

**COMMISSION STATEMENT****June 15, 2018**JOHN, R119 ROSS
7261 W. Central Ave.BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
06/06/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	92.0	4.60
06/01/2018	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96
06/01/2018	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	92.0	1.96
* 529 PLANS SUBTOTAL *			\$200.00	\$9.26	\$0.00	\$9.26		\$8.52
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/29/2018	LOVETTE, BRIAN	AM FUNDS 2050 TARGET DATE-A	100.00	3.75	0.00	3.75	92.0	3.45
05/29/2018	LOVETTE, BRIAN	AM FUNDS 2050 TARGET DATE-A	429.98	16.12	0.00	16.12	92.0	14.83
05/29/2018	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	105.00	3.94	0.00	3.94	92.0	3.62
05/29/2018	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	157.50	5.91	0.00	5.91	92.0	5.44
06/01/2018	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
06/04/2018	JOLDRICHSEN, ANDREA	AM FUNDS BALANCED PORT A	28,026.59	1,191.13	0.00	1,191.13	92.0	1,095.84
05/29/2018	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	77.64	2.14	0.00	2.14	92.0	1.97
05/29/2018	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	3.94	0.00	3.94	92.0	3.62
05/29/2018	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	157.50	5.91	0.00	5.91	92.0	5.44
05/29/2018	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	77.64	2.14	0.00	2.14	92.0	1.97
05/29/2018	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	105.00	3.94	0.00	3.94	92.0	3.62
05/29/2018	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	157.50	5.91	0.00	5.91	92.0	5.44
06/04/2018	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	20.00	0.32	0.00	0.32	92.0	0.29
06/04/2018	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	200.00	3.20	0.00	3.20	92.0	2.94
06/04/2018	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	100.00	1.60	0.00	1.60	92.0	1.47
05/29/2018	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
05/29/2018	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	35.00	1.31	0.00	1.31	92.0	1.21
05/29/2018	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	52.50	1.97	0.00	1.97	92.0	1.81
05/25/2018	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	1,000.00	27.50	0.00	27.50	92.0	25.30
* MUTUAL FUNDS SUBTOTAL *			\$31,121.85	\$1,286.53	\$0.00	\$1,286.53		\$1,183.60

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/31/2018	IRWIN, JOHN	JNL ELITE ACCESS	161,044.69	33.55	0.00	33.55	92.0	30.87
05/31/2018	DEMKO, VERNA	JNL PERSPECTIVE	50,275.08	10.47	0.00	10.47	92.0	9.63
05/31/2018	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,384.48	1.41	0.00	1.41	92.0	1.30
05/31/2018	LONG, LORI	JNL PERSPECTIVE L	14,892.99	12.41	0.00	12.41	92.0	11.42
05/31/2018	BENSCH, ARLYN	JNL PERSPECTIVE L	33,851.37	28.21	0.00	28.21	92.0	25.95
05/31/2018	BENSCH, CANDACE	JNL PERSPECTIVE L	28,860.65	24.05	0.00	24.05	92.0	22.13
05/31/2018	KRALL, JERRY	JOHN HANCOCK VENTURE III	41,997.29	35.00	0.00	35.00	92.0	32.20
05/31/2018	KEEFE, GERALD	JOHN HANCOCK VENTURE III	13,538.11	11.28	0.00	11.28	92.0	10.38
05/31/2018	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	111,603.63	93.00	0.00	93.00	92.0	85.56
05/31/2018	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	33,813.07	28.18	0.00	28.18	92.0	25.93
05/31/2018	GARDNER, WM	JOHN HANCOCK VENTURE III	131,246.30	109.37	0.00	109.37	92.0	100.62
05/31/2018	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	69,261.10	57.72	0.00	57.72	92.0	53.10
05/31/2018	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	57,033.19	47.53	0.00	47.53	92.0	43.73
05/31/2018	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	87,008.83	72.51	0.00	72.51	92.0	66.71
05/31/2018	MOORE, GARY	JOHN HANCOCK VENTURE III	86,899.38	72.42	0.00	72.42	92.0	66.63
05/31/2018	IRWIN, JOHN	JOHN HANCOCK VENTURE III	72,042.08	60.04	0.00	60.04	92.0	55.24
05/31/2018	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	59,910.56	49.93	0.00	49.93	92.0	45.94
05/31/2018	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	59,428.25	49.52	0.00	49.52	92.0	45.56
05/25/2018	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
05/25/2018	SHOEMAKER, DENNIS	MML ARTISTRY	25.00	1.38	0.00	1.38	92.0	1.27
05/30/2018	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
06/08/2018	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
06/08/2018	SHOEMAKER, DENNIS	MML ARTISTRY	25.00	1.38	0.00	1.38	92.0	1.27
06/11/2018	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
05/14/2018	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	144,388.09	120.32	0.00	120.32	92.0	110.69
05/20/2018	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	108,357.87	90.30	0.00	90.30	92.0	83.08
05/21/2018	DEMKO, VERNA	TRANSAMERICA LIBERTY	83,977.23	69.98	0.00	69.98	92.0	64.38
05/22/2018	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	187,179.33	155.98	0.00	155.98	92.0	143.50
05/27/2018	ROSS, SUSAN	TRANSAMERICA LIBERTY	4,414.16	3.68	0.00	3.68	92.0	3.39
05/29/2018	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	27,691.28	23.08	0.00	23.08	92.0	21.23
* VARIABLE ANNUITIES SUBTOTAL *			\$1,672,529.01	\$1,283.60	\$0.00	\$1,283.60		\$1,180.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	ZUCCARELL, MATTHEW	529 AMCAP FUND CLASS A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	HUDSON ROSS, MICHELLE	529 AMCAP FUND CLASS A	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2018	ZUCCARELL, MATTHEW	529 AMCAP FUND CLASS A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	ECKHARDT, MELISSA	529 AMCAP FUND CLASS A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	ECKHARDT, MELISSA	529 AMCAP FUND CLASS A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	SHELNICK, CATHERINE	AF CONSERVATIVE GROWTH AND INCOME-5	0.00	21.84	0.00	21.84	92.0	20.09
06/01/2018	SHELNICK, CATHERINE	AF CONSERVATIVE GROWTH AND INCOME-5	0.00	10.07	0.00	10.07	92.0	9.26
06/01/2018	HUDSON ROSS, MICHELLE	AF CONSERVATIVE GROWTH AND INCOME-5	0.00	4.45	0.00	4.45	92.0	4.09
06/01/2018	HUDSON ROSS, MICHELLE	AF CONSERVATIVE GROWTH AND INCOME-5	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2018	HUDSON ROSS, MICHELLE	AF MODERATE GROWTH AND INCOME-529A	0.00	4.53	0.00	4.53	92.0	4.17
06/01/2018	HUDSON ROSS, MICHELLE	AF MODERATE GROWTH AND INCOME-529A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2018	KIEFER, SUSAN	AM FUNDS 2010 TARGET DATE-A	0.00	7.09	0.00	7.09	92.0	6.52
06/01/2018	TROUT, TINA	AM FUNDS 2020 TARGET DATE-A	0.00	7.87	0.00	7.87	92.0	7.24
06/01/2018	MAWHORTER, TIMOTHY	AM FUNDS 2045 TARGET DATE-A	0.00	12.52	0.00	12.52	92.0	11.52
06/01/2018	LOVETTE, BRIAN	AM FUNDS 2050 TARGET DATE-A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	KIEFER, SUSAN	AM FUNDS 2055 TARGET DATE-A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2018	TROUT, TINA	AM FUNDS 2055 TARGET DATE-A	0.00	2.59	0.00	2.59	92.0	2.38
06/01/2018	BLAKE, MIRIAM	AM FUNDS AMCAP A	0.00	2.90	0.00	2.90	92.0	2.67
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS AMCAP A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2018	HEINAMAN, ROBERT	AM FUNDS AMCAP A	0.00	16.65	0.00	16.65	92.0	15.32
06/01/2018	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2018	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2018	ROSS, SALLY	AM FUNDS AMCAP A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS AMCAP A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2018	RONEY, LINDA	AM FUNDS AMCAP A	0.00	28.89	0.00	28.89	92.0	26.58
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS AMCAP A	0.00	4.48	0.00	4.48	92.0	4.12
06/01/2018	DAY, CHERYL	AM FUNDS AMCAP A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS AMCAP A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2018	GOYER, TIMOTHY	AM FUNDS AMCAP A	0.00	2.23	0.00	2.23	92.0	2.05
06/01/2018	SMOOT, C STEVEN	AM FUNDS AMCAP A	0.00	22.75	0.00	22.75	92.0	20.93
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS AMCAP A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2018	MURPHY, JACK	AM FUNDS AMCAP A	0.00	2.64	0.00	2.64	92.0	2.43

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	GLORE, DANIEL	AM FUNDS AMCAP A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	MURPHY, CAROL	AM FUNDS AMCAP A	0.00	4.90	0.00	4.90	92.0	4.51
06/01/2018	SHAFFER, DENISE	AM FUNDS AMCAP A	0.00	3.96	0.00	3.96	92.0	3.64
06/01/2018	ISAACSON, ROBERT	AM FUNDS AMCAP A	0.00	2.56	0.00	2.56	92.0	2.36
06/01/2018	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	21.77	0.00	21.77	92.0	20.03
06/01/2018	DECKER, MARY BETH	AM FUNDS AMCAP A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2018	HAUSER, ROBERT	AM FUNDS AMCAP A	0.00	12.29	0.00	12.29	92.0	11.31
06/01/2018	HAUSER, RONALD	AM FUNDS AMCAP A	0.00	5.10	0.00	5.10	92.0	4.69
06/01/2018	TARRIS, CHRISTINE	AM FUNDS AMCAP A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2018	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	2.85	0.00	2.85	92.0	2.62
06/01/2018	MOLNAR, JOSEPH	AM FUNDS AMCAP A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	ROSS, DANIEL	AM FUNDS AMCAP A	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	FAIRCHILD, DANA	AM FUNDS AMCAP A	0.00	5.74	0.00	5.74	92.0	5.28
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2018	CURSON, STEVE	AM FUNDS AMCAP A	0.00	1.91	0.00	1.91	92.0	1.76
06/01/2018	LECHUGA, CARRIE	AM FUNDS AMCAP A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2018	KISER, ELIZABETH	AM FUNDS AMCAP A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2018	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2018	OBERT, DEBORA	AM FUNDS AMCAP A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	FLEMING, ANDREA	AM FUNDS AMCAP A	0.00	7.72	0.00	7.72	92.0	7.10
06/01/2018	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2018	HILES, MARC	AM FUNDS AMCAP A	0.00	3.61	0.00	3.61	92.0	3.32
06/01/2018	SMITH, SUZANNE	AM FUNDS AMCAP A	0.00	8.14	0.00	8.14	92.0	7.49
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS AMCAP A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS AMCAP A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2018	GOYER, CALLIE	AM FUNDS AMCAP A	0.00	3.00	0.00	3.00	92.0	2.76
06/01/2018	SMITH, MARK	AM FUNDS AMCAP A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2018	SMITH, PADRAIC	AM FUNDS AMCAP A	0.00	3.29	0.00	3.29	92.0	3.03
06/01/2018	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2018	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2018	GERMAN, MARIANNE	AM FUNDS AMCAP A	0.00	2.43	0.00	2.43	92.0	2.24
06/01/2018	GODFREY, TIMOTHY	AM FUNDS AMCAP A	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2018	ZINK, ROBERT	AM FUNDS AMCAP A	0.00	5.31	0.00	5.31	92.0	4.89

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	LARSON, PENNY	AM FUNDS AMCAP A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2018	GOYER, GRACE	AM FUNDS AMCAP A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2018	DRAKE, ERIC	AM FUNDS AMCAP A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2018	GROSVENOR, JOHN	AM FUNDS AMCAP A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2018	MOON, CHARLES	AM FUNDS AMCAP A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2018	COLEMAN, PARISS	AM FUNDS AMCAP A	0.00	3.57	0.00	3.57	92.0	3.28
06/01/2018	COLEMAN, LINDA	AM FUNDS AMERICAN BALANCED 529A	0.00	1.39	0.00	1.39	92.0	1.28
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS AMERICAN BALANCED 529A	0.00	3.38	0.00	3.38	92.0	3.11
06/01/2018	DREIER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2018	HEINAMAN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	34.78	0.00	34.78	92.0	32.00
06/01/2018	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	3.20	0.00	3.20	92.0	2.94
06/01/2018	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	1.14	0.00	1.14	92.0	1.05
06/01/2018	MILLER, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	SWINDLE, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2018	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.84	0.00	0.84	92.0	0.77
06/01/2018	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2018	RONEY, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	3.50	0.00	3.50	92.0	3.22
06/01/2018	ZUCCARELL, HEATHER	AM FUNDS AMERICAN BALANCED A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2018	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2018	WOODRUFF, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS AMERICAN BALANCED A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2018	MOORE, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	6.77	0.00	6.77	92.0	6.23
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN BALANCED A	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2018	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2018	MARKJA, BERNADINE	AM FUNDS AMERICAN BALANCED A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2018	BRILLHART, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2018	MURPHY, JACK	AM FUNDS AMERICAN BALANCED A	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2018	HUDAK, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2018	HUDAK, STASIA	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2018	MURPHY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	2.83	0.00	2.83	92.0	2.60
06/01/2018	SHAFFER, DENISE	AM FUNDS AMERICAN BALANCED A	0.00	3.82	0.00	3.82	92.0	3.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	WASSERMAN, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2018	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	25.08	0.00	25.08	92.0	23.07
06/01/2018	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2018	HAUSER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	20.84	0.00	20.84	92.0	19.17
06/01/2018	TARRIS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.95	0.00	7.95	92.0	7.31
06/01/2018	HUDAK, DARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	MOLNAR, JOSEPH	AM FUNDS AMERICAN BALANCED A	0.00	4.76	0.00	4.76	92.0	4.38
06/01/2018	KORAL, ANDREW	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2018	ROSS, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2018	FAIRCHILD, DANA	AM FUNDS AMERICAN BALANCED A	0.00	2.37	0.00	2.37	92.0	2.18
06/01/2018	BRILLHART, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS AMERICAN BALANCED A	0.00	2.58	0.00	2.58	92.0	2.37
06/01/2018	SILLIMAN, GRACE	AM FUNDS AMERICAN BALANCED A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2018	ROSS, KRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.17	0.00	2.17	92.0	2.00
06/01/2018	GARDNER, SHANNON	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	KISER, ELIZABETH	AM FUNDS AMERICAN BALANCED A	0.00	2.90	0.00	2.90	92.0	2.67
06/01/2018	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	2.90	0.00	2.90	92.0	2.67
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	1.31	0.00	1.31	92.0	1.21
06/01/2018	BRILLHART, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2018	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	3.42	0.00	3.42	92.0	3.15
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	16.65	0.00	16.65	92.0	15.32
06/01/2018	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	2.29	0.00	2.29	92.0	2.11
06/01/2018	SMITH, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	7.61	0.00	7.61	92.0	7.00
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	4.02	0.00	4.02	92.0	3.70
06/01/2018	SMITH, PADRAIC	AM FUNDS AMERICAN BALANCED A	0.00	3.19	0.00	3.19	92.0	2.93
06/01/2018	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	7.62	0.00	7.62	92.0	7.01
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2018	WASSERMAN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2018	ZINK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	4.76	0.00	4.76	92.0	4.38
06/01/2018	COUSINO, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.11	0.00	1.11	92.0	1.02
06/01/2018	BAKER-KANOUS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	2.85	0.00	2.85	92.0	2.62
06/01/2018	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	92.0	0.47

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	GROSVENOR, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2018	STOUT, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.87	0.00	2.87	92.0	2.64
06/01/2018	FAIRCHILD, KERRY	AM FUNDS AMERICAN BALANCED A	0.00	5.07	0.00	5.07	92.0	4.66
06/01/2018	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2018	WEBBER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	BIHN, JANELLE	AM FUNDS AMERICAN BALANCED A	0.00	1.13	0.00	1.13	92.0	1.04
06/01/2018	YOUNG, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	5.21	0.00	5.21	92.0	4.79
06/01/2018	WHALEN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	4.97	0.00	4.97	92.0	4.57
06/01/2018	DEMKO, VERNA	AM FUNDS AMERICAN BALANCED A	0.00	8.78	0.00	8.78	92.0	8.08
06/01/2018	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2018	ENGLAND, HELEN	AM FUNDS AMERICAN BALANCED A	0.00	2.70	0.00	2.70	92.0	2.48
06/01/2018	ROSS, NICOLE	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	92.0	1.62
06/01/2018	COLEMAN, PARISS	AM FUNDS AMERICAN BALANCED A	0.00	4.99	0.00	4.99	92.0	4.59
06/01/2018	ENGLAND, HELEN	AM FUNDS AMERICAN BALANCED A	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2018	STEDCKE, EILEEN	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	BLAKE, MIRIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.96	0.00	3.96	92.0	3.64
06/01/2018	DREIER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2018	GOYER, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.31	0.00	6.31	92.0	5.81
06/01/2018	MOORE, LINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.19	0.00	3.19	92.0	2.93
06/01/2018	ZAENGER, KYLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2018	MARKJA, BERNADINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2018	URSITTI, MATTHEW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	KREMPA, CLAUDE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2018	SHAFFER, LOREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.11	0.00	1.11	92.0	1.02
06/01/2018	HUNTER, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.33	0.00	4.33	92.0	3.98
06/01/2018	BRILLHART, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2018	KOTLARCZYK, JANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2018	GLORE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2018	MURPHY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.39	0.00	4.39	92.0	4.04
06/01/2018	BIHN, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.77	0.00	0.77	92.0	0.71

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/01/2018	MORNINGSTAR, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	24.46	0.00	24.46	92.0	22.50
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2018	MOLNAR, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2018	ROSS, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.30	0.00	3.30	92.0	3.04
06/01/2018	CASTOR, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	REED, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.72	0.00	2.72	92.0	2.50
06/01/2018	REED, COLLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.72	0.00	2.72	92.0	2.50
06/01/2018	SILLIMAN, GRACE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	ROSS, PATRICK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.90	0.00	0.90	92.0	0.83
06/01/2018	ZARAGOZA, JULIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	ZARAGOZA, VICTOR	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.78	0.00	5.78	92.0	5.32
06/01/2018	CESSNA, JENI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2018	SCANLAN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2018	GERMAN, MARIANNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.31	0.00	1.31	92.0	1.21
06/01/2018	CARVER, DENISE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2018	FISCHER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2018	HAUETER, GREGORY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2018	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.88	0.00	13.88	92.0	12.77
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2018	KORAKAS, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2018	HILES, MARC	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.23	0.00	2.23	92.0	2.05
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2018	NICHOLSON, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.63	0.00	2.63	92.0	2.42
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2018	DEMKO, VERNA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.13	0.00	3.13	92.0	2.88
06/01/2018	COLEMAN, PARISS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.81	0.00	1.81	92.0	1.67
06/01/2018	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	0.00	7.05	0.00	7.05	92.0	6.49
06/01/2018	COLEMAN, LINDA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2018	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.18	0.00	3.18	92.0	2.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.18	0.00	3.18	92.0	2.93
06/01/2018	MOORE, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	BENSCH, CANDACE	AM FUNDS AMERICAN MUTUAL A	0.00	1.74	0.00	1.74	92.0	1.60
06/01/2018	BLAKE, MIRIAM	AM FUNDS AMERICAN MUTUAL A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	DREIER, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2018	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2018	ROSS, SALLY	AM FUNDS AMERICAN MUTUAL A	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS AMERICAN MUTUAL A	0.00	2.69	0.00	2.69	92.0	2.47
06/01/2018	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	MOORE, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	5.98	0.00	5.98	92.0	5.50
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN MUTUAL A	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2018	MARKJA, BERNADINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.68	0.00	2.68	92.0	2.47
06/01/2018	BRILLHART, RYAN	AM FUNDS AMERICAN MUTUAL A	0.00	1.39	0.00	1.39	92.0	1.28
06/01/2018	MURPHY, JACK	AM FUNDS AMERICAN MUTUAL A	0.00	2.52	0.00	2.52	92.0	2.32
06/01/2018	MURPHY, CAROL	AM FUNDS AMERICAN MUTUAL A	0.00	3.03	0.00	3.03	92.0	2.79
06/01/2018	SHAFFER, DENISE	AM FUNDS AMERICAN MUTUAL A	0.00	5.22	0.00	5.22	92.0	4.80
06/01/2018	ISAACSON, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	10.31	0.00	10.31	92.0	9.49
06/01/2018	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	20.07	0.00	20.07	92.0	18.46
06/01/2018	HAUSER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	16.69	0.00	16.69	92.0	15.35
06/01/2018	TARRIS, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS AMERICAN MUTUAL A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2018	SUTHERLAND, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	2.07	0.00	2.07	92.0	1.90
06/01/2018	MOLNAR, JOSEPH	AM FUNDS AMERICAN MUTUAL A	0.00	1.45	0.00	1.45	92.0	1.33
06/01/2018	KORAL, ANDREW	AM FUNDS AMERICAN MUTUAL A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	ROSS, DANIEL	AM FUNDS AMERICAN MUTUAL A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2018	FAIRCHILD, DANA	AM FUNDS AMERICAN MUTUAL A	0.00	3.97	0.00	3.97	92.0	3.65
06/01/2018	BRILLHART, SHARON	AM FUNDS AMERICAN MUTUAL A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	4.43	0.00	4.43	92.0	4.08
06/01/2018	CURSON, STEVE	AM FUNDS AMERICAN MUTUAL A	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2018	GARDNER, SHANNON	AM FUNDS AMERICAN MUTUAL A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	LECHUGA, CARRIE	AM FUNDS AMERICAN MUTUAL A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2018	SCHNEE, LEO	AM FUNDS AMERICAN MUTUAL A	0.00	0.41	0.00	0.41	92.0	0.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	OBERT, DEBORA	AM FUNDS AMERICAN MUTUAL A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2018	FLEMING, ANDREA	AM FUNDS AMERICAN MUTUAL A	0.00	3.51	0.00	3.51	92.0	3.23
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS AMERICAN MUTUAL A	0.00	8.34	0.00	8.34	92.0	7.67
06/01/2018	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	HILES, MARC	AM FUNDS AMERICAN MUTUAL A	0.00	5.84	0.00	5.84	92.0	5.37
06/01/2018	SMITH, SUZANNE	AM FUNDS AMERICAN MUTUAL A	0.00	6.90	0.00	6.90	92.0	6.35
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	2.76	0.00	2.76	92.0	2.54
06/01/2018	NICHOLSON, JAMES	AM FUNDS AMERICAN MUTUAL A	0.00	8.02	0.00	8.02	92.0	7.38
06/01/2018	MCLAUGHLIN, JAIME	AM FUNDS AMERICAN MUTUAL A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2018	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	2.04	0.00	2.04	92.0	1.88
06/01/2018	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2018	GODFREY, TIMOTHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2018	ZINK, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.89	0.00	4.89	92.0	4.50
06/01/2018	LARSON, PENNY	AM FUNDS AMERICAN MUTUAL A	0.00	2.41	0.00	2.41	92.0	2.22
06/01/2018	MCFARLAND, BRANDON	AM FUNDS AMERICAN MUTUAL A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2018	DRAKE, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN MUTUAL A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2018	STOUT, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	YOUNG, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	5.22	0.00	5.22	92.0	4.80
06/01/2018	DEMKO, VERNA	AM FUNDS AMERICAN MUTUAL A	0.00	4.98	0.00	4.98	92.0	4.58
06/01/2018	MOON, CHARLES	AM FUNDS AMERICAN MUTUAL A	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2018	ROSS, NICOLE	AM FUNDS AMERICAN MUTUAL A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2018	ENGLAND, HELEN	AM FUNDS AMERICAN MUTUAL A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	0.00	17.42	0.00	17.42	92.0	16.03
06/01/2018	BLAKE, MIRIAM	AM FUNDS BALANCED PORT A	0.00	7.94	0.00	7.94	92.0	7.30
06/01/2018	VALADE, JOHN	AM FUNDS BALANCED PORT A	0.00	39.80	0.00	39.80	92.0	36.62
06/01/2018	SANDERSON, CATHY	AM FUNDS BALANCED PORT A	0.00	5.56	0.00	5.56	92.0	5.12
06/01/2018	DECKER, MARY BETH	AM FUNDS BALANCED PORT A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS BALANCED PORT A	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS BALANCED PORT A	0.00	4.01	0.00	4.01	92.0	3.69
06/01/2018	BRAITHWAITE, MICHAEL	AM FUNDS BALANCED PORT A	0.00	7.31	0.00	7.31	92.0	6.73
06/01/2018	DECKER, MARY BETH	AM FUNDS BALANCED PORT A	0.00	0.64	0.00	0.64	92.0	0.59

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/01/2018	TARRIS, CHRISTINE	AM FUNDS BALANCED PORT A	0.00	15.37	0.00	15.37	92.0	14.14
06/01/2018	ROSS, DANIEL	AM FUNDS BALANCED PORT A	0.00	7.05	0.00	7.05	92.0	6.49
06/01/2018	WALBERG, PAUL	AM FUNDS BALANCED PORT A	0.00	46.87	0.00	46.87	92.0	43.12
06/01/2018	ROSS, PATRICK	AM FUNDS BALANCED PORT A	0.00	11.99	0.00	11.99	92.0	11.03
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS BALANCED PORT A	0.00	3.65	0.00	3.65	92.0	3.36
06/01/2018	HAUTER, GREGORY	AM FUNDS BALANCED PORT A	0.00	4.03	0.00	4.03	92.0	3.71
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS BALANCED PORT A	0.00	23.88	0.00	23.88	92.0	21.97
06/01/2018	ZENK, DERECK	AM FUNDS BALANCED PORT A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2018	PELLIONI, PAUL	AM FUNDS BALANCED PORT A	0.00	7.25	0.00	7.25	92.0	6.67
06/01/2018	ZINK, ROBERT	AM FUNDS BALANCED PORT A	0.00	19.57	0.00	19.57	92.0	18.00
06/01/2018	FEDCZUK-ANDREW, LORREEN	AM FUNDS BALANCED PORT A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2018	COUSINO, NICHOLAS	AM FUNDS BALANCED PORT A	0.00	4.06	0.00	4.06	92.0	3.74
06/01/2018	BAKER-KANOUS, BARBARA	AM FUNDS BALANCED PORT A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2018	FAIRCHILD, CONNIE	AM FUNDS BALANCED PORT A	0.00	6.47	0.00	6.47	92.0	5.95
06/01/2018	ROSS, NICOLE	AM FUNDS BALANCED PORT A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	LETT, TRACY	AM FUNDS BALANCED PORT A	0.00	9.50	0.00	9.50	92.0	8.74
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS BALANCED PORT A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	YOUNG, KEITH	AM FUNDS BALANCED PORT A	0.00	18.16	0.00	18.16	92.0	16.71
06/01/2018	ECKHARDT, MELISSA	AM FUNDS BALANCED PORT A	0.00	12.17	0.00	12.17	92.0	11.20
06/01/2018	MANN, JAMES	AM FUNDS BALANCED PORT A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2018	JOLDRICHSEN, JOHN	AM FUNDS BALANCED PORT A	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	HUDSON-ROSS, MICHELLE	AM FUNDS BALANCED PORT A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2018	JOLDRICHSEN, JOHN	AM FUNDS BALANCED PORT A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2018	BRILLHART, HEATHER	AM FUNDS BALANCED PORT A	0.00	6.34	0.00	6.34	92.0	5.83
06/01/2018	DRUCKENMILLER, CHRISTINA	AM FUNDS BALANCED PORT A	0.00	46.41	0.00	46.41	92.0	42.70
06/01/2018	MURPHY, CAROL	AM FUNDS BALANCED PORT A	0.00	6.01	0.00	6.01	92.0	5.53
06/01/2018	BLAKE, MIRIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2018	DREIER, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2018	SANDERSON, CATHY	AM FUNDS BOND FUND OF AMERICA A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2018	MILLER, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	PEARSON, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2018	DAY, CHERYL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2018	MOORE, LINDA	AM FUNDS BOND FUND OF AMERICA A	0.00	3.19	0.00	3.19	92.0	2.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	KREMPA, CLAUDE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2018	MURPHY, JACK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2018	IRWIN, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.85	0.00	3.85	92.0	3.54
06/01/2018	HAUSER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	5.24	0.00	5.24	92.0	4.82
06/01/2018	MOLNAR, JOSEPH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	BRILLHART, SHARON	AM FUNDS BOND FUND OF AMERICA A	0.00	1.81	0.00	1.81	92.0	1.67
06/01/2018	CURSON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2018	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2018	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	WALBERG, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS BOND FUND OF AMERICA A	0.00	9.15	0.00	9.15	92.0	8.42
06/01/2018	FEDCZUK-ANDREW, LORREEN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2018	COUSINO, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	FAIRCHILD, CONNIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2018	ROSS, NICOLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2018	DRAKE, ERIC	AM FUNDS BOND FUND OF AMERICA A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	1.76	0.00	1.76	92.0	1.62
06/01/2018	DONNELLY, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	DEMKO, VERNA	AM FUNDS BOND FUND OF AMERICA A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2018	ENGLAND, HELEN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2018	ENGLAND, HELEN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2018	RILEY, PATRICK	AM FUNDS BOND FUND OF AMERICA A	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2018	STEDCKE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	HUDSON-ROSS, MICHELLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2018	BRILLHART, HEATHER	AM FUNDS BOND FUND OF AMERICA A	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2018	BRILLHART, HEATHER	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2018	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2018	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.87	0.00	3.87	92.0	3.56
06/01/2018	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.87	0.00	3.87	92.0	3.56
06/01/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.52	0.00	0.52	92.0	0.48

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BLAKE, MIRIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.44	0.00	3.44	92.0	3.16
06/01/2018	MOORE, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	BENSCH, CANDACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.69	0.00	1.69	92.0	1.55
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2018	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.52	0.00	22.52	92.0	20.72
06/01/2018	COMBS, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.44	0.00	2.44	92.0	2.24
06/01/2018	MILLER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.05	0.00	2.05	92.0	1.89
06/01/2018	SWINDLE, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2018	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2018	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2018	ROSS, SALLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.39	0.00	3.39	92.0	3.12
06/01/2018	HENDERSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.92	0.00	1.92	92.0	1.77
06/01/2018	PEARSON, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	92.0	6.38
06/01/2018	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2018	SANDERSON, CATHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	92.0	0.67
06/01/2018	DAY, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	SUTHERLAND, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2018	MOORE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.49	0.00	5.49	92.0	5.05
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2018	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2018	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2018	GRANT, MEGAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2018	GRANT, AUDREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	SMOOT, C STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	23.17	0.00	23.17	92.0	21.32
06/01/2018	KREMPA, CLAUDE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.11	0.00	3.11	92.0	2.86
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.67	0.00	3.67	92.0	3.38
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2018	SHAFFER, LOREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2018	HUNTER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.90	0.00	2.90	92.0	2.67
06/01/2018	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.86	0.00	0.86	92.0	0.79

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2018	ZENK, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	MURPHY, JACK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.26	0.00	4.26	92.0	3.92
06/01/2018	MURPHY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.68	0.00	5.68	92.0	5.23
06/01/2018	BIHN, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.13	0.00	2.13	92.0	1.96
06/01/2018	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	ISAACSON, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.02	0.00	5.02	92.0	4.62
06/01/2018	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	26.57	0.00	26.57	92.0	24.44
06/01/2018	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2018	HAUSER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.25	0.00	20.25	92.0	18.63
06/01/2018	HAUSER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.35	0.00	8.35	92.0	7.68
06/01/2018	TARRIS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.20	0.00	2.20	92.0	2.02
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.21	0.00	7.21	92.0	6.63
06/01/2018	GLORE, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.65	0.00	4.65	92.0	4.28
06/01/2018	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.58	0.00	4.58	92.0	4.21
06/01/2018	KORAL, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	ROSS, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.16	0.00	4.16	92.0	3.83
06/01/2018	FAIRCHILD, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	BRILLHART, SHARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2018	CASTOR, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.43	0.00	3.43	92.0	3.16
06/01/2018	CURSON, STEVE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.69	0.00	2.69	92.0	2.47
06/01/2018	REED, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	92.0	1.80
06/01/2018	REED, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	92.0	1.80
06/01/2018	SILLIMAN, GRACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.66	0.00	2.66	92.0	2.45
06/01/2018	ROSS, KRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.30	0.00	2.30	92.0	2.12
06/01/2018	GARDNER, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	LECHUGA, CARRIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	KISER, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2018	KISER, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2018	ROSS, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2018	ZARAGOZA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.55	0.00	1.55	92.0	1.43
06/01/2018	ZARAGOZA, VICTOR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	92.0	0.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.04	0.00	14.04	92.0	12.92
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2018	SCHNEE, LEO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	WARNER, COREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.98	0.00	10.98	92.0	10.10
06/01/2018	SCANLAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.04	0.00	4.04	92.0	3.72
06/01/2018	OBERT, DEBORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	92.0	1.76
06/01/2018	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	KRALL, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2018	BRILLHART, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2018	KONZ, ORVEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.22	0.00	2.22	92.0	2.04
06/01/2018	KOZLOWSKI, KENNETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	HAUETER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2018	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.83	0.00	12.83	92.0	11.80
06/01/2018	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.68	0.00	18.68	92.0	17.19
06/01/2018	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.47	0.00	3.47	92.0	3.19
06/01/2018	IRWIN, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2018	BENSCH, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.95	0.00	3.95	92.0	3.63
06/01/2018	HILES, MARC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.51	0.00	4.51	92.0	4.15
06/01/2018	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	SMITH, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.84	0.00	4.84	92.0	4.45
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.55	0.00	2.55	92.0	2.35
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.01	0.00	4.01	92.0	3.69
06/01/2018	PELLIONI, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	WASSERMAN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2018	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.01	0.00	2.01	92.0	1.85
06/01/2018	GODFREY, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	92.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	ZINK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.76	0.00	5.76	92.0	5.30
06/01/2018	LARSON, PENNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2018	COUSINO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2018	DRAKE, ERIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	WHITTAKER, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.40	0.00	4.40	92.0	4.05
06/01/2018	GROSVENOR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2018	STOUT, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2018	FAIRCHILD, KERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.07	0.00	7.07	92.0	6.50
06/01/2018	BIHN, JANELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	SPINKS, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2018	WHALEN, KELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.88	0.00	4.88	92.0	4.49
06/01/2018	DEMKO, VERNA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.29	0.00	8.29	92.0	7.63
06/01/2018	ENGLAND, HELEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.59	0.00	2.59	92.0	2.38
06/01/2018	MOON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.29	0.00	2.29	92.0	2.11
06/01/2018	ROSS, NICOLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2018	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.82	0.00	10.82	92.0	9.95
06/01/2018	ENGLAND, HELEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2018	STEDCKE, EILEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2018	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.24	0.00	3.24	92.0	2.98
06/01/2018	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.24	0.00	3.24	92.0	2.98
06/01/2018	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	4.26	0.00	4.26	92.0	3.92
06/01/2018	MOORE, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2018	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2018	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.08	0.00	0.08	92.0	0.07
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS CAPITAL WORLD BOND A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2018	IRELAN, TED	AM FUNDS CAPITAL WORLD BOND A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	MOORE, LINDA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.52	0.00	2.52	92.0	2.32
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2018	MURPHY, JACK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	HUDAK, NICHOLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.35	0.00	0.35	92.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	HUDAK, STASIA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2018	MURPHY, CAROL	AM FUNDS CAPITAL WORLD BOND A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2018	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	10.17	0.00	10.17	92.0	9.36
06/01/2018	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	20.79	0.00	20.79	92.0	19.13
06/01/2018	HAUSER, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	5.84	0.00	5.84	92.0	5.37
06/01/2018	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2018	CURSON, STEVE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	LECHUGA, CARRIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2018	SCHNEE, LEO	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	OBERT, DEBORA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2018	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2018	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	1.01	0.00	1.01	92.0	0.93
06/01/2018	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2018	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2018	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	GODFREY, TIMOTHY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2018	ZINK, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	4.40	0.00	4.40	92.0	4.05
06/01/2018	DRAKE, ERIC	AM FUNDS CAPITAL WORLD BOND A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	WALLS, CONNOR	AM FUNDS CAPITAL WORLD BOND A	0.00	1.75	0.00	1.75	92.0	1.61
06/01/2018	WHALEN, KELLY	AM FUNDS CAPITAL WORLD BOND A	0.00	4.61	0.00	4.61	92.0	4.24
06/01/2018	MOON, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.19	0.00	4.19	92.0	3.85
06/01/2018	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.61	0.00	0.61	92.0	0.56
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2018	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	8.72	0.00	8.72	92.0	8.02
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.47	0.00	3.47	92.0	3.19
06/01/2018	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	92.0	0.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	DREIER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.86	0.00	6.86	92.0	6.31
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2018	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.19	0.00	16.19	92.0	14.89
06/01/2018	COMBS, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2018	SANDERSON, CATHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
06/01/2018	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2018	SWINDLE, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2018	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	PEARSON, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.94	0.00	34.94	92.0	32.14
06/01/2018	MOLNAR, CONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.26	0.00	4.26	92.0	3.92
06/01/2018	IRELAN, TED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2018	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	92.0	0.04
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	DAY, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	GOYER, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.73	0.00	4.73	92.0	4.35
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2018	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2018	SMOOT, C STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.39	0.00	28.39	92.0	26.12
06/01/2018	BENSCH, ARLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.58	0.00	3.58	92.0	3.29
06/01/2018	KREMPA, CLAUDE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.10	0.00	4.10	92.0	3.77
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.46	0.00	5.46	92.0	5.02
06/01/2018	SHAFFER, LOREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2018	HUNTER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.95	0.00	3.95	92.0	3.63
06/01/2018	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
06/01/2018	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	MURPHY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.66	0.00	7.66	92.0	7.05
06/01/2018	BIHN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.99	0.00	3.99	92.0	3.67
06/01/2018	SHAFFER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.52	0.00	4.52	92.0	4.16
06/01/2018	MORNINGSTAR, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2018	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.19	0.00	6.19	92.0	5.69
06/01/2018	IRWIN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	20.61	0.00	20.61	92.0	18.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	HAUSER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.67	0.00	8.67	92.0	7.98
06/01/2018	WALLS, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	TARRIS, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.50	0.00	1.50	92.0	1.38
06/01/2018	MCLAUGHLIN, JAIME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	KRAUS, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.60	0.00	2.60	92.0	2.39
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.13	0.00	6.13	92.0	5.64
06/01/2018	GLORE, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.94	0.00	6.94	92.0	6.38
06/01/2018	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2018	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.80	0.00	3.80	92.0	3.50
06/01/2018	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2018	FAIRCHILD, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.23	0.00	4.23	92.0	3.89
06/01/2018	BRILLHART, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2018	CASTOR, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	92.0	0.93
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.98	0.00	2.98	92.0	2.74
06/01/2018	CURSON, STEVE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	92.0	2.24
06/01/2018	REED, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.29	0.00	3.29	92.0	3.03
06/01/2018	REED, COLLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.29	0.00	3.29	92.0	3.03
06/01/2018	SILLIMAN, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2018	MORRIS, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2018	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	ROSS, KRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2018	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2018	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	KISER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	KISER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	ZARAGOZA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	ZARAGOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.55	0.00	9.55	92.0	8.79
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.00	0.00	16.00	92.0	14.72
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2018	MURD, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	WARNER, COREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.08	0.00	12.08	92.0	11.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	SCANLAN, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.77	0.00	5.77	92.0	5.31
06/01/2018	OBERT, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2018	OBERT, DEBORA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2018	CARVER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2018	FISCHER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.14	0.00	4.14	92.0	3.81
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.74	0.00	2.74	92.0	2.52
06/01/2018	KONZ, ORVEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2018	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.77	0.00	12.77	92.0	11.75
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	20.24	0.00	20.24	92.0	18.62
06/01/2018	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2018	BENSCH, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.51	0.00	2.51	92.0	2.31
06/01/2018	HILES, MARC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.59	0.00	5.59	92.0	5.14
06/01/2018	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.47	0.00	2.47	92.0	2.27
06/01/2018	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2018	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.99	0.00	2.99	92.0	2.75
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2018	COUSINO, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2018	GOYER, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.39	0.00	3.39	92.0	3.12
06/01/2018	FAIRCHILD, KERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.17	0.00	3.17	92.0	2.92
06/01/2018	WHALEN, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.54	0.00	5.54	92.0	5.10
06/01/2018	ROSS, NICOLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.44	0.00	1.44	92.0	1.32
06/01/2018	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.84	0.00	5.84	92.0	5.37
06/01/2018	STEDCKE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2018	COLEMAN, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2018	HUNTER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2018	BLAKE, MIRIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2018	DREIER, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.22	0.00	1.22	92.0	1.12
06/01/2018	COMBS, BRIAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2018	SANDERSON, CATHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2018	MILLER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	SWINDLE, DARRYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.58	0.00	1.58	92.0	1.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	KOZIARSKI, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.89	0.00	7.89	92.0	7.26
06/01/2018	DECKER, MARY BETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2018	HOLT, JEAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.63	0.00	5.63	92.0	5.18
06/01/2018	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.51	0.00	5.51	92.0	5.07
06/01/2018	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2018	KOTLARCYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	22.96	0.00	22.96	92.0	21.12
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.11	0.00	1.11	92.0	1.02
06/01/2018	MOLNAR, CONNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2018	GOYER, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.97	0.00	2.97	92.0	2.73
06/01/2018	SMOOT, C STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	27.97	0.00	27.97	92.0	25.73
06/01/2018	MARKJA, BERNADINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2018	URSITTI, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.12	0.00	3.12	92.0	2.87
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	SHAFFER, LOREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2018	HUNTER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.41	0.00	3.41	92.0	3.14
06/01/2018	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2018	MURPHY, JACK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	KOTLARCYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2018	KOTLARCYK, JANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2018	HUDAK, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	HUDAK, STASIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	HARRISON, JEFFERY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.23	0.00	4.23	92.0	3.89
06/01/2018	GLORE, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2018	MURPHY, CAROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.23	0.00	2.23	92.0	2.05
06/01/2018	SHAFFER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.21	0.00	4.21	92.0	3.87
06/01/2018	WALLS, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	TARRIS, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.54	0.00	2.54	92.0	2.34
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.75	0.00	1.75	92.0	1.61
06/01/2018	GLORE, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.54	0.00	3.54	92.0	3.26
06/01/2018	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	CURSON, STEVE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	92.0	1.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	REED, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.22	0.00	2.22	92.0	2.04
06/01/2018	REED, COLLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.22	0.00	2.22	92.0	2.04
06/01/2018	SILLIMAN, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2018	GARDNER, SHANNON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2018	GARDNER, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2018	KISER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2018	KISER, EDWARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.49	0.00	1.49	92.0	1.37
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.76	0.00	6.76	92.0	6.22
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	30.11	0.00	30.11	92.0	27.70
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	WARNER, COREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.23	0.00	7.23	92.0	6.65
06/01/2018	SCANLAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.41	0.00	2.41	92.0	2.22
06/01/2018	CARVER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2018	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.51	0.00	6.51	92.0	5.99
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.36	0.00	8.36	92.0	7.69
06/01/2018	KORAKAS, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2018	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2018	PELLIONI, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2018	DUNNE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.46	0.00	11.46	92.0	10.54
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2018	GOYER, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2018	WHITTAKER, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.08	0.00	5.08	92.0	4.67
06/01/2018	ROSS, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	BRILLHART, HEATHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2018	KANOUS, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2018	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	20.03	0.00	20.03	92.0	18.43
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	COLEMAN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.81	0.00	1.81	92.0	1.67
06/01/2018	HUNTER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2018	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2018	DREIER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	92.0	0.45

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.13	0.00	9.13	92.0	8.40
06/01/2018	MILLER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.06	0.00	3.06	92.0	2.82
06/01/2018	SWINDLE, DARRYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2018	KOZIARSKI, LAURA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2018	DECKER, MARY BETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2018	PEARSON, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.29	0.00	15.29	92.0	14.07
06/01/2018	MOLNAR, CONNIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.04	0.00	5.04	92.0	4.64
06/01/2018	ONEY, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	46.83	0.00	46.83	92.0	43.08
06/01/2018	IRELAN, TED	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.81	0.00	1.81	92.0	1.67
06/01/2018	ZUCCARELL, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.85	0.00	2.85	92.0	2.62
06/01/2018	WOODRUFF, AUSTIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.32	0.00	2.32	92.0	2.13
06/01/2018	GOYER, TIMOTHY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2018	SMOOT, C STEVEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.05	0.00	32.05	92.0	29.49
06/01/2018	MARKJA, BERNADINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.14	0.00	4.14	92.0	3.81
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	92.0	1.54
06/01/2018	KREMPA, CLAUDE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2018	SHAFFER, LOREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.06	0.00	2.06	92.0	1.90
06/01/2018	HUNTER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	MURPHY, JACK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.71	0.00	2.71	92.0	2.49
06/01/2018	KOTLARCZYK, JANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	HUDAK, NICHOLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2018	HUDAK, STASIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2018	MURPHY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.15	0.00	6.15	92.0	5.66
06/01/2018	BIHN, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	SHAFFER, DENISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.30	0.00	5.30	92.0	4.88
06/01/2018	WASSERMAN, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2018	IRWIN, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.07	0.00	5.07	92.0	4.66
06/01/2018	TARRIS, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.61	0.00	3.61	92.0	3.32
06/01/2018	GLORE, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.66	0.00	5.66	92.0	5.21
06/01/2018	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.63	0.00	2.63	92.0	2.42

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	ROSS, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.50	0.00	2.50	92.0	2.30
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.23	0.00	2.23	92.0	2.05
06/01/2018	CURSON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2018	REED, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2018	REED, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2018	GARDNER, SHANNON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	GARDNER, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	ROSS, KRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.38	0.00	11.38	92.0	10.47
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.92	0.00	1.92	92.0	1.77
06/01/2018	WARNER, COREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.85	0.00	11.85	92.0	10.90
06/01/2018	SCANLAN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.98	0.00	6.98	92.0	6.42
06/01/2018	MURD, FRANCIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	KONZ, ORVEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2018	HAUETER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2018	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.80	0.00	10.80	92.0	9.94
06/01/2018	HORN, TARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.99	0.00	3.99	92.0	3.67
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.83	0.00	15.83	92.0	14.56
06/01/2018	HILES, MARC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.80	0.00	3.80	92.0	3.50
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.28	0.00	3.28	92.0	3.02
06/01/2018	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.86	0.00	2.86	92.0	2.63
06/01/2018	PELLIONI, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	GOYER, GRACE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.77	0.00	2.77	92.0	2.55
06/01/2018	STOUT, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.08	0.00	3.08	92.0	2.83
06/01/2018	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2018	WHALEN, KELLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.53	0.00	5.53	92.0	5.09
06/01/2018	SCHERMBECK, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2018	BRILLHART, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.04	0.00	1.04	92.0	0.96
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS GROWTH AND INCOME 529A	0.00	4.58	0.00	4.58	92.0	4.21
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS GROWTH AND INCOME 529A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	KRALL, GARY	AM FUNDS GROWTH AND INCOME A	0.00	28.02	0.00	28.02	92.0	25.78

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BRILLHART, RYAN	AM FUNDS GROWTH AND INCOME A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2018	DECKER, MARY BETH	AM FUNDS GROWTH AND INCOME A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	ROSS, DANIEL	AM FUNDS GROWTH AND INCOME A	0.00	4.45	0.00	4.45	92.0	4.09
06/01/2018	ROSS, PATRICK	AM FUNDS GROWTH AND INCOME A	0.00	18.40	0.00	18.40	92.0	16.93
06/01/2018	ROSS, JAMES	AM FUNDS GROWTH AND INCOME A	0.00	5.30	0.00	5.30	92.0	4.88
06/01/2018	ZENK, DERECK	AM FUNDS GROWTH AND INCOME A	0.00	2.39	0.00	2.39	92.0	2.20
06/01/2018	FEDCZUK-ANDREW, LORREEN	AM FUNDS GROWTH AND INCOME A	0.00	1.44	0.00	1.44	92.0	1.32
06/01/2018	FAIRCHILD, CONNIE	AM FUNDS GROWTH AND INCOME A	0.00	5.75	0.00	5.75	92.0	5.29
06/01/2018	ROSS, NICOLE	AM FUNDS GROWTH AND INCOME A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2018	DONNELLY, EMILY	AM FUNDS GROWTH AND INCOME A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS GROWTH AND INCOME A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	YOUNG, KEITH	AM FUNDS GROWTH AND INCOME A	0.00	18.17	0.00	18.17	92.0	16.72
06/01/2018	DONNELLY, EMILY	AM FUNDS GROWTH AND INCOME A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2018	ECKHARDT, MELISSA	AM FUNDS GROWTH AND INCOME A	0.00	9.10	0.00	9.10	92.0	8.37
06/01/2018	HUDSON-ROSS, MICHELLE	AM FUNDS GROWTH AND INCOME A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2018	GARDNER, WILLIAM	AM FUNDS GROWTH AND INCOME A	0.00	24.80	0.00	24.80	92.0	22.82
06/01/2018	DRUCKENMILLER, CHRISTINA	AM FUNDS GROWTH AND INCOME A	0.00	46.78	0.00	46.78	92.0	43.04
06/01/2018	GARDNER, WM	AM FUNDS GROWTH AND INCOME A	0.00	250.93	0.00	250.93	92.0	230.86
06/01/2018	BRILLHART, HEATHER	AM FUNDS GROWTH AND INCOME A	0.00	2.32	0.00	2.32	92.0	2.13
06/01/2018	KANOUS, MARK	AM FUNDS GROWTH AND INCOME A	0.00	8.84	0.00	8.84	92.0	8.13
06/01/2018	COLEMAN, LINDA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	DREIER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	92.0	1.65
06/01/2018	HEINAMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.24	0.00	5.24	92.0	4.82
06/01/2018	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2018	RONEY, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.27	0.00	18.27	92.0	16.81
06/01/2018	ZUCCARELL, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	92.0	1.84
06/01/2018	SANDERSON, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	SHAFFER, LOREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2018	MURPHY, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.13	0.00	2.13	92.0	1.96
06/01/2018	MURPHY, CAROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	92.0	2.27
06/01/2018	WALLS, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	92.0	0.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	MCLAUGHLIN, JAIME	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	MOLNAR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2018	KORAL, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2018	ROSS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2018	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.18	0.00	10.18	92.0	9.37
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	92.0	1.67
06/01/2018	WARNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.14	0.00	4.14	92.0	3.81
06/01/2018	FLEMING, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.76	0.00	4.76	92.0	4.38
06/01/2018	HORN, TARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.15	0.00	4.15	92.0	3.82
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.46	0.00	11.46	92.0	10.54
06/01/2018	HILES, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2018	RAY, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2018	SHOEMAKER, MARY BETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2018	KRALL, GARY	AM FUNDS GROWTH PORT A	0.00	14.15	0.00	14.15	92.0	13.02
06/01/2018	FEDCZUK-ANDREW, LORREEN	AM FUNDS GROWTH PORT A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	FAIRCHILD, CONNIE	AM FUNDS GROWTH PORT A	0.00	2.87	0.00	2.87	92.0	2.64
06/01/2018	GARDNER, WILLIAM	AM FUNDS GROWTH PORT A	0.00	18.78	0.00	18.78	92.0	17.28
06/01/2018	KANOUS, MARK	AM FUNDS GROWTH PORT A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2018	KISER, EDWARD	AM FUNDS ICA 529A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2018	KISER, EDWARD	AM FUNDS ICA 529C	0.00	7.73	0.00	7.73	92.0	7.11
06/01/2018	HEINAMAN, ROBERT	AM FUNDS ICA A	0.00	11.10	0.00	11.10	92.0	10.21
06/01/2018	BRILLHART, RYAN	AM FUNDS ICA A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2018	BRILLHART, RYAN	AM FUNDS ICA A	0.00	2.06	0.00	2.06	92.0	1.90
06/01/2018	HAUSER, ROBERT	AM FUNDS ICA A	0.00	17.98	0.00	17.98	92.0	16.54
06/01/2018	FAIRCHILD, DANA	AM FUNDS ICA A	0.00	4.00	0.00	4.00	92.0	3.68
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS ICA A	0.00	12.27	0.00	12.27	92.0	11.29
06/01/2018	ENGLAND, HELEN	AM FUNDS ICA A	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2018	BENSCH, CANDACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.23	0.00	7.23	92.0	6.65
06/01/2018	BLAKE, MIRIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.58	0.00	5.58	92.0	5.13
06/01/2018	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.26	0.00	20.26	92.0	18.64
06/01/2018	HENDERSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	92.0	1.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	RONEY, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.42	0.00	3.42	92.0	3.15
06/01/2018	KOZIARSKI, ROSEMARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.03	0.00	0.03	92.0	0.03
06/01/2018	WOODRUFF, AUSTIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2018	MOORE, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.42	0.00	3.42	92.0	3.15
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	MARKJA, BERNADINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.27	0.00	3.27	92.0	3.01
06/01/2018	BENSCH, ARLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.66	0.00	4.66	92.0	4.29
06/01/2018	BRILLHART, RYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	92.0	1.88
06/01/2018	MURPHY, JACK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2018	BIHN, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2018	ISAACSON, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.63	0.00	6.63	92.0	6.10
06/01/2018	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.67	0.00	22.67	92.0	20.86
06/01/2018	DECKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2018	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	63.48	0.00	63.48	92.0	58.40
06/01/2018	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	62.24	0.00	62.24	92.0	57.26
06/01/2018	STUBLESKI, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.69	0.00	4.69	92.0	4.31
06/01/2018	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.49	0.00	8.49	92.0	7.81
06/01/2018	KRAUS, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2018	GLORE, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	92.0	4.19
06/01/2018	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.17	0.00	5.17	92.0	4.76
06/01/2018	ROSS, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.88	0.00	3.88	92.0	3.57
06/01/2018	BRILLHART, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.80	0.00	4.80	92.0	4.42
06/01/2018	CURSON, STEVE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2018	SILLIMAN, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.01	0.00	1.01	92.0	0.93
06/01/2018	GARDNER, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.09	0.00	7.09	92.0	6.52
06/01/2018	GERMAN, MARIANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2018	KONZ, ORVEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2018	HILES, MARC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2018	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.27	0.00	2.27	92.0	2.09

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	SMITH, SUZANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.74	0.00	3.74	92.0	3.44
06/01/2018	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.04	0.00	16.04	92.0	14.76
06/01/2018	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.66	0.00	2.66	92.0	2.45
06/01/2018	PELLIONI, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.07	0.00	2.07	92.0	1.90
06/01/2018	NICHOLSON, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.46	0.00	7.46	92.0	6.86
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2018	ZINK, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.53	0.00	4.53	92.0	4.17
06/01/2018	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2018	SHOEMAKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2018	WEBBER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	YOUNG, KEITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.10	0.00	5.10	92.0	4.69
06/01/2018	DEMKO, VERNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2018	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2018	ENGLAND, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.99	0.00	1.99	92.0	1.83
06/01/2018	MOON, CHARLES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.70	0.00	1.70	92.0	1.56
06/01/2018	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.81	0.00	3.81	92.0	3.51
06/01/2018	SEYMOUR, DONALD	AM FUNDS INCOME FUND OF AMERICA C	0.00	48.08	0.00	48.08	92.0	44.23
06/01/2018	FAIRCHILD, KERRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	12.16	0.00	12.16	92.0	11.19
06/01/2018	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2018	IRWIN, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	29.56	0.00	29.56	92.0	27.20
06/01/2018	BLAKE, MIRIAM	AM FUNDS INCOME PORTFOLIO A	0.00	8.31	0.00	8.31	92.0	7.65
06/01/2018	BLAKE, MIRIAM	AM FUNDS INCOME PORTFOLIO A	0.00	3.70	0.00	3.70	92.0	3.40
06/01/2018	VALADE, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	100.51	0.00	100.51	92.0	92.47
06/01/2018	BOCHI, ANDREW	AM FUNDS INCOME PORTFOLIO A	0.00	67.91	0.00	67.91	92.0	62.48
06/01/2018	REEVES, DIANE	AM FUNDS INCOME PORTFOLIO A	0.00	29.82	0.00	29.82	92.0	27.43
06/01/2018	COMBS, ROXANNE	AM FUNDS INCOME PORTFOLIO A	0.00	20.49	0.00	20.49	92.0	18.85
06/01/2018	RUMSCHLAG, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	65.49	0.00	65.49	92.0	60.25
06/01/2018	KRALL, GARY	AM FUNDS INCOME PORTFOLIO A	0.00	5.55	0.00	5.55	92.0	5.11
06/01/2018	DURIS, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	63.84	0.00	63.84	92.0	58.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BLACKWOOD, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	36.34	0.00	36.34	92.0	33.43
06/01/2018	MOLNAR, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	28.48	0.00	28.48	92.0	26.20
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS INCOME PORTFOLIO A	0.00	1.91	0.00	1.91	92.0	1.76
06/01/2018	ZINK, KARIS	AM FUNDS INCOME PORTFOLIO A	0.00	18.14	0.00	18.14	92.0	16.69
06/01/2018	PASCHAL, MICHAEL	AM FUNDS INCOME PORTFOLIO A	0.00	84.77	0.00	84.77	92.0	77.99
06/01/2018	ROSS, PATRICK	AM FUNDS INCOME PORTFOLIO A	0.00	12.19	0.00	12.19	92.0	11.21
06/01/2018	FLEMING, ANDREA	AM FUNDS INCOME PORTFOLIO A	0.00	125.17	0.00	125.17	92.0	115.16
06/01/2018	WASSERMAN, FRANK	AM FUNDS INCOME PORTFOLIO A	0.00	88.42	0.00	88.42	92.0	81.35
06/01/2018	TROUT, TINA	AM FUNDS INCOME PORTFOLIO A	0.00	6.64	0.00	6.64	92.0	6.11
06/01/2018	ROSS, NICOLE	AM FUNDS INCOME PORTFOLIO A	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2018	LETT, TRACY	AM FUNDS INCOME PORTFOLIO A	0.00	10.55	0.00	10.55	92.0	9.71
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS INCOME PORTFOLIO A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	YOUNG, KEITH	AM FUNDS INCOME PORTFOLIO A	0.00	23.92	0.00	23.92	92.0	22.01
06/01/2018	KISER, EDWARD	AM FUNDS INCOME PORTFOLIO A	0.00	71.03	0.00	71.03	92.0	65.35
06/01/2018	MANN, JAMES	AM FUNDS INCOME PORTFOLIO A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2018	GARDNER, WILLIAM	AM FUNDS INCOME PORTFOLIO A	0.00	9.21	0.00	9.21	92.0	8.47
06/01/2018	DRUCKENMILLER, CHRISTINA	AM FUNDS INCOME PORTFOLIO A	0.00	36.28	0.00	36.28	92.0	33.38
06/01/2018	GARDNER, SHARYL	AM FUNDS INCOME PORTFOLIO A	0.00	34.72	0.00	34.72	92.0	31.94
06/01/2018	HENDERSON, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.47	0.00	2.47	92.0	2.27
06/01/2018	KRAUS, JENNIFER	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.14	0.00	7.14	92.0	6.57
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.61	0.00	0.61	92.0	0.56
06/01/2018	FERRARI, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.58	0.00	5.58	92.0	5.13
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.10	0.00	0.10	92.0	0.09
06/01/2018	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.49	0.00	2.49	92.0	2.29
06/01/2018	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.49	0.00	2.49	92.0	2.29
06/01/2018	BLAKE, MIRIAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.22	0.00	1.22	92.0	1.12
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.80	0.00	2.80	92.0	2.58
06/01/2018	MOORE, LINDA	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.82	0.00	1.82	92.0	1.67
06/01/2018	HUNTER, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2018	ISAACSON, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.69	0.00	2.69	92.0	2.47
06/01/2018	TARRIS, CHRISTINE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.83	0.00	0.83	92.0	0.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	SUTHERLAND, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2018	KORAL, ANDREW	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.11	0.00	1.11	92.0	1.02
06/01/2018	LECHUGA, CARRIE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	OBERT, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	OBERT, DEBORA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	FISCHER, DAVID	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2018	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2018	IRWIN, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.03	0.00	2.03	92.0	1.87
06/01/2018	BENSCH, JEFFREY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2018	HILES, MARC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.24	0.00	2.24	92.0	2.06
06/01/2018	SMITH, SUZANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.54	0.00	4.54	92.0	4.18
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2018	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2018	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2018	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2018	GODFREY, TIMOTHY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2018	ZINK, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.46	0.00	4.46	92.0	4.10
06/01/2018	LARSON, PENNY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2018	DRAKE, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	MOON, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2018	COLEMAN, PARISS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2018	RONEY, LINDA	AM FUNDS MORTGAGE A	0.00	43.91	0.00	43.91	92.0	40.40
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2018	COLEMAN, LINDA	AM FUNDS NEW ECONOMY 529A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	HEINAMAN, ROBERT	AM FUNDS NEW ECONOMY A	0.00	0.08	0.00	0.08	92.0	0.07
06/01/2018	DREIER, DAVID	AM FUNDS NEW ECONOMY A	0.00	4.38	0.00	4.38	92.0	4.03
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	DECKER, MARY BETH	AM FUNDS NEW ECONOMY A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2018	ROSS, SALLY	AM FUNDS NEW ECONOMY A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2018	HOLT, JEAN	AM FUNDS NEW ECONOMY A	0.00	7.14	0.00	7.14	92.0	6.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	PEARSON, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	14.10	0.00	14.10	92.0	12.97
06/01/2018	MOLNAR, CONNIE	AM FUNDS NEW ECONOMY A	0.00	4.34	0.00	4.34	92.0	3.99
06/01/2018	RONEY, LINDA	AM FUNDS NEW ECONOMY A	0.00	19.67	0.00	19.67	92.0	18.10
06/01/2018	DAY, CHERYL	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2018	GOYER, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	2.95	0.00	2.95	92.0	2.71
06/01/2018	MARKJA, BERNADINE	AM FUNDS NEW ECONOMY A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2018	URSITTI, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2018	SHAFFER, LOREN	AM FUNDS NEW ECONOMY A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2018	HUNTER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	3.12	0.00	3.12	92.0	2.87
06/01/2018	BRILLHART, RYAN	AM FUNDS NEW ECONOMY A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2018	MURPHY, JACK	AM FUNDS NEW ECONOMY A	0.00	2.03	0.00	2.03	92.0	1.87
06/01/2018	KOTLARCZYK, JANA	AM FUNDS NEW ECONOMY A	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2018	HUDAK, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	GLORE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2018	MURPHY, CAROL	AM FUNDS NEW ECONOMY A	0.00	1.75	0.00	1.75	92.0	1.61
06/01/2018	SHAFFER, DENISE	AM FUNDS NEW ECONOMY A	0.00	4.21	0.00	4.21	92.0	3.87
06/01/2018	IRWIN, JOHN	AM FUNDS NEW ECONOMY A	0.00	7.64	0.00	7.64	92.0	7.03
06/01/2018	WALLS, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2018	KRAUS, JENNIFER	AM FUNDS NEW ECONOMY A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS NEW ECONOMY A	0.00	1.82	0.00	1.82	92.0	1.67
06/01/2018	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	6.00	0.00	6.00	92.0	5.52
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS NEW ECONOMY A	0.00	0.90	0.00	0.90	92.0	0.83
06/01/2018	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2018	GODFREY, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	GOYER, GRACE	AM FUNDS NEW ECONOMY A	0.00	1.83	0.00	1.83	92.0	1.68
06/01/2018	ROSS, NICOLE	AM FUNDS NEW ECONOMY A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2018	COLEMAN, PARISS	AM FUNDS NEW ECONOMY A	0.00	3.16	0.00	3.16	92.0	2.91
06/01/2018	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	0.00	92.35	0.00	92.35	92.0	84.96
06/01/2018	COLEMAN, LINDA	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.55	0.00	0.55	92.0	0.51

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BLAKE, MIRIAM	AM FUNDS NEW PERSPECTIVE A	0.00	2.21	0.00	2.21	92.0	2.03
06/01/2018	BENSCH, CANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	2.16	0.00	2.16	92.0	1.99
06/01/2018	DECKER, MARY BETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	HOLT, JEAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.74	0.00	6.74	92.0	6.20
06/01/2018	PEARSON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2018	EDWARTOSKI, DONNA	AM FUNDS NEW PERSPECTIVE A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2018	RONEY, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	10.61	0.00	10.61	92.0	9.76
06/01/2018	ZUCCARELL, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	WOODRUFF, AUSTIN	AM FUNDS NEW PERSPECTIVE A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2018	SWINDLE, DARRYL	AM FUNDS NEW PERSPECTIVE A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2018	KREMPA, CLAUDE	AM FUNDS NEW PERSPECTIVE A	0.00	5.52	0.00	5.52	92.0	5.08
06/01/2018	SHAFFER, LOREN	AM FUNDS NEW PERSPECTIVE A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	MURPHY, JACK	AM FUNDS NEW PERSPECTIVE A	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2018	JAKSETIC, ZACHARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2018	HAUSER, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	13.90	0.00	13.90	92.0	12.79
06/01/2018	TARRIS, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	3.81	0.00	3.81	92.0	3.51
06/01/2018	ROSS, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2018	FAIRCHILD, DANA	AM FUNDS NEW PERSPECTIVE A	0.00	4.67	0.00	4.67	92.0	4.30
06/01/2018	ROSS, KRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2018	GARDNER, SHANNON	AM FUNDS NEW PERSPECTIVE A	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2018	FISCHER, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2018	HAUETER, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2018	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	7.30	0.00	7.30	92.0	6.72
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	8.11	0.00	8.11	92.0	7.46
06/01/2018	KOZLOWSKI, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	0.00	2.25	0.00	2.25	92.0	2.07
06/01/2018	PELLIONI, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2018	DEMKO, VERNA	AM FUNDS NEW PERSPECTIVE A	0.00	3.72	0.00	3.72	92.0	3.42
06/01/2018	ENGLAND, HELEN	AM FUNDS NEW PERSPECTIVE A	0.00	2.16	0.00	2.16	92.0	1.99
06/01/2018	ROSS, NICOLE	AM FUNDS NEW PERSPECTIVE A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	COLEMAN, LINDA	AM FUNDS NEW WORLD 529A	0.00	0.98	0.00	0.98	92.0	0.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	KORAL, ANDREW	AM FUNDS NEW WORLD 529A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS NEW WORLD 529A	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2018	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	BLAKE, MIRIAM	AM FUNDS NEW WORLD A	0.00	1.55	0.00	1.55	92.0	1.43
06/01/2018	MOORE, GARY	AM FUNDS NEW WORLD A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2018	DREIER, DAVID	AM FUNDS NEW WORLD A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2018	COMBS, BRIAN	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2018	MILLER, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	ROSS, SALLY	AM FUNDS NEW WORLD A	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2018	PEARSON, JOHN	AM FUNDS NEW WORLD A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	SUTHERLAND, BARBARA	AM FUNDS NEW WORLD A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2018	KOZIARSKI, ROSEMARY	AM FUNDS NEW WORLD A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2018	SUTHERLAND, JOHN	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2018	GOYER, TIMOTHY	AM FUNDS NEW WORLD A	0.00	1.67	0.00	1.67	92.0	1.54
06/01/2018	MOORE, LINDA	AM FUNDS NEW WORLD A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2018	GURNEY, ERICA	AM FUNDS NEW WORLD A	0.00	4.42	0.00	4.42	92.0	4.07
06/01/2018	SMOOT, C STEVEN	AM FUNDS NEW WORLD A	0.00	18.05	0.00	18.05	92.0	16.61
06/01/2018	MARKJA, BERNADINE	AM FUNDS NEW WORLD A	0.00	3.56	0.00	3.56	92.0	3.28
06/01/2018	URSITTI, MATTHEW	AM FUNDS NEW WORLD A	0.00	4.64	0.00	4.64	92.0	4.27
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	BENSCH, ARLYN	AM FUNDS NEW WORLD A	0.00	1.92	0.00	1.92	92.0	1.77
06/01/2018	KREMPA, CLAUDE	AM FUNDS NEW WORLD A	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2018	SHAFFER, LOREN	AM FUNDS NEW WORLD A	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2018	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2018	MURPHY, JACK	AM FUNDS NEW WORLD A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.76	0.00	2.76	92.0	2.54
06/01/2018	KOTLARCZYK, JANA	AM FUNDS NEW WORLD A	0.00	2.76	0.00	2.76	92.0	2.54
06/01/2018	MURPHY, CAROL	AM FUNDS NEW WORLD A	0.00	2.94	0.00	2.94	92.0	2.70
06/01/2018	SHAFFER, DENISE	AM FUNDS NEW WORLD A	0.00	3.42	0.00	3.42	92.0	3.15
06/01/2018	COUSINO, SUSAN	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	92.0	0.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/01/2018	WASSERMAN, JULIE	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2018	ISAACSON, ROBERT	AM FUNDS NEW WORLD A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2018	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	7.25	0.00	7.25	92.0	6.67
06/01/2018	TARRIS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2018	MCLAUGHLIN, JAIME	AM FUNDS NEW WORLD A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	KRAUS, JENNIFER	AM FUNDS NEW WORLD A	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	GLORE, CHRISTINE	AM FUNDS NEW WORLD A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2018	KORAL, ANDREW	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2018	CURSON, STEVE	AM FUNDS NEW WORLD A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2018	GARDNER, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2018	LECHUGA, CARRIE	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2018	KISER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2018	KISER, EDWARD	AM FUNDS NEW WORLD A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	9.47	0.00	9.47	92.0	8.71
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	18.77	0.00	18.77	92.0	17.27
06/01/2018	KANOUS, JOSHUA	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2018	WARNER, COREY	AM FUNDS NEW WORLD A	0.00	3.24	0.00	3.24	92.0	2.98
06/01/2018	SCANLAN, DAVID	AM FUNDS NEW WORLD A	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2018	OBERT, RONALD	AM FUNDS NEW WORLD A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2018	OBERT, DEBORA	AM FUNDS NEW WORLD A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	FISCHER, DAVID	AM FUNDS NEW WORLD A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2018	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2018	HAUTER, GREGORY	AM FUNDS NEW WORLD A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2018	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	6.24	0.00	6.24	92.0	5.74
06/01/2018	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS NEW WORLD A	0.00	8.31	0.00	8.31	92.0	7.65
06/01/2018	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2018	KORAKAS, SANDRA	AM FUNDS NEW WORLD A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2018	BENSCH, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2018	HILES, MARC	AM FUNDS NEW WORLD A	0.00	3.36	0.00	3.36	92.0	3.09
06/01/2018	SMITH, SUZANNE	AM FUNDS NEW WORLD A	0.00	3.18	0.00	3.18	92.0	2.93
06/01/2018	DUBENDORFER, SUSAN	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	92.0	0.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	GOYER, CALLIE	AM FUNDS NEW WORLD A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2018	ZINK, ROBERT	AM FUNDS NEW WORLD A	0.00	3.24	0.00	3.24	92.0	2.98
06/01/2018	COUSINO, NICHOLAS	AM FUNDS NEW WORLD A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	GOYER, GRACE	AM FUNDS NEW WORLD A	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2018	DRAKE, ERIC	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2018	ROSS, NICOLE	AM FUNDS NEW WORLD A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	COLEMAN, PARISS	AM FUNDS NEW WORLD A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	ENGLAND, HELEN	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2018	STEDCKE, EILEEN	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2018	SEYMOUR, DONALD	AM FUNDS NEW WORLD C	0.00	17.98	0.00	17.98	92.0	16.54
06/01/2018	STUBLESKI, DANIEL	AM FUNDS PRESERVATION PORT A	0.00	82.13	0.00	82.13	92.0	75.56
06/01/2018	BLAKE, MIRIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2018	HEINAMAN, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.90	0.00	10.90	92.0	10.03
06/01/2018	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2018	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	KREMPA, CLAUDE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.95	0.00	1.95	92.0	1.79
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2018	MURPHY, JACK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2018	MURPHY, CAROL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.48	0.00	3.48	92.0	3.20
06/01/2018	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	ROSS, DANIEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.95	0.00	5.95	92.0	5.47
06/01/2018	ROSS, KRISTINE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.20	0.00	2.20	92.0	2.02
06/01/2018	ZARAGOZA, JULIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	ZARAGOZA, VICTOR	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.61	0.00	0.61	92.0	0.56
06/01/2018	SCANLAN, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2018	GERMAN, MARIANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2018	CARVER, DENISE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2018	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2018	FISCHER, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.12	0.00	2.12	92.0	1.95
06/01/2018	HAUTER, GREGORY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2018	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	12.81	0.00	12.81	92.0	11.79

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	HORN, TARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.03	0.00	2.03	92.0	1.87
06/01/2018	BENSCH, JEFFREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.39	0.00	1.39	92.0	1.28
06/01/2018	COLEMAN, LINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.39	0.00	2.39	92.0	2.20
06/01/2018	SMITH, SUZANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.00	0.00	4.00	92.0	3.68
06/01/2018	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2018	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	PELLIONI, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.37	0.00	4.37	92.0	4.02
06/01/2018	ROSS, NICOLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2018	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	DREIER, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	2.24	0.00	2.24	92.0	2.06
06/01/2018	HOLT, JEAN	AM FUNDS SMALLCAP WORLD A	0.00	6.61	0.00	6.61	92.0	6.08
06/01/2018	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	3.49	0.00	3.49	92.0	3.21
06/01/2018	PEARSON, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	19.09	0.00	19.09	92.0	17.56
06/01/2018	BEE, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2018	MOLNAR, CONNIE	AM FUNDS SMALLCAP WORLD A	0.00	3.44	0.00	3.44	92.0	3.16
06/01/2018	RONEY, LINDA	AM FUNDS SMALLCAP WORLD A	0.00	7.06	0.00	7.06	92.0	6.50
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS SMALLCAP WORLD A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2018	GOYER, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2018	SWINDLE, DARRYL	AM FUNDS SMALLCAP WORLD A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2018	MARKJA, BERNADINE	AM FUNDS SMALLCAP WORLD A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2018	BRAITHWAITE, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2018	SHAFFER, LOREN	AM FUNDS SMALLCAP WORLD A	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2018	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2018	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2018	MURPHY, JACK	AM FUNDS SMALLCAP WORLD A	0.00	1.04	0.00	1.04	92.0	0.96
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2018	GLORE, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2018	MURPHY, CAROL	AM FUNDS SMALLCAP WORLD A	0.00	1.26	0.00	1.26	92.0	1.16
06/01/2018	SHAFFER, DENISE	AM FUNDS SMALLCAP WORLD A	0.00	3.12	0.00	3.12	92.0	2.87
06/01/2018	IRWIN, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	7.19	0.00	7.19	92.0	6.61
06/01/2018	WALLS, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	0.64	0.00	0.64	92.0	0.59

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	GLORE, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	6.06	0.00	6.06	92.0	5.58
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	17.47	0.00	17.47	92.0	16.07
06/01/2018	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	7.50	0.00	7.50	92.0	6.90
06/01/2018	HORN, TARA	AM FUNDS SMALLCAP WORLD A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2018	HILES, MARC	AM FUNDS SMALLCAP WORLD A	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2018	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	0.00	3.00	0.00	3.00	92.0	2.76
06/01/2018	SMITH, PADRAIC	AM FUNDS SMALLCAP WORLD A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2018	GOYER, GRACE	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2018	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2018	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	0.00	41.04	0.00	41.04	92.0	37.76
06/01/2018	COLEMAN, LINDA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2018	BRUMMETT, DOUGLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
06/01/2018	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.01	0.00	5.01	92.0	4.61
06/01/2018	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	30.37	0.00	30.37	92.0	27.94
06/01/2018	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.31	0.00	1.31	92.0	1.21
06/01/2018	MILLER, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.55	0.00	1.55	92.0	1.43
06/01/2018	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2018	ROSS, SALLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2018	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.90	0.00	0.90	92.0	0.83
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2018	MOORE, LINDA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	4.00	0.00	4.00	92.0	3.68
06/01/2018	ROSS, MICHAEL C HUDSO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2018	MARKJA, BERNADINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2018	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2018	ISAACSON, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	15.02	0.00	15.02	92.0	13.82
06/01/2018	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	31.94	0.00	31.94	92.0	29.38
06/01/2018	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2018	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	9.89	0.00	9.89	92.0	9.10
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.40	0.00	2.40	92.0	2.21
06/01/2018	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2018	ROSS, DANIEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	7.64	0.00	7.64	92.0	7.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	BRILLHART, SHARON	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2018	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2018	RUPP, MARJORIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.82	0.00	1.82	92.0	1.67
06/01/2018	ROSS, KRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2018	LECHUGA, CARRIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2018	KISER, ELIZABETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2018	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2018	ZARAGOZA, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2018	SCHNEE, LEO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	GERMAN, MARIANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2018	BRILLHART, GREGORY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	FLEMING, ANDREA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.27	0.00	3.27	92.0	3.01
06/01/2018	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	10.74	0.00	10.74	92.0	9.88
06/01/2018	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.71	0.00	3.71	92.0	3.41
06/01/2018	IRWIN, JOYCE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2018	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2018	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.82	0.00	3.82	92.0	3.51
06/01/2018	GROSVENOR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.77	0.00	1.77	92.0	1.63
06/01/2018	FAIRCHILD, KERRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.16	0.00	6.16	92.0	5.67
06/01/2018	WEBBER, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2018	BIHN, JANELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2018	YOUNG, KEITH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.86	0.00	3.86	92.0	3.55
06/01/2018	WHALEN, KELLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	4.50	0.00	4.50	92.0	4.14
06/01/2018	DEMKO, VERNA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	7.60	0.00	7.60	92.0	6.99
06/01/2018	DONNELLY, EMILY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	MOON, CHARLES	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	ROSS, NICOLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.09	0.00	1.09	92.0	1.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	74.89	0.00	74.89	92.0	68.90
06/01/2018	BENSCH, CANDACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2018	HEINAMAN, ROBERT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.51	0.00	12.51	92.0	11.51
06/01/2018	SANDERSON, CATHY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2018	MILLER, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2018	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2018	HENDERSON, BARBARA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2018	RONEY, LINDA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	35.21	0.00	35.21	92.0	32.39
06/01/2018	KREMPA, CLAUDE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2018	SANDVIG TRUST, ANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2018	BRILLHART, RYAN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.22	0.00	1.22	92.0	1.12
06/01/2018	IRWIN, JOHN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.29	0.00	11.29	92.0	10.39
06/01/2018	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2018	SILLIMAN, JEFFREY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2018	ROSS, DANIEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.29	0.00	3.29	92.0	3.03
06/01/2018	SILLIMAN, GRACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2018	ROSS, KRISTINE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.03	0.00	3.03	92.0	2.79
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2018	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	22.30	0.00	22.30	92.0	20.52
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2018	SMITH, SUZANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2018	SMITH, PADRAIC	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.33	0.00	2.33	92.0	2.14
06/01/2018	NICHOLSON, JAMES	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.93	0.00	6.93	92.0	6.38
06/01/2018	WOODRUFF, STEPHANIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2018	DONNELLY, EMILY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2018	DEMKO, VERNA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.41	0.00	7.41	92.0	6.82
06/01/2018	HUDSON ROSS, MICHELLE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.20	0.00	6.20	92.0	5.70
06/01/2018	BLAKE, MIRIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2018	BENSCH, CANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	92.0	1.87
06/01/2018	DREIER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2018	COMBS, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.71	0.00	2.71	92.0	2.49
06/01/2018	SWINDLE, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2018	ROSS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.91	0.00	2.91	92.0	2.68

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.73	0.00	9.73	92.0	8.95
06/01/2018	RONEY, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.55	0.00	31.55	92.0	29.03
06/01/2018	ZUCCARELL, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.47	0.00	2.47	92.0	2.27
06/01/2018	WOODRUFF, AUSTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2018	DAY, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2018	SMOOT, C STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.02	0.00	20.02	92.0	18.42
06/01/2018	HANUDEL, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.55	0.00	8.55	92.0	7.87
06/01/2018	URSITTI, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.49	0.00	4.49	92.0	4.13
06/01/2018	HUNTER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2018	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.17	0.00	2.17	92.0	2.00
06/01/2018	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2018	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2018	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	92.0	2.52
06/01/2018	KOTLARCZYK, JANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2018	HARRISON, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.38	0.00	4.38	92.0	4.03
06/01/2018	MURPHY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.75	0.00	5.75	92.0	5.29
06/01/2018	SHAFFER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	92.0	3.18
06/01/2018	MORNINGSTAR, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2018	WASSERMAN, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2018	JAKSETIC, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2018	HAUSER, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.27	0.00	13.27	92.0	12.21
06/01/2018	HAUSER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.73	0.00	3.73	92.0	3.43
06/01/2018	WALLS, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2018	KRAUS, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.39	0.00	2.39	92.0	2.20
06/01/2018	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.21	0.00	3.21	92.0	2.95
06/01/2018	KORAL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2018	ROSS, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2018	CASTOR, TIMOTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	92.0	0.67
06/01/2018	HELMINIAK, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2018	CURSON, STEVE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.82	0.00	1.82	92.0	1.67
06/01/2018	ROSS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.09	0.00	6.09	92.0	5.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.74	0.00	3.74	92.0	3.44
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2018	FLEMING, ANDREA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.13	0.00	7.13	92.0	6.56
06/01/2018	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.41	0.00	13.41	92.0	12.34
06/01/2018	KORAKAS, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2018	BENSCH, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	92.0	3.64
06/01/2018	HILES, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.99	0.00	2.99	92.0	2.75
06/01/2018	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	92.0	2.80
06/01/2018	WASSERMAN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2018	GOYER, GRACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.93	0.00	1.93	92.0	1.78
06/01/2018	WHITTAKER, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.74	0.00	3.74	92.0	3.44
06/01/2018	STOUT, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.00	0.00	3.00	92.0	2.76
06/01/2018	FAIRCHILD, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.43	0.00	2.43	92.0	2.24
06/01/2018	WHALEN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.48	0.00	3.48	92.0	3.20
06/01/2018	DEMKO, VERNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.13	0.00	5.13	92.0	4.72
06/01/2018	COLEMAN, PARISS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.21	0.00	6.21	92.0	5.71
06/01/2018	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	172.11	0.00	172.11	92.0	158.34
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2018	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.16	0.00	7.16	92.0	6.59
06/01/2018	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2018	KRALL, GARY	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	8.47	0.00	8.47	92.0	7.79
06/01/2018	TARRIS, CHRISTINE	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2018	FEDCZUK-ANDREW, LORREEN	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2018	COUSINO, NICHOLAS	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2018	BAKER-KANOUS, BARBARA	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2018	FAIRCHILD, CONNIE	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2018	GARDNER, WILLIAM	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	9.37	0.00	9.37	92.0	8.62
06/01/2018	DRUCKENMILLER, CHRISTINA	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	5.85	0.00	5.85	92.0	5.38
06/01/2018	BRILLHART, HEATHER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2018	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	0.00	25.95	0.00	25.95	92.0	23.87
06/01/2018	SEYMOUR, DONALD	AMERICAN FUNDS 2020 TARGET DATE-C	0.00	41.66	0.00	41.66	92.0	38.33
06/01/2018	PELLIONI, PAUL	AMERICAN FUNDS RETIREMENT INCOME PO	0.00	4.71	0.00	4.71	92.0	4.33
06/01/2018	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	68.81	0.00	68.81	92.0	63.31

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	2.67	0.00	2.67	92.0	2.46
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.08	0.00	1.08	92.0	0.99
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.26	0.00	1.26	92.0	1.16
05/17/2018	MOORE, LINDA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.79	0.00	4.79	92.0	4.41
06/01/2018	WOODRUFF, STEPHANIE	INFLATION LINKED BOND FUND A	0.00	0.71	0.00	0.71	92.0	0.65
05/16/2018	ROSS, JEROME	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	4.62	0.00	4.62	92.0	4.25
05/17/2018	OBERT, RONALD	TEMPLETON GROWTH A	0.00	0.15	0.00	0.15	92.0	0.14
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,626.39	\$0.00	\$6,626.39		\$6,096.29
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
05/22/2018	YOSHINO, KAREN	ING PREMIUM PLUS	26,431.56	49.56	0.00	49.56	92.0	45.60
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$26,431.56	\$49.56	\$0.00	\$49.56		\$45.60
*** DIRECT TRANSACTIONS TOTAL ***			\$1,730,282.42	\$9,255.34	\$0.00	\$9,255.34		\$8,514.94

OVERRIDE TRANSACTIONS**BROKER: THOMAS, H121 HALSEY #10**

/ /	LEROUX, LAURA	BLACKROCK 67776G469	0.00	35.00	0.00	35.00	85.0	2.45
* THOMAS, H121 HALSEY SUBTOTAL *			\$0.00	\$35.00	\$0.00	\$35.00		\$2.45

BROKER: THOMAS, H121 HALSEY #82

06/01/2018	ABBE JR, GARY	AM FUNDS AMCAP A	0.00	1.41	0.00	1.41	85.0	0.10
06/01/2018	PAPPIO, AARON	AM FUNDS AMCAP A	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	6.07	0.00	6.07	85.0	0.42
06/01/2018	NOWAK, COLETTE	AM FUNDS AMERICAN BALANCED A	0.00	0.90	0.00	0.90	85.0	0.06
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS AMERICAN BALANCED A	0.00	3.90	0.00	3.90	85.0	0.27
06/01/2018	FOSTER, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	85.0	0.04
06/01/2018	WRAY, KIM	AM FUNDS AMERICAN BALANCED A	0.00	11.40	0.00	11.40	85.0	0.80
06/01/2018	PAPPIO, JOE	AM FUNDS AMERICAN BALANCED A	0.00	0.67	0.00	0.67	85.0	0.05
06/01/2018	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	0.00	4.71	0.00	4.71	85.0	0.33
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	2.02	0.00	2.02	85.0	0.14
06/01/2018	FRANTZ, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2018	MEREDITH, TERESE	AM FUNDS AMERICAN BALANCED A	0.00	2.47	0.00	2.47	85.0	0.17
06/01/2018	RIEBE, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.73	0.00	4.73	85.0	0.33

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	KRAMER, DELANEY	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2018	KRAMER, KARYS	AM FUNDS AMERICAN BALANCED A	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS AMERICAN BALANCED A	0.00	0.72	0.00	0.72	85.0	0.05
06/01/2018	LEININGER, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	2.75	0.00	2.75	85.0	0.19
06/01/2018	PERRY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	20.33	0.00	20.33	85.0	1.42
06/01/2018	GERE, AMY	AM FUNDS AMERICAN BALANCED A	0.00	3.36	0.00	3.36	85.0	0.24
06/01/2018	BASSETT, ANTHONY	AM FUNDS AMERICAN BALANCED A	0.00	3.67	0.00	3.67	85.0	0.26
06/01/2018	DERR, LUCINDA	AM FUNDS AMERICAN BALANCED A	0.00	4.36	0.00	4.36	85.0	0.31
06/01/2018	ABBE, AMY	AM FUNDS AMERICAN BALANCED A	0.00	1.20	0.00	1.20	85.0	0.08
06/01/2018	ZORNOW, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	85.0	0.07
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	9.65	0.00	9.65	85.0	0.68
06/01/2018	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	WRAY, KIM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.32	0.00	1.32	85.0	0.09
06/01/2018	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2018	RICHARDS, STEPHEN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.91	0.00	1.91	85.0	0.13
06/01/2018	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.21	0.00	0.21	85.0	0.01
06/01/2018	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.23	0.00	2.23	85.0	0.16
06/01/2018	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	12.34	0.00	12.34	85.0	0.86
06/01/2018	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.36	0.00	0.36	85.0	0.03
06/01/2018	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	19.97	0.00	19.97	85.0	1.40
06/01/2018	DESELMS, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.70	0.00	1.70	85.0	0.12
06/01/2018	DESELMS, ELEVLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.02	0.00	7.02	85.0	0.49
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.92	0.00	3.92	85.0	0.27
06/01/2018	PRZYBYLSKI, JEREMIAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.44	0.00	0.44	85.0	0.03
06/01/2018	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2018	BAKER, ELAINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.39	0.00	5.39	85.0	0.38
06/01/2018	NOWAK, COLETTE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.72	0.00	0.72	85.0	0.05
06/01/2018	BAUMGARTNER, DIANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.54	0.00	4.54	85.0	0.32
06/01/2018	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.23	0.00	1.23	85.0	0.09

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
06/01/2018	HAWBLITZ, PETER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.47	0.00	3.47	85.0	0.24
06/01/2018	WRAY, KIM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.68	0.00	5.68	85.0	0.40
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.56	0.00	1.56	85.0	0.11
06/01/2018	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.38	0.00	0.38	85.0	0.03
06/01/2018	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	ABBE JR, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.82	0.00	1.82	85.0	0.13
06/01/2018	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.45	0.00	1.45	85.0	0.10
06/01/2018	DREEZE, MARCELINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	MI/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.11	0.00	1.11	85.0	0.08
06/01/2018	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	17.10	0.00	17.10	85.0	1.20
06/01/2018	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	DERR, LUCINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.89	0.00	1.89	85.0	0.13
06/01/2018	ZORNOW, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2018	MEREDITH, JEFFERY	AM FUNDS AMERICAN MUTUAL A	0.00	2.53	0.00	2.53	85.0	0.18
06/01/2018	BASSETT, ANTHONY	AM FUNDS AMERICAN MUTUAL A	0.00	4.76	0.00	4.76	85.0	0.33
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.29	0.00	3.29	85.0	0.23
06/01/2018	FOSTER, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.83	0.00	0.83	85.0	0.06
06/01/2018	RIEBE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.33	0.00	3.33	85.0	0.23
06/01/2018	HALSEY, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.16	0.00	0.16	85.0	0.01
06/01/2018	ZORNOW, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.14	0.00	0.14	85.0	0.01
06/01/2018	DIENER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.36	0.00	9.36	85.0	0.66
06/01/2018	DESELMS, ELEVLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.93	0.00	8.93	85.0	0.63
06/01/2018	KREMPEC, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	85.0	0.06
06/01/2018	LEININGER, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	85.0	0.10

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: THOMAS, H121 HALSEY #82</u>								
06/01/2018	FRANTZ, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	85.0	0.07
06/01/2018	BAKER, ELAINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.89	0.00	5.89	85.0	0.41
06/01/2018	NOWAK, COLETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	BAUMGARTNER, DIANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.82	0.00	3.82	85.0	0.27
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.52	0.00	2.52	85.0	0.18
06/01/2018	FOSTER, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	85.0	0.10
06/01/2018	WRAY, KIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.39	0.00	13.39	85.0	0.94
06/01/2018	EYLER, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.38	0.00	6.38	85.0	0.45
06/01/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.99	0.00	0.99	85.0	0.07
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.43	0.00	1.43	85.0	0.10
06/01/2018	MEREDITH, TERESE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	85.0	0.13
06/01/2018	DESELMS, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2018	KRIEGER, RENEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.35	0.00	9.35	85.0	0.65
06/01/2018	RIEBE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.68	0.00	3.68	85.0	0.26
06/01/2018	FISHER, SCOTT TW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.44	0.00	3.44	85.0	0.24
06/01/2018	FRENCH, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2018	FRENCH, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2018	DREEZE, MARCELINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	85.0	0.10
06/01/2018	STACY, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	85.0	0.05
06/01/2018	LATTA, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	85.0	0.13
06/01/2018	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	85.0	0.49
06/01/2018	MI/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.02	0.00	3.02	85.0	0.21
06/01/2018	PERRY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.91	0.00	11.91	85.0	0.83
06/01/2018	VESEY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2018	DERR, LUCINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.82	0.00	3.82	85.0	0.27
06/01/2018	ABBE, AMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	85.0	0.10
06/01/2018	ZORNOW, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	85.0	0.05
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	85.0	0.02
06/01/2018	DIENER, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	9.67	0.00	9.67	85.0	0.68
06/01/2018	HAWBLITZ TRUST, AGNES	AM FUNDS CAPITAL WORLD BOND A	0.00	5.84	0.00	5.84	85.0	0.41

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	HAWBLITZ TRUST, PETER	AM FUNDS CAPITAL WORLD BOND A	0.00	5.85	0.00	5.85	85.0	0.41
06/01/2018	HALSEY, WILLIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	85.0	0.01
06/01/2018	MI/TOD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.24	0.00	1.24	85.0	0.09
06/01/2018	DIENER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.80	0.00	2.80	85.0	0.20
06/01/2018	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	DESELMS, ELEVLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.72	0.00	11.72	85.0	0.82
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.70	0.00	8.70	85.0	0.61
06/01/2018	KREMPEC, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	85.0	0.06
06/01/2018	LEININGER, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.28	0.00	2.28	85.0	0.16
06/01/2018	FRANTZ, JUDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	BAKER, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.94	0.00	11.94	85.0	0.84
06/01/2018	JOHNSON, ZACHARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	85.0	0.07
06/01/2018	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.03	0.00	3.03	85.0	0.21
06/01/2018	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.12	0.00	3.12	85.0	0.22
06/01/2018	JOHNSON, CHLOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	85.0	0.08
06/01/2018	RIEBE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	85.0	0.07
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.57	0.00	1.57	85.0	0.11
06/01/2018	WRAY, KIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.98	0.00	6.98	85.0	0.49
06/01/2018	EYLER, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.41	0.00	6.41	85.0	0.45
06/01/2018	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	85.0	0.02
06/01/2018	PAPIO, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2018	PAPIO, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	85.0	0.03
06/01/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.25	0.00	1.25	85.0	0.09
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.52	0.00	1.52	85.0	0.11
06/01/2018	MEREDITH, JEFFERY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.22	0.00	3.22	85.0	0.23
06/01/2018	KRAMER, TRISTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	85.0	0.04
06/01/2018	ZORNOW, JORDAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.21	0.00	1.21	85.0	0.08
06/01/2018	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.31	0.00	0.31	85.0	0.02
06/01/2018	KRIEGER, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.82	0.00	9.82	85.0	0.69
06/01/2018	ABBE JR, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	HARRISON, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.62	0.00	1.62	85.0	0.11
06/01/2018	DREEZE, MARCELINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	85.0	0.09
06/01/2018	STACY, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	85.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	GRAHAM, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2018	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.31	0.00	9.31	85.0	0.65
06/01/2018	MI/TOD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.51	0.00	6.51	85.0	0.46
06/01/2018	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.79	0.00	2.79	85.0	0.20
06/01/2018	PERRY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.91	0.00	24.91	85.0	1.74
06/01/2018	BASSETT, ANTHONY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.72	0.00	2.72	85.0	0.19
06/01/2018	VESEY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2018	DERR, LUCINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.54	0.00	2.54	85.0	0.18
06/01/2018	ABBE, AMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	85.0	0.06
06/01/2018	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	85.0	0.05
06/01/2018	ZORNOW, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	85.0	0.05
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	85.0	0.02
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	85.0	0.02
06/01/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	85.0	0.06
06/01/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	85.0	0.06
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2018	FRANTZ, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.34	0.00	0.34	85.0	0.02
06/01/2018	WRAY, KIM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.93	0.00	5.93	85.0	0.42
06/01/2018	ZORNOW, JORDAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.60	0.00	1.60	85.0	0.11
06/01/2018	FISHER, SCOTT TW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.80	0.00	3.80	85.0	0.27
06/01/2018	LEININGER, KENNETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.14	0.00	1.14	85.0	0.08
06/01/2018	DIENER, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.28	0.00	8.28	85.0	0.58
06/01/2018	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.37	0.00	1.37	85.0	0.10
06/01/2018	DESELMS, ELEVLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.91	0.00	12.91	85.0	0.90
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.88	0.00	15.88	85.0	1.11
06/01/2018	KREMPEC, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.25	0.00	1.25	85.0	0.09
06/01/2018	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.95	0.00	2.95	85.0	0.21
06/01/2018	FOSTER, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.86	0.00	0.86	85.0	0.06
06/01/2018	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.91	0.00	0.91	85.0	0.06
06/01/2018	BAKER, ELAINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.36	0.00	8.36	85.0	0.59
06/01/2018	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.64	0.00	2.64	85.0	0.18
06/01/2018	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.40	0.00	2.40	85.0	0.17
06/01/2018	WRAY, KIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.57	0.00	6.57	85.0	0.46

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	EYLER, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.07	0.00	15.07	85.0	1.05
06/01/2018	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.48	0.00	2.48	85.0	0.17
06/01/2018	DENHAM, CONSTANCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.00	0.00	3.00	85.0	0.21
06/01/2018	JOHNSON, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	85.0	0.12
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.61	0.00	2.61	85.0	0.18
06/01/2018	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	85.0	0.03
06/01/2018	MEREDITH, TERESE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.41	0.00	3.41	85.0	0.24
06/01/2018	MEREDITH, JEFFERY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.73	0.00	2.73	85.0	0.19
06/01/2018	KRAMER, TRISTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.94	0.00	0.94	85.0	0.07
06/01/2018	ZORNOW, JORDAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.03	0.00	3.03	85.0	0.21
06/01/2018	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	85.0	0.03
06/01/2018	FISHER, SCOTT TW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.68	0.00	5.68	85.0	0.40
06/01/2018	HALSEY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.22	0.00	0.22	85.0	0.02
06/01/2018	LEININGER, ELI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	FRENCH, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.57	0.00	0.57	85.0	0.04
06/01/2018	FRENCH, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.57	0.00	0.57	85.0	0.04
06/01/2018	KRAMER, DELANEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2018	ABBE JR, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.47	0.00	2.47	85.0	0.17
06/01/2018	KRAMER, KARYS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.35	0.00	0.35	85.0	0.02
06/01/2018	HARRISON, JERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.73	0.00	2.73	85.0	0.19
06/01/2018	DREEZE, MARCELINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.89	0.00	1.89	85.0	0.13
06/01/2018	CANNON, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.06	0.00	1.06	85.0	0.07
06/01/2018	LATTA, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.23	0.00	2.23	85.0	0.16
06/01/2018	AUGUSTYNIK, ROGER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.88	0.00	12.88	85.0	0.90
06/01/2018	MI/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.39	0.00	7.39	85.0	0.52
06/01/2018	PAPIO, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.43	0.00	0.43	85.0	0.03
06/01/2018	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.91	0.00	2.91	85.0	0.20
06/01/2018	PERRY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	20.99	0.00	20.99	85.0	1.47
06/01/2018	GERE, AMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.65	0.00	3.65	85.0	0.26
06/01/2018	BASSETT, ANTHONY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.32	0.00	2.32	85.0	0.16
06/01/2018	DERR, LUCINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.90	0.00	5.90	85.0	0.41
06/01/2018	ABBE, AMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.50	0.00	1.50	85.0	0.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.65	0.00	0.65	85.0	0.05
06/01/2018	ZORNOW, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.19	0.00	1.19	85.0	0.08
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2018	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	0.00	2.52	0.00	2.52	85.0	0.18
06/01/2018	GERE, AMY	AM FUNDS GLOBAL BALANCED A	0.00	2.10	0.00	2.10	85.0	0.15
06/01/2018	DIENER, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.94	0.00	2.94	85.0	0.21
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	85.0	0.13
06/01/2018	BAKER, ELAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.54	0.00	7.54	85.0	0.53
06/01/2018	NOWAK, COLETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	85.0	0.04
06/01/2018	BAUMGARTNER, DIANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	85.0	0.16
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.20	0.00	3.20	85.0	0.22
06/01/2018	FOSTER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	85.0	0.09
06/01/2018	WRAY, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.87	0.00	4.87	85.0	0.34
06/01/2018	DESELMS, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	85.0	0.04
06/01/2018	KRAMER, DELANEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2018	KRAMER, KARYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	85.0	0.01
06/01/2018	AUGUSTYNIAK, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.42	0.00	4.42	85.0	0.31
06/01/2018	LEININGER, KENNETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	85.0	0.09
06/01/2018	GERE, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.63	0.00	3.63	85.0	0.25
06/01/2018	DERR, LUCINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.66	0.00	2.66	85.0	0.19
06/01/2018	DIENER, RONALD	AM FUNDS ICA A	0.00	7.37	0.00	7.37	85.0	0.52
06/01/2018	MEREDITH, TERESE	AM FUNDS ICA A	0.00	2.51	0.00	2.51	85.0	0.18
06/01/2018	ZORNOW, JORDAN	AM FUNDS ICA A	0.00	2.71	0.00	2.71	85.0	0.19
06/01/2018	HAWBLITZ TRUST, AGNES	AM FUNDS ICA A	0.00	8.66	0.00	8.66	85.0	0.61
06/01/2018	HAWBLITZ TRUST, PETER	AM FUNDS ICA A	0.00	8.70	0.00	8.70	85.0	0.61
06/01/2018	KRIEGER, RENEE	AM FUNDS ICA A	0.00	11.91	0.00	11.91	85.0	0.83
06/01/2018	GRAHAM, DAVID	AM FUNDS ICA A	0.00	0.32	0.00	0.32	85.0	0.02
06/01/2018	DIENER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.22	0.00	23.22	85.0	1.63
06/01/2018	PRZYBYLSKI, JEREMIAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.63	0.00	0.63	85.0	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS, H121 HALSEY #82</u>								
06/01/2018	FOSTER, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.80	0.00	0.80	85.0	0.06
06/01/2018	BAKER, ELAINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.79	0.00	4.79	85.0	0.34
06/01/2018	HAWBLITZ, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.25	0.00	4.25	85.0	0.30
06/01/2018	PAPPIO, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2018	PAPPIO, JOE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2018	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.69	0.00	3.69	85.0	0.26
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.82	0.00	2.82	85.0	0.20
06/01/2018	FRANTZ, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.38	0.00	0.38	85.0	0.03
06/01/2018	HAWBLITZ TRUST, AGNES	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.26	0.00	16.26	85.0	1.14
06/01/2018	HAWBLITZ TRUST, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.53	0.00	16.53	85.0	1.16
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2018	LEININGER, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.21	0.00	3.21	85.0	0.22
06/01/2018	GERE, AMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.07	0.00	3.07	85.0	0.21
06/01/2018	DERR, LUCINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.42	0.00	5.42	85.0	0.38
06/01/2018	ZORNOW, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.31	0.00	1.31	85.0	0.09
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.59	0.00	0.59	85.0	0.04
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.59	0.00	0.59	85.0	0.04
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2018	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2018	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2018	DIENER, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	10.52	0.00	10.52	85.0	0.74
06/01/2018	RIEBE, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.85	0.00	3.85	85.0	0.27
06/01/2018	LATTA, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.55	0.00	1.55	85.0	0.11
06/01/2018	LEININGER, KENNETH	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.69	0.00	2.69	85.0	0.19
06/01/2018	DESELMS, ELEVLYN	AM FUNDS NEW ECONOMY A	0.00	14.48	0.00	14.48	85.0	1.01
06/01/2018	KRIEGER, RENEE	AM FUNDS NEW ECONOMY A	0.00	12.52	0.00	12.52	85.0	0.88
06/01/2018	FISHER, SCOTT TW	AM FUNDS NEW ECONOMY A	0.00	6.13	0.00	6.13	85.0	0.43
06/01/2018	LEININGER, ELI	AM FUNDS NEW ECONOMY A	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2018	LEININGER, LISA	AM FUNDS NEW ECONOMY A	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.78	0.00	1.78	85.0	0.12
06/01/2018	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	85.0	0.04
06/01/2018	BAKER, ELAINE	AM FUNDS NEW PERSPECTIVE A	0.00	7.29	0.00	7.29	85.0	0.51
06/01/2018	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.66	0.00	0.66	85.0	0.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	WRAY, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	4.12	0.00	4.12	85.0	0.29
06/01/2018	KRIEGER, RENEE	AM FUNDS NEW PERSPECTIVE A	0.00	9.40	0.00	9.40	85.0	0.66
06/01/2018	ABBE JR, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	85.0	0.07
06/01/2018	PAPPIO, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2018	BASSETT, ANTHONY	AM FUNDS NEW PERSPECTIVE A	0.00	2.61	0.00	2.61	85.0	0.18
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS NEW WORLD A	0.00	1.56	0.00	1.56	85.0	0.11
06/01/2018	LEININGER, LISA	AM FUNDS NEW WORLD A	0.00	0.66	0.00	0.66	85.0	0.05
06/01/2018	WRAY, KIM	AM FUNDS NEW WORLD A	0.00	5.57	0.00	5.57	85.0	0.39
06/01/2018	EYLER, BARBARA	AM FUNDS NEW WORLD A	0.00	3.65	0.00	3.65	85.0	0.26
06/01/2018	DERR, LUCINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.19	0.00	2.19	85.0	0.15
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	7.92	0.00	7.92	85.0	0.55
06/01/2018	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	1.18	0.00	1.18	85.0	0.08
06/01/2018	BAKER, ELAINE	AM FUNDS SMALLCAP WORLD A	0.00	6.23	0.00	6.23	85.0	0.44
06/01/2018	WRAY, KIM	AM FUNDS SMALLCAP WORLD A	0.00	7.03	0.00	7.03	85.0	0.49
06/01/2018	EYLER, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	4.15	0.00	4.15	85.0	0.29
06/01/2018	MEREDITH, TERESE	AM FUNDS SMALLCAP WORLD A	0.00	2.36	0.00	2.36	85.0	0.17
06/01/2018	MEREDITH, JEFFERY	AM FUNDS SMALLCAP WORLD A	0.00	1.77	0.00	1.77	85.0	0.12
06/01/2018	ZORNOW, JORDAN	AM FUNDS SMALLCAP WORLD A	0.00	2.71	0.00	2.71	85.0	0.19
06/01/2018	LEININGER, ELI	AM FUNDS SMALLCAP WORLD A	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	FRENCH, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.22	0.00	0.22	85.0	0.02
06/01/2018	FRENCH, RICHARD	AM FUNDS SMALLCAP WORLD A	0.00	0.22	0.00	0.22	85.0	0.02
06/01/2018	ABBE JR, GARY	AM FUNDS SMALLCAP WORLD A	0.00	1.32	0.00	1.32	85.0	0.09
06/01/2018	DREEZE, MARCELINA	AM FUNDS SMALLCAP WORLD A	0.00	1.14	0.00	1.14	85.0	0.08
06/01/2018	CANNON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS SMALLCAP WORLD A	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	LATTA, MARY	AM FUNDS SMALLCAP WORLD A	0.00	2.18	0.00	2.18	85.0	0.15
06/01/2018	AUGUSTYNIAK, ROGER	AM FUNDS SMALLCAP WORLD A	0.00	11.28	0.00	11.28	85.0	0.79
06/01/2018	MI/TOD	AM FUNDS SMALLCAP WORLD A	0.00	10.54	0.00	10.54	85.0	0.74
06/01/2018	PAPPIO, AARON	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2018	LEININGER, KENNETH	AM FUNDS SMALLCAP WORLD A	0.00	1.19	0.00	1.19	85.0	0.08
06/01/2018	GERE, AMY	AM FUNDS SMALLCAP WORLD A	0.00	3.07	0.00	3.07	85.0	0.21
06/01/2018	BASSETT, ANTHONY	AM FUNDS SMALLCAP WORLD A	0.00	2.80	0.00	2.80	85.0	0.20
06/01/2018	DERR, LUCINDA	AM FUNDS SMALLCAP WORLD A	0.00	1.75	0.00	1.75	85.0	0.12

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	ABBE, AMY	AM FUNDS SMALLCAP WORLD A	0.00	1.22	0.00	1.22	85.0	0.09
06/01/2018	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	0.27	0.00	0.27	85.0	0.02
05/29/2018	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
06/01/2018	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	85.0	1.05
06/01/2018	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.95	0.00	5.95	85.0	0.42
06/01/2018	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.57	0.00	4.57	85.0	0.32
06/01/2018	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	85.0	0.07
06/01/2018	TANGEMAN, JEANETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.99	0.00	31.99	85.0	2.24
06/01/2018	DESELMS, ELEVLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.72	0.00	10.72	85.0	0.75
06/01/2018	PRZBYLSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.52	0.00	14.52	85.0	1.02
06/01/2018	FILIPEK, BETHANY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	85.0	0.02
06/01/2018	DESELMS, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.74	0.00	4.74	85.0	0.33
06/01/2018	BASSETT, HANNAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	85.0	0.09
06/01/2018	PRZYBYLSKI, JEREMIAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	85.0	0.09
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.83	0.00	4.83	85.0	0.34
06/01/2018	BEISWENGER, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.31	0.00	7.31	85.0	0.51
06/01/2018	COUSINO, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.94	0.00	36.94	85.0	2.59
06/01/2018	KREMPEC, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.47	0.00	2.47	85.0	0.17
06/01/2018	FILIPEK, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.54	0.00	13.54	85.0	0.95
06/01/2018	AUGUSTYNIAK, SETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	85.0	0.03
06/01/2018	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.81	0.00	0.81	85.0	0.06
06/01/2018	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	85.0	0.07
06/01/2018	BAKER, ELAINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.66	0.00	7.66	85.0	0.54
06/01/2018	DIERKSHEIDE, TRACI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	85.0	0.14
06/01/2018	JOHNSON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2018	FRANTZ, KAYLYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	85.0	0.07
06/01/2018	NOWAK, COLETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	85.0	0.07
06/01/2018	BAUMGARTNER, DIANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.29	0.00	6.29	85.0	0.44
06/01/2018	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.33	0.00	2.33	85.0	0.16
06/01/2018	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.32	0.00	2.32	85.0	0.16
06/01/2018	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.18	0.00	18.18	85.0	1.27
06/01/2018	JACKSON, MARNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.94	0.00	14.94	85.0	1.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	JOHNSON, CHLOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.91	0.00	0.91	85.0	0.06
06/01/2018	BASSETT, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.58	0.00	0.58	85.0	0.04
06/01/2018	COOK, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2018	KRIEGER, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.84	0.00	3.84	85.0	0.27
06/01/2018	FRANTZ, KARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	RIEBE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	85.0	0.09
06/01/2018	HAWBLITZ, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.88	0.00	6.88	85.0	0.48
06/01/2018	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.94	0.00	4.94	85.0	0.35
06/01/2018	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	85.0	0.14
06/01/2018	WRAY, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.33	0.00	16.33	85.0	1.14
06/01/2018	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.83	0.00	0.83	85.0	0.06
06/01/2018	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.19	0.00	3.19	85.0	0.22
06/01/2018	THANASIU, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.65	0.00	1.65	85.0	0.12
06/01/2018	PAPIO, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2018	PAPIO, JOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.57	0.00	0.57	85.0	0.04
06/01/2018	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	85.0	0.26
06/01/2018	ZORNOW TRUST, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.98	0.00	2.98	85.0	0.21
06/01/2018	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.52	0.00	0.52	85.0	0.04
06/01/2018	MEREDITH, TERESE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.30	0.00	1.30	85.0	0.09
06/01/2018	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.83	0.00	6.83	85.0	0.48
06/01/2018	KRAMER, TRISTON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	85.0	0.05
06/01/2018	HAWBLITZ TRUST, AGNES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.49	0.00	9.49	85.0	0.66
06/01/2018	HAWBLITZ TRUST, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.57	0.00	9.57	85.0	0.67
06/01/2018	KRIEGER, RENEE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.13	0.00	10.13	85.0	0.71
06/01/2018	FISHER, SCOTT TW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.76	0.00	4.76	85.0	0.33
06/01/2018	LEININGER, ELI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	FRENCH, VICTORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2018	FRENCH, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2018	KRAMER, DELANEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2018	ABBE JR, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.17	0.00	2.17	85.0	0.15
06/01/2018	KRAMER, KARYS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	DREEZE, MARCELINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.14	0.00	2.14	85.0	0.15
06/01/2018	STACY, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.21	0.00	0.21	85.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
06/01/2018	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	85.0	0.01
06/01/2018	SAPP, ANGELAMARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.36	0.00	1.36	85.0	0.10
06/01/2018	LATTA, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.93	0.00	2.93	85.0	0.21
06/01/2018	GRAHAM, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2018	AUGUSTYNIAK, ROGER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.77	0.00	13.77	85.0	0.96
06/01/2018	MI/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.25	0.00	8.25	85.0	0.58
06/01/2018	PAPPIO, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.57	0.00	0.57	85.0	0.04
06/01/2018	LEININGER, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.45	0.00	4.45	85.0	0.31
06/01/2018	PERRY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.26	0.00	22.26	85.0	1.56
06/01/2018	GERE, AMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.30	0.00	3.30	85.0	0.23
06/01/2018	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.10	0.00	0.10	85.0	0.01
06/01/2018	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.84	0.00	0.84	85.0	0.06
06/01/2018	BASSETT, ANTHONY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.05	0.00	3.05	85.0	0.21
06/01/2018	VESEY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.25	0.00	1.25	85.0	0.09
06/01/2018	DERR, LUCINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.27	0.00	8.27	85.0	0.58
06/01/2018	ABBE, AMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.32	0.00	1.32	85.0	0.09
06/01/2018	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2018	FRANTZ, CASSANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	85.0	0.06
06/01/2018	ZORNOW, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.36	0.00	1.36	85.0	0.10
06/01/2018	ROTH/BENE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2018	WIENS/BENE, MELANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2018	NORNOW/BENE, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	85.0	0.03
06/01/2018	DERR, LUCINDA	AMERICAN FUNDS CORPORATE BOND FD A	0.00	1.46	0.00	1.46	85.0	0.10
/ /	MARKLEY, JUSTIN	FIDELITY ADV EQUITY GROWTH CL M	0.00	3.95	0.00	3.95	85.0	0.28
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	8.10	0.00	8.10	85.0	0.57
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	4.13	0.00	4.13	85.0	0.29
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	5.74	0.00	5.74	85.0	0.40
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	6.91	0.00	6.91	85.0	0.48
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	4.88	0.00	4.88	85.0	0.34
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	4.55	0.00	4.55	85.0	0.32
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	6.53	0.00	6.53	85.0	0.46
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	7.84	0.00	7.84	85.0	0.55
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	10.39	0.00	10.39	85.0	0.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	5.42	0.00	5.42	85.0	0.38
/ /	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	6.46	0.00	6.46	85.0	0.45
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	6.32	0.00	6.32	85.0	0.44
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	15.53	0.00	15.53	85.0	1.09
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	7.26	0.00	7.26	85.0	0.51
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	8.07	0.00	8.07	85.0	0.56
05/31/2018	BUEHRER, DANIEL	JNL PERSPECTIVE L	29,173.24	24.31	0.00	24.31	85.0	1.70
05/31/2018	BUEHRER, DANIEL	JNL PERSPECTIVE L	162,724.12	176.28	0.00	176.28	85.0	12.34
05/31/2018	NOWAK, DAVID	JOHN HANCOCK VENTURE III	19,196.08	16.00	0.00	16.00	85.0	1.12
05/31/2018	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	54,298.43	45.25	0.00	45.25	85.0	3.17
05/31/2018	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	42,938.78	35.78	0.00	35.78	85.0	2.50
06/01/2018	DESELMS, ROBERT	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.67	0.00	0.67	85.0	0.05
05/30/2018	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
06/04/2018	PRZYBYLSKI, JEREMIAH	MML ARTISTRY	100.00	5.50	0.00	5.50	85.0	0.39
06/11/2018	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
05/02/2018	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	134,640.61	112.20	0.00	112.20	85.0	7.85
05/05/2018	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	112,768.18	93.97	0.00	93.97	85.0	6.58
05/05/2018	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	83,675.85	69.73	0.00	69.73	85.0	4.88
05/06/2018	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	240,066.63	200.06	0.00	200.06	85.0	14.00
05/07/2018	EYLER, BARBARA	TRANSAMERICA LIBERTY	103,828.96	86.52	0.00	86.52	85.0	6.06
05/07/2018	BUEHRER, SARAH	TRANSAMERICA LIBERTY	148,350.15	123.63	0.00	123.63	85.0	8.65
05/07/2018	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	149,286.23	124.41	0.00	124.41	85.0	8.71
05/07/2018	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	193,779.75	161.48	0.00	161.48	85.0	11.30
05/08/2018	FERGUSON, MARK	TRANSAMERICA LIBERTY	256,722.13	213.94	0.00	213.94	85.0	14.98
05/08/2018	DE SELMS, KAREN	TRANSAMERICA LIBERTY	134,818.97	112.35	0.00	112.35	85.0	7.86
05/09/2018	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	175,511.53	146.26	0.00	146.26	85.0	10.24
05/10/2018	THANASIU, THOMAS	TRANSAMERICA LIBERTY	112,302.10	93.59	0.00	93.59	85.0	6.55
05/10/2018	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	96,676.28	80.56	0.00	80.56	85.0	5.64
05/10/2018	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	90,147.67	75.12	0.00	75.12	85.0	5.26
05/12/2018	DIENER, JUDITH	TRANSAMERICA LIBERTY	140,380.61	116.98	0.00	116.98	85.0	8.19
05/12/2018	RUCH, RONALD	TRANSAMERICA LIBERTY	65,492.62	54.58	0.00	54.58	85.0	3.82
05/13/2018	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	28,356.65	23.63	0.00	23.63	85.0	1.65
05/16/2018	BAKER, ELAINE	TRANSAMERICA LIBERTY	231,056.51	192.55	0.00	192.55	85.0	13.48

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
05/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	70,818.78	59.02	0.00	59.02	85.0	4.13
05/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	70,818.78	59.02	0.00	59.02	85.0	4.13
05/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	65,829.53	54.86	0.00	54.86	85.0	3.84
05/20/2018	RICHARDS, STEPHEN	TRANSAMERICA LIBERTY	105,857.44	88.21	0.00	88.21	85.0	6.17
05/21/2018	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	209,218.94	174.35	0.00	174.35	85.0	12.20
05/22/2018	AUGUSTYNYIAK JR, ROGER	TRANSAMERICA LIBERTY	426,987.74	355.82	0.00	355.82	85.0	24.91
05/22/2018	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	94,449.87	78.71	0.00	78.71	85.0	5.51
05/25/2018	PERRY, ALAN	TRANSAMERICA LIBERTY	405,491.04	337.91	0.00	337.91	85.0	23.65
05/25/2018	TAYLOR, LILY	TRANSAMERICA LIBERTY	39,049.91	32.54	0.00	32.54	85.0	2.28
05/26/2018	ANNESSER, CAROL	TRANSAMERICA LIBERTY	110,926.14	92.44	0.00	92.44	85.0	6.47
05/27/2018	DESELMS, KAREN	TRANSAMERICA LIBERTY	125,477.49	104.56	0.00	104.56	85.0	7.32
05/27/2018	WRAY, JOCELYN	TRANSAMERICA LIBERTY	29,135.93	24.28	0.00	24.28	85.0	1.70
05/27/2018	WRAY, KIM	TRANSAMERICA LIBERTY	67,939.80	56.62	0.00	56.62	85.0	3.96
05/27/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	35,815.76	29.85	0.00	29.85	85.0	2.09
05/30/2018	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	48,645.00	40.54	0.00	40.54	85.0	2.84
* THOMAS, H121 HALSEY SUBTOTAL *			\$4,713,304.23	\$5,505.73	\$0.00	\$5,505.73		\$385.51
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
06/01/2018	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	26.66	0.00	26.66	90.0	0.53
06/01/2018	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	5.86	0.00	5.86	90.0	0.12
06/01/2018	SCHUMACHER, ROSEMARY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.72	0.00	2.72	90.0	0.05
06/01/2018	MAXFIELD, RICHARD	AM FUNDS BOND FUND OF AMERICA A	0.00	18.47	0.00	18.47	90.0	0.37
06/01/2018	PENNINGTON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	12.35	0.00	12.35	90.0	0.25
06/01/2018	SHAFFER TRUST, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	14.47	0.00	14.47	90.0	0.29
06/01/2018	GRAHAM, JUDY	AM FUNDS BOND FUND OF AMERICA A	0.00	5.68	0.00	5.68	90.0	0.11
06/01/2018	DAVIS, HOWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	6.57	0.00	6.57	90.0	0.13
06/01/2018	MICHALSKI, PAIGE	AM FUNDS BOND FUND OF AMERICA A	0.00	7.74	0.00	7.74	90.0	0.15
06/01/2018	HILEMAN, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	21.91	0.00	21.91	90.0	0.44
06/01/2018	MOORE CHARIT TRUST, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	15.69	0.00	15.69	90.0	0.31
06/01/2018	BLADEL, JACQUELYN	AM FUNDS BOND FUND OF AMERICA A	0.00	33.22	0.00	33.22	90.0	0.66
06/01/2018	FURNEY, DANNY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.14	0.00	2.14	90.0	0.04
06/01/2018	RICE, GREGG	AM FUNDS BOND FUND OF AMERICA A	0.00	57.15	0.00	57.15	90.0	1.14
06/01/2018	MITTEN, ETTA	AM FUNDS BOND FUND OF AMERICA A	0.00	40.15	0.00	40.15	90.0	0.80
06/01/2018	GRUBB, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	0.00	21.33	0.00	21.33	90.0	0.43

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
06/01/2018	MUIR, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	8.98	0.00	8.98	90.0	0.18
06/01/2018	BESTOR, SALLY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.32	0.00	3.32	90.0	0.07
06/01/2018	JACOB TRUST, MARILYN	AM FUNDS BOND FUND OF AMERICA A	0.00	32.98	0.00	32.98	90.0	0.66
06/01/2018	RICE, PAMELA	AM FUNDS BOND FUND OF AMERICA A	0.00	11.31	0.00	11.31	90.0	0.23
06/01/2018	ROSSWURM, ELAINE	AM FUNDS BOND FUND OF AMERICA A	0.00	13.89	0.00	13.89	90.0	0.28
06/01/2018	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	23.62	0.00	23.62	90.0	0.47
06/01/2018	WALTER, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	9.59	0.00	9.59	90.0	0.19
06/01/2018	LABERDEE, JOYCE	AM FUNDS BOND FUND OF AMERICA A	0.00	8.85	0.00	8.85	90.0	0.18
06/01/2018	SCHUMACHER, EDWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	0.65	0.00	0.65	90.0	0.01
06/01/2018	SHAFFER, CLARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.18	0.00	4.18	90.0	0.08
06/01/2018	JACOB TRUST, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.70	0.00	4.70	90.0	0.09
06/01/2018	MOORE, EILEEN	AM FUNDS CAPITAL WORLD BOND A	0.00	6.99	0.00	6.99	90.0	0.14
06/01/2018	JEFFERS, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	5.09	0.00	5.09	90.0	0.10
06/01/2018	GAJEWSKI, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	3.22	0.00	3.22	90.0	0.06
06/01/2018	JACOB, MARILYN	AM FUNDS CAPITAL WORLD BOND A	0.00	19.49	0.00	19.49	90.0	0.39
06/01/2018	BUEHLER, ARNOLD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.12	0.00	21.12	90.0	0.42
06/01/2018	SCHWEINHAGEN, RUPERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	38.19	0.00	38.19	90.0	0.76
06/01/2018	NEITZ, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.21	0.00	14.21	90.0	0.28
06/01/2018	PENNINGTON, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.12	0.00	29.12	90.0	0.58
06/01/2018	MAXFIELD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.39	0.00	35.39	90.0	0.71
06/01/2018	BESTOR, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.05	0.00	19.05	90.0	0.38
06/01/2018	MOORE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	65.18	0.00	65.18	90.0	1.30
06/01/2018	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.07	0.00	27.07	90.0	0.54
06/01/2018	GRIM, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	0.02
06/01/2018	ROSSWURM, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.69	0.00	15.69	90.0	0.31
06/01/2018	RECKNER, GARTH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.00	0.00	2.00	90.0	0.04
06/01/2018	DEMPSEY, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.18	0.00	2.18	90.0	0.04
06/01/2018	SHAFFER, CLARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	53.81	0.00	53.81	90.0	1.08
06/01/2018	SHAFFER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.55	0.00	0.55	90.0	0.01
06/01/2018	RICE, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.22	0.00	3.22	90.0	0.06
06/01/2018	RICE JR, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.60	0.00	5.60	90.0	0.11
06/01/2018	RINGGER, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.67	0.00	7.67	90.0	0.15
06/01/2018	RINGGER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.67	0.00	7.67	90.0	0.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT, T118 THOMPSON #83</u>								
06/01/2018	DEMPSEY, GLENN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	90.0	0.01
06/01/2018	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	44.75	0.00	44.75	90.0	0.90
06/01/2018	WALTER, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.06	0.00	13.06	90.0	0.26
06/01/2018	LABERDEE, JOYCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	90.0	0.06
06/01/2018	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.66	0.00	6.66	90.0	0.13
06/01/2018	SWEARINGEN, ERIC	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	34.51	0.00	34.51	90.0	0.69
06/01/2018	RINGGER, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.26	0.00	15.26	90.0	0.31
06/01/2018	JEFFERS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.11	0.00	11.11	90.0	0.22
06/01/2018	FLECK, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.52	0.00	15.52	90.0	0.31
06/01/2018	SHAFFER, JAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	22.25	0.00	22.25	90.0	0.45
06/01/2018	RICE JR, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.29	0.00	0.29	90.0	0.01
06/01/2018	RICE, GREGG	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.74	0.00	2.74	90.0	0.05
06/01/2018	PENNINGTON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	31.70	0.00	31.70	90.0	0.63
06/01/2018	RICE, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.71	0.00	4.71	90.0	0.09
06/01/2018	GRIM, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.44	0.00	0.44	90.0	0.01
06/01/2018	RICE JR, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.02
06/01/2018	WALTER, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.60	0.00	13.60	90.0	0.27
06/01/2018	SEITZINGER, MARK	AM FUNDS ICA A	0.00	28.43	0.00	28.43	90.0	0.57
06/01/2018	DEMPSEY, GLENN	AM FUNDS ICA A	0.00	6.39	0.00	6.39	90.0	0.13
06/01/2018	WALTER, LAURA	AM FUNDS ICA A	0.00	9.64	0.00	9.64	90.0	0.19
06/01/2018	MOORE, EILEEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	55.66	0.00	55.66	90.0	1.11
06/01/2018	SEXTON TRUST, MARY LOU	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	13.09	0.00	13.09	90.0	0.26
06/01/2018	DAVIS, HOWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	11.95	0.00	11.95	90.0	0.24
06/01/2018	SWEARINGEN, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.46	0.00	2.46	90.0	0.05
06/01/2018	NEITZ, CHRISTINA	AM FUNDS NEW WORLD A	0.00	5.40	0.00	5.40	90.0	0.11
06/01/2018	GRIM, SUSAN	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	90.0	0.01
06/01/2018	PENNINGTON, SANDRA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	37.13	0.00	37.13	90.0	0.74
06/01/2018	MAXFIELD, RICHARD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	16.47	0.00	16.47	90.0	0.33
06/01/2018	PENNINGTON, STEVE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	11.00	0.00	11.00	90.0	0.22
06/01/2018	WODA, HELENE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.46	0.00	5.46	90.0	0.11
06/01/2018	MOORE, EILEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	22.41	0.00	22.41	90.0	0.45
06/01/2018	JACOB, MARILYN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.52	0.00	1.52	90.0	0.03
06/01/2018	SEXTON TRUST, MARY LOU	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.03	0.00	7.03	90.0	0.14

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
06/01/2018	SHAFFER, JAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	27.42	0.00	27.42	90.0	0.55
06/01/2018	JEFFERS, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	8.29	0.00	8.29	90.0	0.17
06/01/2018	FLECK, GERALD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.91	0.00	8.91	90.0	0.18
06/01/2018	GRIM, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	90.0	0.01
04/30/2018	SHAFFER, CLARK	ICON BOND FUND C	19,292.74	15.86	0.00	15.86	90.0	0.32
04/30/2018	RICE, CHERYL	ICON BOND FUND C	2,937.86	2.41	0.00	2.41	90.0	0.05
04/30/2018	GECIK, STANLEY	ICON BOND FUND C	5,997.48	4.93	0.00	4.93	90.0	0.10
04/30/2018	RECKNER, GARTH	ICON BOND FUND C	1,507.95	1.24	0.00	1.24	90.0	0.02
05/29/2018	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
05/31/2018	RICHARDS, MILDRED	JNL PERSPECTIVE	35,006.75	7.29	0.00	7.29	90.0	0.15
05/31/2018	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,108.28	1.32	0.00	1.32	90.0	0.03
05/31/2018	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	36,985.95	30.82	0.00	30.82	90.0	0.62
05/31/2018	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	24,233.98	20.19	0.00	20.19	90.0	0.40
05/31/2018	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	34,253.08	28.54	0.00	28.54	90.0	0.57
05/31/2018	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	124,384.02	103.65	0.00	103.65	90.0	2.07
05/31/2018	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	128,401.29	107.00	0.00	107.00	90.0	2.14
05/31/2018	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	159,415.31	132.85	0.00	132.85	90.0	2.66
05/31/2018	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	25,452.97	21.21	0.00	21.21	90.0	0.42
05/31/2018	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	41,106.83	34.26	0.00	34.26	90.0	0.69
05/31/2018	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	19,482.03	16.24	0.00	16.24	90.0	0.32
05/31/2018	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	21,852.47	18.21	0.00	18.21	90.0	0.36
05/31/2018	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	157,401.42	131.17	0.00	131.17	90.0	2.62
05/31/2018	ELWING, LOUISE	JOHN HANCOCK VENTURE III	147,679.01	123.07	0.00	123.07	90.0	2.46
05/31/2018	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	144,426.36	120.36	0.00	120.36	90.0	2.41
05/31/2018	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	218,685.54	182.24	0.00	182.24	90.0	3.64
05/31/2018	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	39,724.85	33.10	0.00	33.10	90.0	0.66
05/31/2018	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	117,938.87	98.28	0.00	98.28	90.0	1.97
05/31/2018	RICE, PAMELA	JOHN HANCOCK VENTURE III	110,355.14	91.96	0.00	91.96	90.0	1.84
05/31/2018	RINGGER, LINDA	JOHN HANCOCK VENTURE III	119,755.81	99.80	0.00	99.80	90.0	2.00
05/31/2018	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	23,795.78	19.83	0.00	19.83	90.0	0.40
05/31/2018	WODA, HELENE	JOHN HANCOCK VENTURE III	25,496.14	21.25	0.00	21.25	90.0	0.43
05/29/2018	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	57,318.45	59.71	0.00	59.71	90.0	1.19
05/04/2018	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,645.11	3.87	0.00	3.87	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
05/05/2018	MOORE, EILEEN	TRANSAMERICA LIBERTY	260,801.98	217.33	0.00	217.33	90.0	4.35
05/05/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	24,117.67	20.10	0.00	20.10	90.0	0.40
05/07/2018	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	5,837.17	4.86	0.00	4.86	90.0	0.10
05/07/2018	FRAZIER, JULIE	TRANSAMERICA LIBERTY	55,759.51	46.47	0.00	46.47	90.0	0.93
05/08/2018	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	91,594.81	76.33	0.00	76.33	90.0	1.53
05/09/2018	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	46,282.61	38.57	0.00	38.57	90.0	0.77
05/12/2018	LABERDEE, LARRY	TRANSAMERICA LIBERTY	33,287.03	27.74	0.00	27.74	90.0	0.55
05/13/2018	WODA, HELENE	TRANSAMERICA LIBERTY	37,739.74	31.45	0.00	31.45	90.0	0.63
05/13/2018	FURNEY, DANNY	TRANSAMERICA LIBERTY	247,290.69	206.08	0.00	206.08	90.0	4.12
05/13/2018	MERZ, EDWIN	TRANSAMERICA LIBERTY	153,792.00	128.16	0.00	128.16	90.0	2.56
05/13/2018	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	79,684.14	66.40	0.00	66.40	90.0	1.33
05/15/2018	RICE, CHERYL	TRANSAMERICA LIBERTY	2,626.98	2.19	0.00	2.19	90.0	0.04
05/15/2018	JACOB, MARILYN	TRANSAMERICA LIBERTY	244,111.01	203.43	0.00	203.43	90.0	4.07
05/16/2018	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	109,734.36	91.45	0.00	91.45	90.0	1.83
05/16/2018	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,670.55	2.23	0.00	2.23	90.0	0.04
05/16/2018	RICE, SUSAN	TRANSAMERICA LIBERTY	118,423.20	98.69	0.00	98.69	90.0	1.97
05/17/2018	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,434.15	22.03	0.00	22.03	90.0	0.44
05/21/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	99,054.41	82.55	0.00	82.55	90.0	1.65
05/22/2018	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	77,521.07	64.60	0.00	64.60	90.0	1.29
05/22/2018	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	39,443.78	32.87	0.00	32.87	90.0	0.66
05/22/2018	JEFFERS, DAVID	TRANSAMERICA LIBERTY	111,258.28	92.72	0.00	92.72	90.0	1.85
05/23/2018	SEITZINGER, MARK	TRANSAMERICA LIBERTY	70,880.41	59.07	0.00	59.07	90.0	1.18
05/23/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	97,722.58	81.44	0.00	81.44	90.0	1.63
05/24/2018	HALL, WAYNE	TRANSAMERICA LIBERTY	161,208.69	134.34	0.00	134.34	90.0	2.69
05/24/2018	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	204,535.75	170.45	0.00	170.45	90.0	3.41
05/26/2018	WENZ, JAMES	TRANSAMERICA LIBERTY	24,589.95	20.49	0.00	20.49	90.0	0.41
05/26/2018	FISH, SANDRA	TRANSAMERICA LIBERTY	73,026.55	60.86	0.00	60.86	90.0	1.22
05/26/2018	RICE, PAMELA	TRANSAMERICA LIBERTY	61,121.93	50.93	0.00	50.93	90.0	1.02
05/27/2018	DAVIS, HOWARD	TRANSAMERICA LIBERTY	28,548.17	23.79	0.00	23.79	90.0	0.48
05/28/2018	COOPER, MARK	TRANSAMERICA LIBERTY	112,907.47	94.09	0.00	94.09	90.0	1.88
05/29/2018	SHAFFER, EMILY	TRANSAMERICA LIBERTY	161,004.98	134.17	0.00	134.17	90.0	2.68
* ROBERT, T118 THOMPSON SUBTOTAL *			\$4,712,803.09	\$5,224.71	\$0.00	\$5,224.71		\$104.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MATTHEW NAVARRE #423</u>								
06/04/2018	COLLINS, VINCENT	AM FUNDS BOND FUND OF AMERICA A	50.00	1.50	0.00	1.50	92.0	0.41
		* MATTHEW NAVARRE SUBTOTAL *	\$50.00	\$1.50	\$0.00	\$1.50		\$0.41
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$9,426,157.32	\$10,766.94	\$0.00	\$10,766.94		\$492.81

ADJUSTMENTS

06/15/2018		*ALBRIDGE: FULL USER	0.00					-176.00
06/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
06/15/2018		*EO INS: NAVARRE E&O	0.00					-150.00
06/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-4.98
06/15/2018		*TECHNOLOGY: ADMIN - DEB RYAN	0.00					-43.34
		1/3RD						
06/15/2018		*TECHNOLOGY: ADMIN - J BOYERS 1/3RD	0.00					-43.34
06/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
06/15/2018		*TECHNOLOGY: MONTHLY 1/2 TECH -	0.00					-137.50
		NAVARRE						
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-1,035.16

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BROKER COMMISSION TOTALS

Broker Transactions	\$8,514.94
Split Transactions	\$0.00
Override Transactions	\$492.81
Adjustments	\$-1,035.16
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,972.59
Year-to-date Gross	\$67,639.00
Year-to-date Earnings	\$65,638.92