INVES       | B   | 250.00               | 10.63               | 0.00               | 10.63             | 90.0 | 9.57                 |
|                                       |             | CONNIE  |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089606506 | DELES DERNIER, AMERICAN FUNDS INVESTMENT COMP OF A    | B   | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
|                                       |             | DOUGLAS   |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089606506 | DELES DERNIER, AMERICAN FUNDS SMALL CAP WORLD FD      | B   | 50.00                | 2.13                | 0.00               | 2.13              | 90.0 | 1.92                 |
|                                       |             | DOUGLAS   |     |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 00089621757 | MORTON, BRET E. THE GROWTH FUND OF AMERICA-C          | B   | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/15/2018                            | 00089621765 | MORTON, LINDA A. AMCAP FUND-C                         | B   | 75.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 05/18/2018                            | 00089679500 | KULESA, ADAM M. AMCAP FUND-C                          | B   | 109.00               | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| 05/18/2018                            | 00089679500 | KULESA, ADAM M. CAPITAL WORLD GROWTH AND INCOME FUN   | B   | 108.00               | 1.08                | 0.00               | 1.08              | 90.0 | 0.97                 |
| 05/18/2018                            | 00089679500 | KULESA, ADAM M. WASHINGTON MUTUAL INVESTORS FUND-C    | B   | 108.00               | 1.08                | 0.00               | 1.08              | 90.0 | 0.97                 |
| 05/07/2018                            | 00089840115 | ATKINS, KEVIN AMERICAN FUNDS CAPITAL INCOME BUILD     | B   | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/07/2018                            | 00089840115 | ATKINS, KEVIN AMERICAN FUNDS NEW PERSPECTIVE FD       | B   | 50.00                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 05/07/2018                            | 00089896690 | HAAN, MARY AMERICAN FUNDS AMCAP FD                    | B   | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089896690 | HAAN, MARY AMERICAN FUNDS AMERICAN MUTUAL FD          | B   | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089896690 | HAAN, MARY AMERICAN FUNDS CAPITAL INCOME BUILD        | B   | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 00089896690 | HAAN, MARY AMERICAN FUNDS EURO PACIFIC GROWT          | B   | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/15/2018                            | 00089961444 | WEISS, CHRIS D. AMCAP FUND-C                          | B   | 114.00               | 1.14                | 0.00               | 1.14              | 90.0 | 1.03                 |
| 05/15/2018                            | 00089961444 | WEISS, CHRIS D. AMERICAN MUTUAL FUND-C                | B   | 114.00               | 1.14                | 0.00               | 1.14              | 90.0 | 1.03                 |
| 05/15/2018                            | 00089961444 | WEISS, CHRIS D. NEW WORLD FUND-C                      | B   | 115.00               | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 05/15/2018                            | 00089961444 | WEISS, CHRIS D. SMALLCAP WORLD FUND-C                 | B   | 115.00               | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 05/07/2018                            | 00201000577 | GUNDERSON, SUSAN COLUMBIA CONTRARIAN CORE FD A        | B   | 332.00               | 12.45               | 0.00               | 12.45             | 90.0 | 11.21                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT      | INVESTMENT         | B/S                                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---------------------------------------|-------------|--------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |             |                    |                                       |                      |                     |                    |                   |       |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |             |                    |                                       |                      |                     |                    |                   |       |                      |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 00201000577 | GUNDERSON, SUSAN   | COLUMBIA CONTRARIAN CORE FD A         | B                    | 135.25              | 5.07               | 0.00              | 5.07  | 90.0 4.56            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 00201000577 | GUNDERSON, SUSAN   | COLUMBIA MARSICO GLOBAL FUND A        | B                    | 135.25              | 5.07               | 0.00              | 5.07  | 90.0 4.56            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 00505047984 | PETERSON, JEFF     | PUTNAM CAPITAL OPPORTUNITIES FUND     | B                    | 114.00              | 4.28               | 0.00              | 4.28  | 90.0 3.85            |
| 05/15/2018                            | 00505047984 | PETERSON, JEFF     | PUTNAM GLOBAL GROWTH FD CL A          | B                    | 114.00              | 4.28               | 0.00              | 4.28  | 90.0 3.85            |
| 05/15/2018                            | 00505047984 | PETERSON, JEFF     | PUTNAM GROWTH OPPORTUNITIES FD CL A B |                      | 109.00              | 4.09               | 0.00              | 4.09  | 90.0 3.68            |
| 05/15/2018                            | 00932927612 | KENDALL, REBECCA   | AMERICAN FUNDS INVESTMENT COMP OF A B |                      | 50.00               | 1.38               | 0.00              | 1.38  | 90.0 1.24            |
| 05/10/2018                            | 01000170691 | WRIGHT, EDWARD     | AIM DEVELOPING MARKETS FUND - CLASS B |                      | 37.50               | 0.38               | 0.00              | 0.38  | 90.0 0.34            |
| 05/10/2018                            | 01000170691 | WRIGHT, EDWARD     | AIM GLOBAL AGGRESSIVE GROWTH FD CL B  |                      | 37.50               | 0.38               | 0.00              | 0.38  | 90.0 0.34            |
| 05/10/2018                            | 01000170691 | WRIGHT, EDWARD     | AIM UTILITIES FUND - CLASS C          | B                    | 37.50               | 0.38               | 0.00              | 0.38  | 90.0 0.34            |
| 05/10/2018                            | 01000170691 | WRIGHT, EDWARD     | IVK AMERICAN VALUE FUND - CLASS C     | B                    | 37.50               | 0.38               | 0.00              | 0.38  | 90.0 0.34            |
| 05/03/2018                            | 0100035696  | WOODYARD, LISA     | OPPENHEIMER MAIN ST SMALL CAP FUND    | B                    | 125.00              | 3.75               | 0.00              | 3.75  | 90.0 3.38            |
| 05/03/2018                            | 0100035696  | WOODYARD, LISA     | OPPENHEIMER MAIN ST SMALL CAP FUND    | B                    | 100.00              | 3.00               | 0.00              | 3.00  | 90.0 2.70            |
| 05/03/2018                            | 0100035707  | WOODYARD, LISA     | OPPENHEIMER MAIN ST SMALL CAP FUND    | B                    | 400.00              | 12.00              | 0.00              | 12.00 | 90.0 10.80           |
| 05/01/2018                            | 0100071050  | FISCHER, DACIA M.  | OPPENHEIMER MAIN ST SMALL CAP FUND    | B                    | 87.50               | 3.50               | 0.00              | 3.50  | 90.0 3.15            |
| 05/15/2018                            | 01001342204 | DERKSEN, NATHAN P. | IVK COMSTOCK FUND - CLASS A           | B                    | 100.00              | 5.00               | 0.00              | 5.00  | 90.0 4.50            |
| 05/15/2018                            | 01001342204 | DERKSEN, NATHAN P. | IVK SMALL CAP GROWTH FUND - CLASS A B |                      | 100.00              | 5.00               | 0.00              | 5.00  | 90.0 4.50            |
| 05/10/2018                            | 01001396396 | BENTLEY, BRANDON   | IVK AMERICAN FRANCHISE FUND - CLASS B |                      | 100.00              | 5.00               | 0.00              | 5.00  | 90.0 4.50            |
| 05/15/2018                            | 01240555562 | GUNDERSON, SUSAN   | COLUMBIA MIDCAP GROWTH FUND A         | B                    | 135.25              | 5.07               | 0.00              | 5.07  | 90.0 4.56            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 01390000410 | GUNDERSON, KELLY   | COLUMBIA TECHNOLOGY FUND A            | B                    | 114.00              | 4.28               | 0.00              | 4.28  | 90.0 3.85            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 01793555613 | GUNDERSON, KELLY   | COLUMBIA ACORN INTERNATIONAL          | B                    | 114.00              | 4.28               | 0.00              | 4.28  | 90.0 3.85            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 01981555565 | GUNDERSON, KELLY   | COLUMBIA MIDCAP VALUE                 | B                    | 115.00              | 4.31               | 0.00              | 4.31  | 90.0 3.88            |
| M.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/10/2018                            | 03809167046 | WRIGHT, SANDRA     | AIM DIVERSIFIED DIVIDEND FUND - CL    | B                    | 25.00               | 0.75               | 0.00              | 0.75  | 90.0 0.68            |
| 05/10/2018                            | 03809167046 | WRIGHT, SANDRA     | AIM GLOBAL REAL ESTATE FUND - CLASS B |                      | 25.00               | 0.25               | 0.00              | 0.25  | 90.0 0.23            |
| 05/10/2018                            | 03809167046 | WRIGHT, SANDRA     | AIM UTILITIES FUND - CLASS C          | B                    | 25.00               | 0.25               | 0.00              | 0.25  | 90.0 0.23            |
| 05/10/2018                            | 03809167046 | WRIGHT, SANDRA     | IVK AMERICAN FRANCHISE FUND - CLASS B |                      | 25.00               | 0.25               | 0.00              | 0.25  | 90.0 0.23            |
| 05/07/2018                            | 04000120125 | SCHAEFFER, STACEY  | THE GROWTH FUND OF AMERICA-529C       | B                    | 167.00              | 1.67               | 0.00              | 1.67  | 90.0 1.50            |
| J.                                    |             |                    |                                       |                      |                     |                    |                   |       |                      |
| 05/15/2018                            | 04000166931 | KAUK, LISA M.      | AMERICAN FUNDS AMERICAN MUTUAL FD     | B                    | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |
| 05/15/2018                            | 04000166931 | KAUK, LISA M.      | AMERICAN FUNDS CAPITAL WORLD GROWT    | B                    | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |
| 05/15/2018                            | 04000166931 | KAUK, LISA M.      | AMERICAN FUNDS GROWTH FUND OF AMERI   | B                    | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |
| 05/15/2018                            | 04000166931 | KAUK, LISA M.      | AMERICAN FUNDS NEW PERSPECTIVE FD     | B                    | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |
| 05/15/2018                            | 04000167035 | KAUK, TIMOTHY      | AMERICAN FUNDS BALANCED FD            | B                    | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |
| 05/15/2018                            | 04000167035 | KAUK, TIMOTHY      | AMERICAN FUNDS FUNDAMENTAL            | INVES B              | 75.00               | 3.19               | 0.00              | 3.19  | 90.0 2.87            |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                            | CLIENT                                | INVESTMENT                            | B/S    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|---------------------------------------|---------------------------------------|--------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                                       |                                       |        |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                                       |                                       |        |                      |                     |                    |                   |      |                      |
| 05/15/2018                            | 04000167035 KAU, TIMOTHY              | AMERICAN FUNDS GROWTH FUND OF AMERI B |        | 75.00                | 3.19                | 0.00               | 3.19              | 90.0 | 2.87                 |
| 05/15/2018                            | 04000167035 KAU, TIMOTHY              | NEW WORLD FUND-A                      | B      | 75.00                | 3.19                | 0.00               | 3.19              | 90.0 | 2.87                 |
| 05/15/2018                            | 04000211352 NEMEC, ERIN E.            | AMERICAN FUNDS AMCAP FD               | B      | 91.75                | 4.59                | 0.00               | 4.59              | 90.0 | 4.13                 |
| 05/15/2018                            | 04000211352 NEMEC, ERIN E.            | AMERICAN FUNDS CAPITAL WORLD GROWT B  |        | 91.75                | 4.59                | 0.00               | 4.59              | 90.0 | 4.13                 |
| 05/15/2018                            | 04000211352 NEMEC, ERIN E.            | AMERICAN FUNDS INCOME FD OF AMERI B   |        | 91.75                | 4.59                | 0.00               | 4.59              | 90.0 | 4.13                 |
| 05/15/2018                            | 04000211352 NEMEC, ERIN E.            | AMERICAN FUNDS NEW PERSPECTIVE FD B   |        | 91.75                | 4.59                | 0.00               | 4.59              | 90.0 | 4.13                 |
| 05/15/2018                            | 04000211366 NEMEC, LANCE L.           | AMERICAN FUNDS EURO PACIFIC GROWT B   |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/15/2018                            | 04000211366 NEMEC, LANCE L.           | AMERICAN FUNDS FUNDAMENTAL INVES B    |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/15/2018                            | 04000211366 NEMEC, LANCE L.           | AMERICAN FUNDS GROWTH FUND OF AMERI B |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/15/2018                            | 04000211366 NEMEC, LANCE L.           | AMERICAN FUNDS SMALL CAP WORLD FD B   |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/15/2018                            | 04000452410 PACHL, JESSICA/EVE        | GROWTH PORTFOLIO-A                    | B      | 100.00               | 4.25                | 0.00               | 4.25              | 90.0 | 3.83                 |
| 05/07/2018                            | 04000557891 BAKKE, MARC               | AMERICAN FUNDS AMCAP FD               | B      | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/07/2018                            | 04000557891 BAKKE, MARC               | AMERICAN FUNDS AMERICAN MUTUAL FD B   |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/07/2018                            | 04000557891 BAKKE, MARC               | AMERICAN FUNDS CAPITAL WORLD GROWT B  |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/07/2018                            | 04000557891 BAKKE, MARC               | AMERICAN FUNDS NEW PERSPECTIVE FD B   |        | 114.50               | 5.73                | 0.00               | 5.73              | 90.0 | 5.16                 |
| 05/07/2018                            | 04000558446 BAKKE, MARC               | AMERICAN FUNDS GROWTH FUND OF AMERI B |        | 250.00               | 12.50               | 0.00               | 12.50             | 90.0 | 11.25                |
| 05/15/2018                            | 04000669878 KAU, TIMOTHY              | GLOBAL GROWTH PORTFOLIO-C             | B      | 167.00               | 1.67                | 0.00               | 1.67              | 90.0 | 1.50                 |
| 05/07/2018                            | 04000744496 DYKSTRA, TYLER A.         | AMERICAN FUNDS BALANCED FD            | B      | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 05/15/2018                            | 04000906988 BRINK, LANDAN A.          | THE GROWTH FUND OF AMERICA-C          | B      | 50.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 05/17/2018                            | 04000982558 HAAN, LUCAS J.            | AMERICAN FUNDS FUNDAMENTAL INVES B    |        | 250.00               | 10.63               | 0.00               | 10.63             | 90.0 | 9.57                 |
| 05/17/2018                            | 04000982610 HAAN, MARY                | GROWTH PORTFOLIO-A                    | B      | 3,000.00             | 127.50              | 0.00               | 127.50            | 90.0 | 114.75               |
| 04/30/2018                            | 08000006896 KENDALL, DOUGLAS          | PRINCIPAL INVESTORS SAM BALANCED (A B |        | 103.81               | 4.93                | 0.00               | 4.93              | 90.0 | 4.44                 |
| 05/15/2018                            | 15375555562 GUNDERSON, SUSAN          | COLUMBIA SELECT SMALLER-CAP VALUE F B |        | 135.25               | 5.07                | 0.00               | 5.07              | 90.0 | 4.56                 |
| M.                                    |                                       |                                       |        |                      |                     |                    |                   |      |                      |
| 05/03/2018                            | 1953048892 WOODYARD, LISA             | INTERNATIONAL DIVERSIFIED FUND A      | B      | 125.00               | 3.75                | 0.00               | 3.75              | 90.0 | 3.38                 |
| 05/03/2018                            | 1953048892 WOODYARD, LISA             | INTERNATIONAL DIVERSIFIED FUND A      | B      | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 05/03/2018                            | 1953048903 WOODYARD, LISA             | INTERNATIONAL DIVERSIFIED FUND A      | B      | 400.00               | 12.00               | 0.00               | 12.00             | 90.0 | 10.80                |
| 05/03/2018                            | 2252419461 JOHNSON, TINA              | OPPENHEIMER QUEST VALUE FD            | CL A B | 166.67               | 6.67                | 0.00               | 6.67              | 90.0 | 6.00                 |
| 05/01/2018                            | 2254439479 NIDA, AARON R.             | OPPENHEIMER QUEST VALUE FD            | CL A B | 200.00               | 8.00                | 0.00               | 8.00              | 90.0 | 7.20                 |
| 05/01/2018                            | 2514890897 FISCHER, BRANDON S.        | OPPENHEIMER QUEST SMALL CAP VALUE B   |        | 50.00                | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/15/2018                            | 4206310777 RUTSTEIN, ANDREA           | OPPENHEIMER MAIN STREET INCOME & GR B |        | 100.00               | 4.75                | 0.00               | 4.75              | 90.0 | 4.28                 |
| 05/01/2018                            | 4206645562 FISCHER, BRANDON S.        | OPPENHEIMER MAIN STREET INCOME & GR B |        | 50.00                | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/03/2018                            | 5004750427 JOHNSON, TINA              | OPPENHEIMER DISCOVERY FD              | CL A B | 166.67               | 6.67                | 0.00               | 6.67              | 90.0 | 6.00                 |
| 05/15/2018                            | 51830000605 GUNDERSON, KELLY          | COLUMBIA LARGE CORE QUAN FUND A       | B      | 115.00               | 4.31                | 0.00               | 4.31              | 90.0 | 3.88                 |
| M.                                    |                                       |                                       |        |                      |                     |                    |                   |      |                      |
| 05/01/2018                            | 6870194370 FISCHER, BRANDON S.        | OPPENHEIMER GLOBAL VALUE FUND A       | B      | 50.00                | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 05/01/2018                            | 7006154393 RUTSTEIN, ANDREA/XAVIEN G. | OPPENHEIMER MAIN STREET INCOME & GR B |        | 75.00                | 3.56                | 0.00               | 3.56              | 90.0 | 3.20                 |
| 05/03/2018                            | 7210829081 WOODYARD, LISA             | SMALL- & MID-CAP GROWTH FUND A        | B      | 125.00               | 3.75                | 0.00               | 3.75              | 90.0 | 3.38                 |
| 05/03/2018                            | 7210829081 WOODYARD, LISA             | SMALL- & MID-CAP GROWTH FUND A        | B      | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                           | CLIENT              | INVESTMENT            | B/S                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE       | BROKER<br>COMMISSION |            |
|--------------------------------------|---------------------|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|------------|
| BROKER TRANSACTIONS                  |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| PRODUCT CATEGORY: MUTUAL FUNDS       |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| 05/03/2018                           | 7210829092          | WOODYARD, LISA        | SMALL- & MID-CAP GROWTH FUND A     | B                    | 400.00              | 12.00              | 0.00              | 12.00      | 90.0                 | 10.80      |
| 05/01/2018                           | 7210901109          | FISCHER, DACIA M.     | SMALL- & MID-CAP GROWTH FUND A     | B                    | 87.50               | 3.50               | 0.00              | 3.50       | 90.0                 | 3.15       |
| 05/15/2018                           | 7211015300          | RUTSTEIN, ROBERT      | SMALL- & MID-CAP GROWTH FUND A     | B                    | 100.00              | 4.75               | 0.00              | 4.75       | 90.0                 | 4.28       |
| 05/03/2018                           | 7860088551          | JOHNSON, TINA         | OPPENHEIMER DEVELOPING MKT FD CL A | B                    | 166.67              | 6.67               | 0.00              | 6.67       | 90.0                 | 6.00       |
| 05/01/2018                           | 8259166608          | FISCHER, DACIA M.     | OPPENHEIMER INTL GROWTH FD CL A    | B                    | 87.50               | 3.50               | 0.00              | 3.50       | 90.0                 | 3.15       |
| 05/01/2018                           | 8351505449          | RUTSTEIN, MILES       | OPPENHEIMER QUEST CAPITAL          | VALUE B              | 75.00               | 3.56               | 0.00              | 3.56       | 90.0                 | 3.20       |
| 05/03/2018                           | 8352833303          | WOODYARD, LISA        | OPPENHEIMER QUEST CAPITAL          | VALUE B              | 125.00              | 3.75               | 0.00              | 3.75       | 90.0                 | 3.38       |
| 05/03/2018                           | 8352833303          | WOODYARD, LISA        | OPPENHEIMER QUEST CAPITAL          | VALUE B              | 100.00              | 3.00               | 0.00              | 3.00       | 90.0                 | 2.70       |
| 05/03/2018                           | 8352833314          | WOODYARD, LISA        | OPPENHEIMER QUEST CAPITAL          | VALUE B              | 400.00              | 12.00              | 0.00              | 12.00      | 90.0                 | 10.80      |
| 05/01/2018                           | 8353044635          | FISCHER, DACIA M.     | OPPENHEIMER QUEST CAPITAL          | VALUE B              | 87.50               | 3.50               | 0.00              | 3.50       | 90.0                 | 3.15       |
| 05/01/2018                           | 8477461344          | FISCHER, BRANDON S.   | MAIN STREET SMALL CAP FUND A       | B                    | 50.00               | 2.00               | 0.00              | 2.00       | 90.0                 | 1.80       |
| 05/03/2018                           | 8805969062          | JOHNSON, TINA         | OPPENHEIMER INTL BD FD CL A        | B                    | 166.65              | 6.25               | 0.00              | 6.25       | 90.0                 | 5.63       |
| * MUTUAL FUNDS SUBTOTAL *            |                     |                       |                                    |                      | \$54,887.51         | \$1,892.45         | \$0.00            | \$1,892.45 |                      | \$1,703.56 |
| PRODUCT CATEGORY: STOCKS             |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| 05/30/2018                           | SECURITIES, HILLTOP | -HILLTOP SECURITIES   |                                    | B                    | 1,789.89            | 1,789.89           | 0.00              | 1,789.89   | 90.0                 | 1,610.90   |
| * STOCKS SUBTOTAL *                  |                     |                       |                                    |                      | \$1,789.89          | \$1,789.89         | \$0.00            | \$1,789.89 |                      | \$1,610.90 |
| PRODUCT CATEGORY: VARIABLE ANNUITIES |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| 04/30/2018                           | TRAILS              | -JACKSON NATIONAL     |                                    | B                    | 21.04               | 21.04              | 0.00              | 21.04      | 90.0                 | 18.94      |
| 05/04/2018                           | TRAILS              | -JOHN HANCOCK         |                                    | B                    | 65.72               | 65.72              | 0.00              | 65.72      | 90.0                 | 59.15      |
| * VARIABLE ANNUITIES SUBTOTAL *      |                     |                       |                                    |                      | \$86.76             | \$86.76            | \$0.00            | \$86.76    |                      | \$78.09    |
| PRODUCT CATEGORY: LIFE INSURANCE     |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| 05/05/2018                           | STACY, KELLY A.     | NATIONWIDE LIFE       |                                    | B                    | 125.00              | 3.75               | 0.00              | 3.75       | 90.0                 | 3.38       |
| 05/17/2018                           | PATTEN, PHILLIP D.  | NATIONWIDE LIFE       |                                    | B                    | 95.96               | 0.96               | 0.00              | 0.96       | 90.0                 | 0.86       |
| * LIFE INSURANCE SUBTOTAL *          |                     |                       |                                    |                      | \$220.96            | \$4.71             | \$0.00            | \$4.71     |                      | \$4.24     |
| PRODUCT CATEGORY: RIA                |                     |                       |                                    |                      |                     |                    |                   |            |                      |            |
| 04/13/2018                           | 10597815            | HOWE, BARBARA A.      | SIGNAL SECURITIES RIA              | B                    | 0.00                | 265.00             | 0.00              | 265.00     | 90.0                 | 238.50     |
| 04/13/2018                           | 10771324            | GREGG, JOHN A.        | SIGNAL SECURITIES RIA              | B                    | 0.00                | 6.67               | 0.00              | 6.67       | 90.0                 | 6.00       |
| 04/13/2018                           | 11760371            | LONG, MICHAEL A       | SIGNAL SECURITIES RIA              | B                    | 0.00                | 177.67             | 0.00              | 177.67     | 90.0                 | 159.90     |
| 04/13/2018                           | 12153707            | STRUWE, TIM R         | SIGNAL SECURITIES RIA              | B                    | 0.00                | 7.33               | 0.00              | 7.33       | 90.0                 | 6.60       |
| 04/13/2018                           | 12445993            | PITMAN, REBECCA & TOM | SIGNAL SECURITIES RIA              | B                    | 0.00                | 604.67             | 0.00              | 604.67     | 90.0                 | 544.20     |
| 04/13/2018                           | 12520657            | ABRAMS, LAURA JEANNE  | SIGNAL SECURITIES RIA              | B                    | 0.00                | 125.67             | 0.00              | 125.67     | 90.0                 | 113.10     |
| 04/13/2018                           | 12976261            | HINDMAN, ANTHONY J    | SIGNAL SECURITIES RIA              | B                    | 0.00                | 270.00             | 0.00              | 270.00     | 90.0                 | 243.00     |
| 04/13/2018                           | 13142828            | GARGIULO, HELEN       | SIGNAL SECURITIES RIA              | B                    | 0.00                | 112.67             | 0.00              | 112.67     | 90.0                 | 101.40     |
|                                      |                     | PATRICIA P.           |                                    |                      |                     |                    |                   |            |                      |            |
| 04/13/2018                           | 14348417            | HOWE, WILLIAM/DENISE  | SIGNAL SECURITIES RIA              | B                    | 0.00                | 19.33              | 0.00              | 19.33      | 90.0                 | 17.40      |
| 04/13/2018                           | 14381829            | WERNER, JANET F       | SIGNAL SECURITIES RIA              | B                    | 0.00                | 36.00              | 0.00              | 36.00      | 90.0                 | 32.40      |
| 04/13/2018                           | 14429709            | QUADE, WILLIAM & JEAN | SIGNAL SECURITIES RIA              | B                    | 0.00                | 19.00              | 0.00              | 19.00      | 90.0                 | 17.10      |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT                       | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|------------------------------|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |                              |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |                              |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 15091367          | HANSON, KAREN M              | SIGNAL SECURITIES RIA | B   | 0.00                 | 126.00              | 0.00               | 126.00            | 90.0 | 113.40               |
| 04/13/2018 15467725          | BAUMANN, PATRICK J           | SIGNAL SECURITIES RIA | B   | 0.00                 | 18.67               | 0.00               | 18.67             | 90.0 | 16.80                |
| 05/17/2018 15820668          | GROSS, SHERI M               | SIGNAL SECURITIES RIA | B   | 0.00                 | 80.33               | 0.00               | 80.33             | 90.0 | 72.30                |
| 05/17/2018 15820668          | GROSS, SHERI M               | SIGNAL SECURITIES RIA | B   | 0.00                 | 71.67               | 0.00               | 71.67             | 90.0 | 64.50                |
| 05/17/2018 15820668          | GROSS, SHERI M               | SIGNAL SECURITIES RIA | B   | 0.00                 | 11.00               | 0.00               | 11.00             | 90.0 | 9.90                 |
| 04/13/2018 16270038          | MUTCHLER, DAVID              | SIGNAL SECURITIES RIA | B   | 0.00                 | 157.33              | 0.00               | 157.33            | 90.0 | 141.60               |
| 04/13/2018 16412029          | MILLER, BARBARA A            | SIGNAL SECURITIES RIA | B   | 0.00                 | 41.00               | 0.00               | 41.00             | 90.0 | 36.90                |
| 04/13/2018 17118785          | HENRICKSON, LINDA M          | SIGNAL SECURITIES RIA | B   | 0.00                 | 23.00               | 0.00               | 23.00             | 90.0 | 20.70                |
| 04/13/2018 17352141          | CHRISTENSEN, DAVE            | SIGNAL SECURITIES RIA | B   | 0.00                 | 27.00               | 0.00               | 27.00             | 90.0 | 24.30                |
| 04/13/2018 17440148          | EIRING, DEBORAH F            | SIGNAL SECURITIES RIA | B   | 0.00                 | 12.33               | 0.00               | 12.33             | 90.0 | 11.10                |
| 04/13/2018 17456904          | SHOUP, MICHAEL               | SIGNAL SECURITIES RIA | B   | 0.00                 | 91.33               | 0.00               | 91.33             | 90.0 | 82.20                |
| 04/13/2018 17662068          | GLOECKLER, BEVERLY<br>SUE    | SIGNAL SECURITIES RIA | B   | 0.00                 | 164.00              | 0.00               | 164.00            | 90.0 | 147.60               |
| 04/13/2018 18212150          | KELLER, SUSAN K              | SIGNAL SECURITIES RIA | B   | 0.00                 | 128.33              | 0.00               | 128.33            | 90.0 | 115.50               |
| 04/13/2018 19492576          | CHAFEE, CHRIS T              | SIGNAL SECURITIES RIA | B   | 0.00                 | 5.33                | 0.00               | 5.33              | 90.0 | 4.80                 |
| 04/13/2018 19560631          | BRINK, TRAVIS A              | SIGNAL SECURITIES RIA | B   | 0.00                 | 141.67              | 0.00               | 141.67            | 90.0 | 127.50               |
| 04/13/2018 20144207          | BETSON, RONALD J             | SIGNAL SECURITIES RIA | B   | 0.00                 | 84.67               | 0.00               | 84.67             | 90.0 | 76.20                |
| 04/13/2018 20206228          | YAMASHITA, MARK M            | SIGNAL SECURITIES RIA | B   | 0.00                 | 325.00              | 0.00               | 325.00            | 90.0 | 292.50               |
| 04/13/2018 20556395          | HOWE, DENISE L               | SIGNAL SECURITIES RIA | B   | 0.00                 | 72.67               | 0.00               | 72.67             | 90.0 | 65.40                |
| 04/13/2018 22504665          | WILLIAMS, MARIE<br>CLAUDE    | SIGNAL SECURITIES RIA | B   | 0.00                 | 140.00              | 0.00               | 140.00            | 90.0 | 126.00               |
| 04/13/2018 23584507          | KELLER, SUSAN K              | SIGNAL SECURITIES RIA | B   | 0.00                 | 229.00              | 0.00               | 229.00            | 90.0 | 206.10               |
| 04/13/2018 23996577          | TORPEY, GLENNIS A            | SIGNAL SECURITIES RIA | B   | 0.00                 | 27.33               | 0.00               | 27.33             | 90.0 | 24.60                |
| 04/13/2018 24030675          | MCGINLEY, RONALD B           | SIGNAL SECURITIES RIA | B   | 0.00                 | 6.33                | 0.00               | 6.33              | 90.0 | 5.70                 |
| 04/13/2018 24184005          | MILLER, WAYNE G              | SIGNAL SECURITIES RIA | B   | 0.00                 | 97.67               | 0.00               | 97.67             | 90.0 | 87.90                |
| 04/13/2018 25436755          | NILLES, VICKIE               | SIGNAL SECURITIES RIA | B   | 0.00                 | 176.00              | 0.00               | 176.00            | 90.0 | 158.40               |
| 04/13/2018 26598701          | STAHL, DONALD EUGENE         | SIGNAL SECURITIES RIA | B   | 0.00                 | 122.33              | 0.00               | 122.33            | 90.0 | 110.10               |
| 04/13/2018 28007804          | KRANTZ,<br>RICHARD/SANDRA    | SIGNAL SECURITIES RIA | B   | 0.00                 | 28.00               | 0.00               | 28.00             | 90.0 | 25.20                |
| 04/13/2018 28346788          | BAUMANN, GINGER G            | SIGNAL SECURITIES RIA | B   | 0.00                 | 4.67                | 0.00               | 4.67              | 90.0 | 4.20                 |
| 04/13/2018 28373035          | REEVES, JAMES &<br>MICAELA   | SIGNAL SECURITIES RIA | B   | 0.00                 | 8.00                | 0.00               | 8.00              | 90.0 | 7.20                 |
| 04/13/2018 28433693          | ZITNAK, STEPHEN W            | SIGNAL SECURITIES RIA | B   | 0.00                 | 46.67               | 0.00               | 46.67             | 90.0 | 42.00                |
| 04/13/2018 28684378          | HOWE, WILLIAM/DENISE         | SIGNAL SECURITIES RIA | B   | 0.00                 | 202.00              | 0.00               | 202.00            | 90.0 | 181.80               |
| 04/13/2018 28705104          | JOHNSON, JERRY D             | SIGNAL SECURITIES RIA | B   | 0.00                 | 2.67                | 0.00               | 2.67              | 90.0 | 2.40                 |
| 04/13/2018 29556870          | HRUSKA, CATHERINE E          | SIGNAL SECURITIES RIA | B   | 0.00                 | 113.00              | 0.00               | 113.00            | 90.0 | 101.70               |
| 04/13/2018 29589313          | HOWE, DENISE L               | SIGNAL SECURITIES RIA | B   | 0.00                 | 120.67              | 0.00               | 120.67            | 90.0 | 108.60               |
| 04/13/2018 29650218          | PIERCE, JOHN & JULIE         | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.67               | 0.00               | 13.67             | 90.0 | 12.30                |
| 04/13/2018 29746730          | WILLIAMS,<br>DONALD/GERALDIN | SIGNAL SECURITIES RIA | B   | 0.00                 | 22.33               | 0.00               | 22.33             | 90.0 | 20.10                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT   | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|--|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |  |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |  |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018                   | 30072989 PYRIH, LUBA DARIA                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 158.33              | 0.00               | 158.33            | 90.0 | 142.50               |
| 04/13/2018                   | 30322937 SWEENEY, MARY T                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 196.67              | 0.00               | 196.67            | 90.0 | 177.00               |
| 04/13/2018                   | 30347787 BLACK HILLS CORP,<br>FBO DAVID SAMUE    | SIGNAL SECURITIES RIA | B   | 0.00                 | 53.67               | 0.00               | 53.67             | 90.0 | 48.30                |
| 04/13/2018                   | 30647698 MILLER, FLOYD R                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 12.00               | 0.00               | 12.00             | 90.0 | 10.80                |
| 04/13/2018                   | 30677407 PITMAN, TOM                             | SIGNAL SECURITIES RIA | B   | 0.00                 | 42.67               | 0.00               | 42.67             | 90.0 | 38.40                |
| 04/13/2018                   | 30878907 QUINLISK, ERNIE J                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 295.67              | 0.00               | 295.67            | 90.0 | 266.10               |
| 04/13/2018                   | 31781509 PLATT, ALAN B                           | SIGNAL SECURITIES RIA | B   | 0.00                 | 141.33              | 0.00               | 141.33            | 90.0 | 127.20               |
| 04/13/2018                   | 32417594 QUADE, JEAN M.                          | SIGNAL SECURITIES RIA | B   | 0.00                 | 3.33                | 0.00               | 3.33              | 90.0 | 3.00                 |
| 04/13/2018                   | 32899427 WOOD, KRAIG A                           | SIGNAL SECURITIES RIA | B   | 0.00                 | 60.67               | 0.00               | 60.67             | 90.0 | 54.60                |
| 04/13/2018                   | 32902956 CHAFEE, RICHARD/CHRIS                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 228.33              | 0.00               | 228.33            | 90.0 | 205.50               |
| 04/13/2018                   | 32989023 TENOLD, DARON L                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 138.67              | 0.00               | 138.67            | 90.0 | 124.80               |
| 04/13/2018                   | 33413216 PIERCE, JOHN & JULIE                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 1.67                | 0.00               | 1.67              | 90.0 | 1.50                 |
| 04/13/2018                   | 33603400 PEDERSEN/SCHMELTZER,<br>SIGNE R & LOUIS | SIGNAL SECURITIES RIA | B   | 0.00                 | 45.33               | 0.00               | 45.33             | 90.0 | 40.80                |
| 04/13/2018                   | 33769726 WOOD, HEATHER C                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 12.00               | 0.00               | 12.00             | 90.0 | 10.80                |
| 04/13/2018                   | 34262259 JOHNSON, VICTORIA L                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 7.00                | 0.00               | 7.00              | 90.0 | 6.30                 |
| 04/13/2018                   | 34296234 QUADE, WILLIAM & JEAN                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 17.67               | 0.00               | 17.67             | 90.0 | 15.90                |
| 04/13/2018                   | 34299521 HARRISON, PAUL & JOAN                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 461.33              | 0.00               | 461.33            | 90.0 | 415.20               |
| 04/13/2018                   | 35039653 LAMB, DONALD P                          | SIGNAL SECURITIES RIA | B   | 0.00                 | 53.67               | 0.00               | 53.67             | 90.0 | 48.30                |
| 04/13/2018                   | 35053536 BRINK, TRAVIS A                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 20.67               | 0.00               | 20.67             | 90.0 | 18.60                |
| 04/13/2018                   | 35359393 KRANTZ,<br>RICHARD/SANDRA               | SIGNAL SECURITIES RIA | B   | 0.00                 | 187.67              | 0.00               | 187.67            | 90.0 | 168.90               |
| 04/13/2018                   | 36133640 GARGIULO, TIMOTHY<br>FRANCIS            | SIGNAL SECURITIES RIA | B   | 0.00                 | 405.67              | 0.00               | 405.67            | 90.0 | 365.10               |
| 04/13/2018                   | 37594469 KAHLER, KIM E & JANET<br>C              | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.33               | 0.00               | 13.33             | 90.0 | 12.00                |
| 04/13/2018                   | 37802064 MILLER, BARBARA A                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 55.33               | 0.00               | 55.33             | 90.0 | 49.80                |
| 04/13/2018                   | 38007046 TENOLD, AMY J                           | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.67               | 0.00               | 13.67             | 90.0 | 12.30                |
| 04/13/2018                   | 38167769 QUINLISK, KAREN T                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 115.33              | 0.00               | 115.33            | 90.0 | 103.80               |
| 04/13/2018                   | 38488926 BEITELSPACHER REV.<br>TRUST, NICOLE A.  | SIGNAL SECURITIES RIA | B   | 0.00                 | 413.33              | 0.00               | 413.33            | 90.0 | 372.00               |
| 04/13/2018                   | 38489479 GLOECKLER, BEVERLY<br>SUE               | SIGNAL SECURITIES RIA | B   | 0.00                 | 170.00              | 0.00               | 170.00            | 90.0 | 153.00               |
| 04/13/2018                   | 38652695 GIRARD-CARLSON,<br>CATHRYN              | SIGNAL SECURITIES RIA | B   | 0.00                 | 107.33              | 0.00               | 107.33            | 90.0 | 96.60                |
| 04/13/2018                   | 39033876 TENOLD, DARON L                         | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.67               | 0.00               | 13.67             | 90.0 | 12.30                |
| 04/13/2018                   | 39663311 FRERICKS, MARSHA J                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 25.00               | 0.00               | 25.00             | 90.0 | 22.50                |
| 04/13/2018                   | 39961103 WEBER, MARK D                           | SIGNAL SECURITIES RIA | B   | 0.00                 | 272.33              | 0.00               | 272.33            | 90.0 | 245.10               |
| 04/13/2018                   | 40257767 HESTON, WILLIAM K.                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 208.33              | 0.00               | 208.33            | 90.0 | 187.50               |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT                                    | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|---|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |   |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |   |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018                   | 40334505 LONG, MICHAEL A                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 30.67               | 0.00               | 30.67             | 90.0 | 27.60                |
| 04/13/2018                   | 41168136 WILSON, JEFFERY &<br>VICKY       | SIGNAL SECURITIES RIA | B   | 0.00                 | 86.00               | 0.00               | 86.00             | 90.0 | 77.40                |
| 04/13/2018                   | 41176823 SUNDINE/WHEATLAKE,<br>JUDD/LINDA | SIGNAL SECURITIES RIA | B   | 0.00                 | 112.33              | 0.00               | 112.33            | 90.0 | 101.10               |
| 04/13/2018                   | 41306013 REEVES, JAMES &<br>MICAELA       | SIGNAL SECURITIES RIA | B   | 0.00                 | 96.67               | 0.00               | 96.67             | 90.0 | 87.00                |
| 04/13/2018                   | 41561872 9225 W 44TH PROP.LLC             | SIGNAL SECURITIES RIA | B   | 0.00                 | 339.00              | 0.00               | 339.00            | 90.0 | 305.10               |
| 04/13/2018                   | 41568893 JOHNSON, CINDY K                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 479.00              | 0.00               | 479.00            | 90.0 | 431.10               |
| 04/13/2018                   | 42294828 HINDMAN, AMY                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 26.33               | 0.00               | 26.33             | 90.0 | 23.70                |
| 04/13/2018                   | 42576807 MAAG, MONICA A                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 55.67               | 0.00               | 55.67             | 90.0 | 50.10                |
| 04/13/2018                   | 42754170 ROMERO, JULIE KAY                | SIGNAL SECURITIES RIA | B   | 0.00                 | 1,063.33            | 0.00               | 1,063.33          | 90.0 | 957.00               |
| 04/13/2018                   | 42758212 GREGG, CHARLENE M.               | SIGNAL SECURITIES RIA | B   | 0.00                 | 104.33              | 0.00               | 104.33            | 90.0 | 93.90                |
| 04/13/2018                   | 42775183 EIRING, JOHN &<br>DEBORAH        | SIGNAL SECURITIES RIA | B   | 0.00                 | 144.33              | 0.00               | 144.33            | 90.0 | 129.90               |
| 04/13/2018                   | 43202964 CARLSON, RANDY N                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 37.33               | 0.00               | 37.33             | 90.0 | 33.60                |
| 04/13/2018                   | 43438628 JENSEN, DENISE L                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 79.67               | 0.00               | 79.67             | 90.0 | 71.70                |
| 04/13/2018                   | 43795301 HOLLEARN, MICHAEL C              | SIGNAL SECURITIES RIA | B   | 0.00                 | 26.67               | 0.00               | 26.67             | 90.0 | 24.00                |
| 04/13/2018                   | 43835783 STARK, KATHLEEN A                | SIGNAL SECURITIES RIA | B   | 0.00                 | 75.67               | 0.00               | 75.67             | 90.0 | 68.10                |
| 04/13/2018                   | 43903697 LEIVESTAD, DALE FBO<br>MARISS    | SIGNAL SECURITIES RIA | B   | 0.00                 | 20.33               | 0.00               | 20.33             | 90.0 | 18.30                |
| 04/13/2018                   | 43957902 GREGG, CHARLENE M.               | SIGNAL SECURITIES RIA | B   | 0.00                 | 26.00               | 0.00               | 26.00             | 90.0 | 23.40                |
| 04/13/2018                   | 44129020 PIERCE, JULIE M                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 32.00               | 0.00               | 32.00             | 90.0 | 28.80                |
| 04/13/2018                   | 45307716 FRERICKS, MARSHA J               | SIGNAL SECURITIES RIA | B   | 0.00                 | 16.33               | 0.00               | 16.33             | 90.0 | 14.70                |
| 04/13/2018                   | 45460890 MILLER, FLOYD R                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 46.67               | 0.00               | 46.67             | 90.0 | 42.00                |
| 04/13/2018                   | 45973210 TENOLD, AMY FBO DACE<br>T        | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.00               | 0.00               | 13.00             | 90.0 | 11.70                |
| 04/13/2018                   | 46518151 WERNER, CORWYN &<br>JANET        | SIGNAL SECURITIES RIA | B   | 0.00                 | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 04/13/2018                   | 46614088 CAMMACK, RYAN L                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 152.00              | 0.00               | 152.00            | 90.0 | 136.80               |
| 04/13/2018                   | 46830951 VEAZEY, PAMELA D.                | SIGNAL SECURITIES RIA | B   | 0.00                 | 18.00               | 0.00               | 18.00             | 90.0 | 16.20                |
| 04/13/2018                   | 46838476 GARGIULO, PAMELA A               | SIGNAL SECURITIES RIA | B   | 0.00                 | 377.00              | 0.00               | 377.00            | 90.0 | 339.30               |
| 04/13/2018                   | 47144653 PFISTERER, TIMOTHY J             | SIGNAL SECURITIES RIA | B   | 0.00                 | 59.33               | 0.00               | 59.33             | 90.0 | 53.40                |
| 04/13/2018                   | 47378557 WOOD, KRAIG A                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 12.33               | 0.00               | 12.33             | 90.0 | 11.10                |
| 04/13/2018                   | 47487556 GIRARD-CARLSON,<br>CATHRYN       | SIGNAL SECURITIES RIA | B   | 0.00                 | 81.67               | 0.00               | 81.67             | 90.0 | 73.50                |
| 04/13/2018                   | 47601105 KRANTZ,<br>RICHARD/SANDRA        | SIGNAL SECURITIES RIA | B   | 0.00                 | 206.67              | 0.00               | 206.67            | 90.0 | 186.00               |
| 04/13/2018                   | 47914778 JENSEN, RONALD &<br>DENISE       | SIGNAL SECURITIES RIA | B   | 0.00                 | 88.33               | 0.00               | 88.33             | 90.0 | 79.50                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT                | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|-----------------------|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |                       |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |                       |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 48427060          | HANSON, KAREN M       | SIGNAL SECURITIES RIA | B   | 0.00                 | 22.33               | 0.00               | 22.33             | 90.0 | 20.10                |
| 04/13/2018 48682692          | CONNOLLY, BRIAN       | SIGNAL SECURITIES RIA | B   | 0.00                 | 25.67               | 0.00               | 25.67             | 90.0 | 23.10                |
| 04/13/2018 49346016          | SHOUP, LONI J         | SIGNAL SECURITIES RIA | B   | 0.00                 | 246.33              | 0.00               | 246.33            | 90.0 | 221.70               |
| 04/13/2018 49831675          | TENOLD, AMY J         | SIGNAL SECURITIES RIA | B   | 0.00                 | 26.00               | 0.00               | 26.00             | 90.0 | 23.40                |
| 04/13/2018 49985458          | HOWE, WILLIAM/DENISE  | SIGNAL SECURITIES RIA | B   | 0.00                 | 61.00               | 0.00               | 61.00             | 90.0 | 54.90                |
| 04/13/2018 49998746          | MILLER, WAYNE G       | SIGNAL SECURITIES RIA | B   | 0.00                 | 337.33              | 0.00               | 337.33            | 90.0 | 303.60               |
| 04/13/2018 50721833          | KUHN, STACIA D        | SIGNAL SECURITIES RIA | B   | 0.00                 | 52.67               | 0.00               | 52.67             | 90.0 | 47.40                |
| 04/13/2018 52829344          | YORK, CHRIS A         | SIGNAL SECURITIES RIA | B   | 0.00                 | 58.33               | 0.00               | 58.33             | 90.0 | 52.50                |
| 04/13/2018 53704449          | KAHLER, JANET C       | SIGNAL SECURITIES RIA | B   | 0.00                 | 90.67               | 0.00               | 90.67             | 90.0 | 81.60                |
| 04/13/2018 53709669          | TORPEY, GLENNIS A     | SIGNAL SECURITIES RIA | B   | 0.00                 | 316.33              | 0.00               | 316.33            | 90.0 | 284.70               |
| 04/13/2018 54158431          | PIERCE, JOHN FB       | SIGNAL SECURITIES RIA | B   | 0.00                 | 15.33               | 0.00               | 15.33             | 90.0 | 13.80                |
|                              | ABIGAIL               |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 54865811          | THORELL, KRISTIE J T. | SIGNAL SECURITIES RIA | B   | 0.00                 | 439.67              | 0.00               | 439.67            | 90.0 | 395.70               |
| 04/13/2018 54941170          | KAHLER, KIM E & JANET | SIGNAL SECURITIES RIA | B   | 0.00                 | 205.00              | 0.00               | 205.00            | 90.0 | 184.50               |
|                              | C                     |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 55526612          | STRUWE, TIM R         | SIGNAL SECURITIES RIA | B   | 0.00                 | 178.33              | 0.00               | 178.33            | 90.0 | 160.50               |
| 04/13/2018 56096498          | BUREMAN, MICHAEL&     | SIGNAL SECURITIES RIA | B   | 0.00                 | 123.33              | 0.00               | 123.33            | 90.0 | 111.00               |
|                              | RITA                  |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 56292092          | PITMAN, REBECCA & TOM | SIGNAL SECURITIES RIA | B   | 0.00                 | 101.67              | 0.00               | 101.67            | 90.0 | 91.50                |
| 04/13/2018 56595062          | LAMB, LEANN           | SIGNAL SECURITIES RIA | B   | 0.00                 | 48.67               | 0.00               | 48.67             | 90.0 | 43.80                |
| 04/13/2018 56816203          | JACKSON, LISA M       | SIGNAL SECURITIES RIA | B   | 0.00                 | 32.00               | 0.00               | 32.00             | 90.0 | 28.80                |
| 04/13/2018 58281647          | ZARATE, JAIMEE E Z.   | SIGNAL SECURITIES RIA | B   | 0.00                 | 62.33               | 0.00               | 62.33             | 90.0 | 56.10                |
| 04/13/2018 59576874          | HAYMAN, WILLIAM &     | SIGNAL SECURITIES RIA | B   | 0.00                 | 240.33              | 0.00               | 240.33            | 90.0 | 216.30               |
|                              | VICKI                 |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 60169490          | GLOECKLER, BEVERLY    | SIGNAL SECURITIES RIA | B   | 0.00                 | 56.67               | 0.00               | 56.67             | 90.0 | 51.00                |
|                              | SUE                   |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 60197288          | KOENIG, ROBERT A      | SIGNAL SECURITIES RIA | B   | 0.00                 | 24.00               | 0.00               | 24.00             | 90.0 | 21.60                |
| 04/13/2018 60253386          | WILSON, JEFFERY &     | SIGNAL SECURITIES RIA | B   | 0.00                 | 101.67              | 0.00               | 101.67            | 90.0 | 91.50                |
|                              | VICKY                 |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 60791579          | SATTERLEE, WARREN E   | SIGNAL SECURITIES RIA | B   | 0.00                 | 416.33              | 0.00               | 416.33            | 90.0 | 374.70               |
| 04/13/2018 61099660          | JOHNSON, J DANIEL     | SIGNAL SECURITIES RIA | B   | 0.00                 | 148.67              | 0.00               | 148.67            | 90.0 | 133.80               |
| 04/13/2018 61542054          | MAAG, MONICA A        | SIGNAL SECURITIES RIA | B   | 0.00                 | 212.33              | 0.00               | 212.33            | 90.0 | 191.10               |
| 04/13/2018 62004058          | BAUMANN, PATRICK J    | SIGNAL SECURITIES RIA | B   | 0.00                 | 58.67               | 0.00               | 58.67             | 90.0 | 52.80                |
| 04/13/2018 62382731          | DIAMOND, NOAH         | SIGNAL SECURITIES RIA | B   | 0.00                 | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 04/13/2018 62650715          | KOENIG, RUTH A        | SIGNAL SECURITIES RIA | B   | 0.00                 | 38.67               | 0.00               | 38.67             | 90.0 | 34.80                |
| 04/13/2018 63023683          | JOHNSON, J DANIEL     | SIGNAL SECURITIES RIA | B   | 0.00                 | 71.33               | 0.00               | 71.33             | 90.0 | 64.20                |
| 04/13/2018 63140775          | MILLER, FLOYD R       | SIGNAL SECURITIES RIA | B   | 0.00                 | 65.33               | 0.00               | 65.33             | 90.0 | 58.80                |
| 04/13/2018 63781985          | CAMMACK, RYAN L       | SIGNAL SECURITIES RIA | B   | 0.00                 | 96.33               | 0.00               | 96.33             | 90.0 | 86.70                |
| 04/13/2018 64110138          | KINSDALE, JANE        | SIGNAL SECURITIES RIA | B   | 0.00                 | 116.33              | 0.00               | 116.33            | 90.0 | 104.70               |
| 05/15/2018 64351301          | PFISTERER, MICHELLE L | SIGNAL SECURITIES RIA | B   | 0.00                 | 289.00              | 0.00               | 289.00            | 90.0 | 260.10               |



COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT                       | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|------------------------------|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |                              |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |                              |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018 64404215          | STARK, KATHLEEN A            | SIGNAL SECURITIES RIA | B   | 0.00                 | 150.33              | 0.00               | 150.33            | 90.0 | 135.30               |
| 04/13/2018 64764636          | KELLY, KOREY                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 23.00               | 0.00               | 23.00             | 90.0 | 20.70                |
| 04/13/2018 64833041          | EIRING, JOHN &<br>DEBORAH    | SIGNAL SECURITIES RIA | B   | 0.00                 | 22.33               | 0.00               | 22.33             | 90.0 | 20.10                |
| 04/13/2018 65226021          | GARGIULO, KAITLIN            | SIGNAL SECURITIES RIA | B   | 0.00                 | 174.33              | 0.00               | 174.33            | 90.0 | 156.90               |
| 04/13/2018 65557704          | MCGINLEY, RONALD B           | SIGNAL SECURITIES RIA | B   | 0.00                 | 253.33              | 0.00               | 253.33            | 90.0 | 228.00               |
| 04/13/2018 66425418          | MACOLINI, FRANK &<br>RUTHANN | SIGNAL SECURITIES RIA | B   | 0.00                 | 446.67              | 0.00               | 446.67            | 90.0 | 402.00               |
| 04/13/2018 66917531          | BUREMAN, RITA L.             | SIGNAL SECURITIES RIA | B   | 0.00                 | 265.00              | 0.00               | 265.00            | 90.0 | 238.50               |
| 04/13/2018 68100959          | BRINK, CHANDELLE SKY<br>B.   | SIGNAL SECURITIES RIA | B   | 0.00                 | 5.33                | 0.00               | 5.33              | 90.0 | 4.80                 |
| 04/13/2018 68495356          | JOHNSON, J DANIEL            | SIGNAL SECURITIES RIA | B   | 0.00                 | 19.67               | 0.00               | 19.67             | 90.0 | 17.70                |
| 04/13/2018 68548550          | KRANTZ, SANDRA L             | SIGNAL SECURITIES RIA | B   | 0.00                 | 91.33               | 0.00               | 91.33             | 90.0 | 82.20                |
| 04/13/2018 68732372          | BERG, RONALD                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 694.00              | 0.00               | 694.00            | 90.0 | 624.60               |
| 04/13/2018 69503797          | PIERCE, JOHN & JULIE         | SIGNAL SECURITIES RIA | B   | 0.00                 | 33.67               | 0.00               | 33.67             | 90.0 | 30.30                |
| 04/13/2018 69769351          | EIRING, DEBORAH F            | SIGNAL SECURITIES RIA | B   | 0.00                 | 259.33              | 0.00               | 259.33            | 90.0 | 233.40               |
| 04/13/2018 70053665          | HOLLEARN, RITA               | SIGNAL SECURITIES RIA | B   | 0.00                 | 16.00               | 0.00               | 16.00             | 90.0 | 14.40                |
| 04/13/2018 70228215          | ECHTER, SHELLY K             | SIGNAL SECURITIES RIA | B   | 0.00                 | 337.00              | 0.00               | 337.00            | 90.0 | 303.30               |
| 04/13/2018 71751206          | KELLER, SUSAN K              | SIGNAL SECURITIES RIA | B   | 0.00                 | 23.33               | 0.00               | 23.33             | 90.0 | 21.00                |
| 04/13/2018 71785581          | GREGG, JOHN A.               | SIGNAL SECURITIES RIA | B   | 0.00                 | 77.33               | 0.00               | 77.33             | 90.0 | 69.60                |
| 04/13/2018 71981417          | KAHLER, KIM E & JANET<br>C   | SIGNAL SECURITIES RIA | B   | 0.00                 | 66.00               | 0.00               | 66.00             | 90.0 | 59.40                |
| 04/13/2018 72180753          | RHODES, MARK L               | SIGNAL SECURITIES RIA | B   | 0.00                 | 386.33              | 0.00               | 386.33            | 90.0 | 347.70               |
| 04/13/2018 73270490          | CONNOLLY, BRIAN              | SIGNAL SECURITIES RIA | B   | 0.00                 | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 04/13/2018 73463753          | QUADE, WILLIAM & JEAN        | SIGNAL SECURITIES RIA | B   | 0.00                 | 34.33               | 0.00               | 34.33             | 90.0 | 30.90                |
| 04/13/2018 73606431          | STEPHENS, VALERIE            | SIGNAL SECURITIES RIA | B   | 0.00                 | 2,051.33            | 0.00               | 2,051.33          | 90.0 | 1,846.20             |
| 04/13/2018 73984739          | ACKERMAN, LAVONNE L          | SIGNAL SECURITIES RIA | B   | 0.00                 | 240.00              | 0.00               | 240.00            | 90.0 | 216.00               |
| 04/13/2018 74090733          | BAUMANN, GINGER G            | SIGNAL SECURITIES RIA | B   | 0.00                 | 17.00               | 0.00               | 17.00             | 90.0 | 15.30                |
| 04/13/2018 74134537          | JOHNSON, RUTHANNE            | SIGNAL SECURITIES RIA | B   | 0.00                 | 24.67               | 0.00               | 24.67             | 90.0 | 22.20                |
| 04/13/2018 74561646          | JOHNSON, JEFFREY D           | SIGNAL SECURITIES RIA | B   | 0.00                 | 42.33               | 0.00               | 42.33             | 90.0 | 38.10                |
| 04/13/2018 74832638          | STAHL, DONALD EUGENE         | SIGNAL SECURITIES RIA | B   | 0.00                 | 76.67               | 0.00               | 76.67             | 90.0 | 69.00                |
| 04/13/2018 75152036          | STEELE, DAVID A              | SIGNAL SECURITIES RIA | B   | 0.00                 | 60.00               | 0.00               | 60.00             | 90.0 | 54.00                |
| 04/13/2018 75826019          | WILLIAMS, GERALDINE          | SIGNAL SECURITIES RIA | B   | 0.00                 | 146.67              | 0.00               | 146.67            | 90.0 | 132.00               |
| 04/13/2018 76522415          | HOLLEARN, MICHAEL C          | SIGNAL SECURITIES RIA | B   | 0.00                 | 161.33              | 0.00               | 161.33            | 90.0 | 145.20               |
| 04/13/2018 76748838          | YORK, CHRIS A                | SIGNAL SECURITIES RIA | B   | 0.00                 | 20.00               | 0.00               | 20.00             | 90.0 | 18.00                |
| 04/13/2018 76891257          | GIRARD-CARLSON,<br>CATHRYN   | SIGNAL SECURITIES RIA | B   | 0.00                 | 137.00              | 0.00               | 137.00            | 90.0 | 123.30               |
| 04/13/2018 78957791          | ECHTER, SHELLY K             | SIGNAL SECURITIES RIA | B   | 0.00                 | 374.67              | 0.00               | 374.67            | 90.0 | 337.20               |
| 04/13/2018 78986866          | GUENZI, CAROL JO             | SIGNAL SECURITIES RIA | B   | 0.00                 | 307.33              | 0.00               | 307.33            | 90.0 | 276.60               |
| 04/13/2018 79301514          | WERNER, CORWYN &             | SIGNAL SECURITIES RIA | B   | 0.00                 | 64.67               | 0.00               | 64.67             | 90.0 | 58.20                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT  | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|---|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |   |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |   |                       |     |                      |                     |                    |                   |      |                      |
| JANET                        |   |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018                   | 79495850 RAPID CITY MEDICAL CTR               | SIGNAL SECURITIES RIA | B   | 0.00                 | 507.00              | 0.00               | 507.00            | 90.0 | 456.30               |
| 04/13/2018                   | 79828155 BARKER/STEVENS, KERRY/STEPHANIE      | SIGNAL SECURITIES RIA | B   | 0.00                 | 10.67               | 0.00               | 10.67             | 90.0 | 9.60                 |
| 04/13/2018                   | 80391965 KUHN, STACIA D                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 1.67                | 0.00               | 1.67              | 90.0 | 1.50                 |
| 04/13/2018                   | 80875540 ROMERO, DALE E.                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 236.00              | 0.00               | 236.00            | 90.0 | 212.40               |
| 04/13/2018                   | 81096523 HENRICKSON, ORVILLE                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 18.33               | 0.00               | 18.33             | 90.0 | 16.50                |
| 04/13/2018                   | 81501198 FRERICKS, MARSHA J                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 379.67              | 0.00               | 379.67            | 90.0 | 341.70               |
| 04/13/2018                   | 81836304 PLATT, ALAN B                        | SIGNAL SECURITIES RIA | B   | 0.00                 | 43.33               | 0.00               | 43.33             | 90.0 | 39.00                |
| 04/13/2018                   | 82190461 TENOLD, AMY FBO DAWSON               | SIGNAL SECURITIES RIA | B   | 0.00                 | 2.33                | 0.00               | 2.33              | 90.0 | 2.10                 |
| 04/13/2018                   | 82997248 HARRISON, PAUL & JOAN                | SIGNAL SECURITIES RIA | B   | 0.00                 | 160.00              | 0.00               | 160.00            | 90.0 | 144.00               |
| 04/13/2018                   | 83018285 WEBER, DARLENE A.                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 04/13/2018                   | 83255347 WEBER, DARLENE A.                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 214.33              | 0.00               | 214.33            | 90.0 | 192.90               |
| 04/13/2018                   | 83344292 BORK, WALLACE D                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 487.00              | 0.00               | 487.00            | 90.0 | 438.30               |
| 04/13/2018                   | 83355639 PEDERSEN/SCHMELTZER, SIGNE R & LOUIS | SIGNAL SECURITIES RIA | B   | 0.00                 | 57.67               | 0.00               | 57.67             | 90.0 | 51.90                |
| 04/13/2018                   | 83433608 TENOLD, AMY FBO DEON R               | SIGNAL SECURITIES RIA | B   | 0.00                 | 16.33               | 0.00               | 16.33             | 90.0 | 14.70                |
| 04/13/2018                   | 83754130 GREGG, CHARLENE M.                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 134.33              | 0.00               | 134.33            | 90.0 | 120.90               |
| 04/13/2018                   | 84354375 QUADE, JEAN M.                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 16.67               | 0.00               | 16.67             | 90.0 | 15.00                |
| 04/13/2018                   | 84359588 HOWE, BARBARA A.                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 197.00              | 0.00               | 197.00            | 90.0 | 177.30               |
| 04/13/2018                   | 85064966 JACOBS, COREY T                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 165.00              | 0.00               | 165.00            | 90.0 | 148.50               |
| 04/13/2018                   | 85082521 JENSEN, RONALD & DENISE              | SIGNAL SECURITIES RIA | B   | 0.00                 | 79.33               | 0.00               | 79.33             | 90.0 | 71.40                |
| 04/13/2018                   | 85822210 KAHLER, JANET C                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 13.33               | 0.00               | 13.33             | 90.0 | 12.00                |
| 04/13/2018                   | 85996569 PIERCE, JULIE M                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 1.67                | 0.00               | 1.67              | 90.0 | 1.50                 |
| 05/17/2018                   | 86018805 TENOLD, AMY FBO DUALY O              | SIGNAL SECURITIES RIA | B   | 0.00                 | 7.00                | 0.00               | 7.00              | 90.0 | 6.30                 |
| 04/13/2018                   | 86057224 EIRING, JOHN & DEBORAH               | SIGNAL SECURITIES RIA | B   | 0.00                 | 12.33               | 0.00               | 12.33             | 90.0 | 11.10                |
| 04/13/2018                   | 86469888 KOENIG, ROBERT A                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 138.33              | 0.00               | 138.33            | 90.0 | 124.50               |
| 04/13/2018                   | 87210372 STEPHENS, VALERIE                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 18.33               | 0.00               | 18.33             | 90.0 | 16.50                |
| 04/13/2018                   | 87411379 JOHNSON, JEFFREY D                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 171.00              | 0.00               | 171.00            | 90.0 | 153.90               |
| 04/13/2018                   | 87992733 LAMB, DONALD P                       | SIGNAL SECURITIES RIA | B   | 0.00                 | 57.33               | 0.00               | 57.33             | 90.0 | 51.60                |
| 04/13/2018                   | 88251717 KETZNER, TODD J                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 91.67               | 0.00               | 91.67             | 90.0 | 82.50                |
| 04/13/2018                   | 88260407 PITMAN, TOM                          | SIGNAL SECURITIES RIA | B   | 0.00                 | 14.00               | 0.00               | 14.00             | 90.0 | 12.60                |
| 04/13/2018                   | 88353473 CHAFEE, RICHARD/CHRIS                | SIGNAL SECURITIES RIA | B   | 0.00                 | 161.33              | 0.00               | 161.33            | 90.0 | 145.20               |
| 04/13/2018                   | 89139909 LAMB, LEANN                          | SIGNAL SECURITIES RIA | B   | 0.00                 | 53.00               | 0.00               | 53.00             | 90.0 | 47.70                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE                   | CLIENT                                      | INVESTMENT            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------|---|-----------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>   |   |                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: RIA</u> |   |                       |     |                      |                     |                    |                   |      |                      |
| 04/13/2018                   | 89348302 GARGIULO, TIMOTHY<br>FRANCIS       | SIGNAL SECURITIES RIA | B   | 0.00                 | 602.67              | 0.00               | 602.67            | 90.0 | 542.40               |
| 04/13/2018                   | 89790665 VEAZEY, PAMELA D.                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 843.67              | 0.00               | 843.67            | 90.0 | 759.30               |
| 04/13/2018                   | 91013710 KOENIG, RUTH A                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 27.67               | 0.00               | 27.67             | 90.0 | 24.90                |
| 04/13/2018                   | 92186431 WILLIAMS,<br>DONALD/GERALDIN       | SIGNAL SECURITIES RIA | B   | 0.00                 | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 04/13/2018                   | 92202296 HINDMAN, ANTHONY J                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 24.00               | 0.00               | 24.00             | 90.0 | 21.60                |
| 04/13/2018                   | 92327955 ABRAMS, LAURA JEANNE               | SIGNAL SECURITIES RIA | B   | 0.00                 | 33.67               | 0.00               | 33.67             | 90.0 | 30.30                |
| 04/13/2018                   | 92545805 PITMAN, REBECCA & TOM              | SIGNAL SECURITIES RIA | B   | 0.00                 | 4.33                | 0.00               | 4.33              | 90.0 | 3.90                 |
| 04/13/2018                   | 92927312 LEIVESTAD, DALE L                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 37.00               | 0.00               | 37.00             | 90.0 | 33.30                |
| 04/13/2018                   | 93010997 KINSDALE, JANE                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 414.33              | 0.00               | 414.33            | 90.0 | 372.90               |
| 04/13/2018                   | 93015086 STRUWE, CAROLINE A                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 18.67               | 0.00               | 18.67             | 90.0 | 16.80                |
| 04/13/2018                   | 93046418 WILLIAMS,<br>DONALD/GERALDIN       | SIGNAL SECURITIES RIA | B   | 0.00                 | 308.67              | 0.00               | 308.67            | 90.0 | 277.80               |
| 04/13/2018                   | 94507995 KUHN, STACIA D                     | SIGNAL SECURITIES RIA | B   | 0.00                 | 7.00                | 0.00               | 7.00              | 90.0 | 6.30                 |
| 04/13/2018                   | 94629096 GUENZI, CAROL JO                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 8.33                | 0.00               | 8.33              | 90.0 | 7.50                 |
| 04/13/2018                   | 95008736 LEIVESTAD, DALE L                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 221.00              | 0.00               | 221.00            | 90.0 | 198.90               |
| 04/13/2018                   | 95368200 REEVES, MICAELA S                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 8.00                | 0.00               | 8.00              | 90.0 | 7.20                 |
| 04/13/2018                   | 95392118 O'NEILL, WILLIAM C                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 255.00              | 0.00               | 255.00            | 90.0 | 229.50               |
| 04/13/2018                   | 95605369 BARKER/STEVENS,<br>KERRY/STEPHANIE | SIGNAL SECURITIES RIA | B   | 0.00                 | 71.00               | 0.00               | 71.00             | 90.0 | 63.90                |
| 04/13/2018                   | 95863247 JOHNSON, RUTHANNE                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 83.67               | 0.00               | 83.67             | 90.0 | 75.30                |
| 04/13/2018                   | 96072766 PROFFITT, SUSAN N.                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 143.00              | 0.00               | 143.00            | 90.0 | 128.70               |
| 04/13/2018                   | 96167222 HENRICKSON, ORVILLE                | SIGNAL SECURITIES RIA | B   | 0.00                 | 125.33              | 0.00               | 125.33            | 90.0 | 112.80               |
| 04/13/2018                   | 96706135 WOLF, KATHRYN                      | SIGNAL SECURITIES RIA | B   | 0.00                 | 134.33              | 0.00               | 134.33            | 90.0 | 120.90               |
| 04/13/2018                   | 96806247 DIAMOND, KENNETH C.                | SIGNAL SECURITIES RIA | B   | 0.00                 | 273.00              | 0.00               | 273.00            | 90.0 | 245.70               |
| 04/13/2018                   | 96937079 REEVES, JAMES &<br>MICAELA         | SIGNAL SECURITIES RIA | B   | 0.00                 | 24.33               | 0.00               | 24.33             | 90.0 | 21.90                |
| 04/13/2018                   | 96946210 HENRICKSON, ORVILLE                | SIGNAL SECURITIES RIA | B   | 0.00                 | 211.33              | 0.00               | 211.33            | 90.0 | 190.20               |
| 04/13/2018                   | 97095581 SCHMIDT, GERALD &<br>JUDITH        | SIGNAL SECURITIES RIA | B   | 0.00                 | 58.00               | 0.00               | 58.00             | 90.0 | 52.20                |
| 04/13/2018                   | 97641202 HAYMAN, WILLIAM &<br>VICKI         | SIGNAL SECURITIES RIA | B   | 0.00                 | 16.00               | 0.00               | 16.00             | 90.0 | 14.40                |
| 04/13/2018                   | 97680079 STEVENS, STEPHANIE A               | SIGNAL SECURITIES RIA | B   | 0.00                 | 11.67               | 0.00               | 11.67             | 90.0 | 10.50                |
| 04/13/2018                   | 97927074 GARGIULO, HELEN<br>PATRICIA P.     | SIGNAL SECURITIES RIA | B   | 0.00                 | 10.67               | 0.00               | 10.67             | 90.0 | 9.60                 |
| 04/13/2018                   | 98361164 SANDER, RANDY L                    | SIGNAL SECURITIES RIA | B   | 0.00                 | 153.00              | 0.00               | 153.00            | 90.0 | 137.70               |
| 04/13/2018                   | 98617795 STRUWE, CAROLINE A                 | SIGNAL SECURITIES RIA | B   | 0.00                 | 125.33              | 0.00               | 125.33            | 90.0 | 112.80               |
| 04/13/2018                   | 98834954 KRANTZ, SANDRA L                   | SIGNAL SECURITIES RIA | B   | 0.00                 | 37.00               | 0.00               | 37.00             | 90.0 | 33.30                |
| 04/13/2018                   | 98954969 GARGIULO, KAITLIN                  | SIGNAL SECURITIES RIA | B   | 0.00                 | 95.00               | 0.00               | 95.00             | 90.0 | 85.50                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE  | CLIENT                                | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|---|---------------------------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                       |                                       |     |                      |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: RIA</u></b>                     |                                       |                                       |     |                      |                     |                    |                    |      |                      |
| 04/13/2018  | 99111980 WILSON, VICKY L              | SIGNAL SECURITIES RIA                 | B   | 0.00                 | 121.00              | 0.00               | 121.00             | 90.0 | 108.90               |
| 04/13/2018  | 99353116 DODGE, SALLY A               | SIGNAL SECURITIES RIA                 | B   | 0.00                 | 69.00               | 0.00               | 69.00              | 90.0 | 62.10                |
| 04/13/2018  | 99580715 BUREMAN, MICHAEL&<br>RITA    | SIGNAL SECURITIES RIA                 | B   | 0.00                 | 22.00               | 0.00               | 22.00              | 90.0 | 19.80                |
| <b>* RIA SUBTOTAL *</b>                                 |                                       |                                       |     | <b>\$0.00</b>        | <b>\$32,019.62</b>  | <b>\$0.00</b>      | <b>\$32,019.62</b> |      | <b>\$28,817.70</b>   |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                       |                                       |     |                      |                     |                    |                    |      |                      |
| 06/01/2018  | TRAIL COMMISSIONS                     | JOHN HANCOCK FEES                     |     | 0.00                 | 0.76                | 0.00               | 0.76               | 90.0 | 0.69                 |
| 06/01/2018  | TRAIL COMMISSIONS                     | COLUMBIA THREADNEEDLE FEES            |     | 0.00                 | 16.94               | 0.00               | 16.94              | 90.0 | 15.27                |
| 06/01/2018  | TRAIL COMMISSIONS                     | WM GROUP OF FUNDS FEES                |     | 0.00                 | 7.93                | 0.00               | 7.93               | 90.0 | 7.14                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |                                       |                                       |     | <b>\$0.00</b>        | <b>\$25.63</b>      | <b>\$0.00</b>      | <b>\$25.63</b>     |      | <b>\$23.10</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |                                       |                                       |     | <b>\$56,985.12</b>   | <b>\$35,819.06</b>  | <b>\$0.00</b>      | <b>\$35,819.06</b> |      | <b>\$32,237.59</b>   |
| <b><u>VERRIDE TRANSACTIONS</u></b>                      |                                       |                                       |     |                      |                     |                    |                    |      |                      |
| <b><u>BROKER: KELSEY MCDANIEL #9660</u></b>             |                                       |                                       |     |                      |                     |                    |                    |      |                      |
| 04/30/2018  | TRAILS                                | - LORD ABBETT                         | B   | 24.36                | 24.36               | 0.00               | 24.36              |      | 4.87                 |
| 05/15/2018  | 000001977715529 MILLER,<br>VALERIE A. | TEMPLETON GROWTH FD CL 1              | B   | 50.00                | 2.50                | 0.00               | 2.50               |      | 0.50                 |
| 05/16/2018  | 00067038919 MINOR, BRUCE              | AMERICAN FUNDS INVESTMENT COMP OF A B |     | 155.00               | 4.26                | 0.00               | 4.26               |      | 0.85                 |
| 05/16/2018  | 00067038919 MINOR, BRUCE              | AMERICAN FUNDS INVESTMENT COMP OF A B |     | 93.00                | 2.56                | 0.00               | 2.56               |      | 0.51                 |
| 05/09/2018  | 04000823357 WRIGHT, BLAKE J.          | AMERICAN FUNDS GROWTH FUND OF AMERI B |     | 4,397.55             | 219.88              | 0.00               | 219.88             |      | 43.98                |
| 05/14/2018  | 04000889219 BROWN, DEANNE             | AMERICAN FUNDS INCOME FD OF AMERI B   |     | 400.00               | 15.00               | 0.00               | 15.00              |      | 3.00                 |
| 05/07/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS AMERICAN MUTUAL FD B   |     | 115.32               | 5.77                | 0.00               | 5.77               |      | 1.15                 |
| 05/10/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS AMERICAN MUTUAL FD B   |     | 5,465.96             | 273.30              | 0.00               | 273.30             |      | 54.66                |
| 05/07/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS GROWTH FUND OF AMERI B |     | 115.32               | 5.77                | 0.00               | 5.77               |      | 1.15                 |
| 05/10/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS GROWTH FUND OF AMERI B |     | 5,465.96             | 273.30              | 0.00               | 273.30             |      | 54.66                |
| 05/07/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS NEW PERSPECTIVE FD B   |     | 115.32               | 5.77                | 0.00               | 5.77               |      | 1.15                 |
| 05/10/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS NEW PERSPECTIVE FD B   |     | 5,465.96             | 273.30              | 0.00               | 273.30             |      | 54.66                |
| 05/07/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS SMALL CAP WORLD FD B   |     | 115.32               | 5.77                | 0.00               | 5.77               |      | 1.15                 |
| 05/10/2018  | 04000959018 HOFFMAN, CHRISTINA<br>J.  | AMERICAN FUNDS SMALL CAP WORLD FD B   |     | 5,465.97             | 273.30              | 0.00               | 273.30             |      | 54.66                |

COMMISSION STATEMENT for JON D. JOHNSON

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

OVERRIDE TRANSACTIONS

**BROKER: KELSEY MCDANIEL #9660**

|                                     |                                    |                       |   |             |            |        |            |  |          |
|-------------------------------------|------------------------------------|-----------------------|---|-------------|------------|--------|------------|--|----------|
| 05/15/2018                          | 57775487 VALLETTE, DAVID<br>ROBERT | SIGNAL SECURITIES RIA | B | 0.00        | 76.74      | 0.00   | 76.74      |  | 15.35    |
| 05/15/2018                          | 99338479 DREXLER, FLOYD<br>MICHAEL | SIGNAL SECURITIES RIA | B | 0.00        | 222.70     | 0.00   | 222.70     |  | 44.54    |
| * KELSEY MCDANIEL SUBTOTAL *        |                                    |                       |   | \$27,445.04 | \$1,684.28 | \$0.00 | \$1,684.28 |  | \$336.84 |
| *** OVERRIDE TRANSACTIONS TOTAL *** |                                    |                       |   | \$27,445.04 | \$1,684.28 | \$0.00 | \$1,684.28 |  | \$336.84 |

ADJUSTMENTS

|                           |                              |  |  |        |        |        |        |  |           |
|---------------------------|------------------------------|--|--|--------|--------|--------|--------|--|-----------|
| 06/01/2018                | E & O INSURANCE: 1/2 MONTHLY |  |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -100.00   |
| 06/01/2018                | HILLTOP: CLEARING CHARGES    |  |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -303.50   |
| 06/01/2018                | TECH: MONTHLY TECH SERVICES  |  |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -27.50    |
| *** ADJUSTMENTS TOTAL *** |                              |  |  | \$0.00 | \$0.00 | \$0.00 | \$0.00 |  | \$-431.00 |

BROKER COMMISSION TOTALS

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$32,237.59 |
| Split Transactions    | \$0.00      |
| Override Transactions | \$336.84    |
| Adjustments           | \$-431.00   |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$32,143.43  |
| Year-to-date Earnings | \$246,940.09 |