



Concorde Investment Services, LLC

01/13/2017
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COMMISSION STATEMENT

January 17, 2017

JEFFREY KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/06/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	1,230.76	12.31	0.00	12.31	90.0	11.08
01/06/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	440.77	4.41	0.00	4.41	90.0	3.97
01/06/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	89.58	0.90	0.00	0.90	90.0	0.81
01/06/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	89.58	0.90	0.00	0.90	90.0	0.81
01/06/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	39.60	0.40	0.00	0.40	90.0	0.36
01/06/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	39.60	0.40	0.00	0.40	90.0	0.36
01/06/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	46.39	0.46	0.00	0.46	90.0	0.41
01/06/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	34.79	0.35	0.00	0.35	90.0	0.32
01/06/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	53.35	0.53	0.00	0.53	90.0	0.48
01/06/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	53.35	0.53	0.00	0.53	90.0	0.48
01/06/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	28.38	0.28	0.00	0.28	90.0	0.25
01/06/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	28.38	0.28	0.00	0.28	90.0	0.25
01/06/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
01/06/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
01/06/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	38.40	0.38	0.00	0.38	90.0	0.34
01/06/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	38.40	0.38	0.00	0.38	90.0	0.34
01/06/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	61.84	0.62	0.00	0.62	90.0	0.56
01/06/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	61.84	0.62	0.00	0.62	90.0	0.56
01/03/2017	BAUER, MATTHEW	AM FUNDS AMERICAN BALANCED A	611.18	22.92	0.00	22.92	90.0	20.63
01/06/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	927.37	9.27	0.00	9.27	90.0	8.34
01/06/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	278.21	2.78	0.00	2.78	90.0	2.50
01/06/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	252.56	2.53	0.00	2.53	90.0	2.28
01/06/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	108.24	1.08	0.00	1.08	90.0	0.97
01/06/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	40.95	0.41	0.00	0.41	90.0	0.37
01/06/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	40.95	0.41	0.00	0.41	90.0	0.37
01/06/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	198.73	1.99	0.00	1.99	90.0	1.79

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
01/06/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	59.61	0.60	0.00	0.60	90.0	0.54
01/06/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	61.44	0.61	0.00	0.61	90.0	0.55
01/06/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	23.04	0.23	0.00	0.23	90.0	0.21
01/06/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	144.35	1.44	0.00	1.44	90.0	1.30
01/06/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	144.35	1.44	0.00	1.44	90.0	1.30
01/06/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	33.60	0.34	0.00	0.34	90.0	0.31
01/06/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	33.60	0.34	0.00	0.34	90.0	0.31
01/06/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	32.97	0.33	0.00	0.33	90.0	0.30
01/06/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	32.97	0.33	0.00	0.33	90.0	0.30
01/06/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.26	0.18	0.00	0.18	90.0	0.16
01/06/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.26	0.18	0.00	0.18	90.0	0.16
01/06/2017	PATTISON, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	198.72	1.99	0.00	1.99	90.0	1.79
01/06/2017	PATTISON, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	59.62	0.60	0.00	0.60	90.0	0.54
12/27/2016	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	369.23	7.38	0.00	7.38	90.0	6.64
12/27/2016	MO/TOD	AM FUNDS EUROPACIFIC GROWTH FUND A	7,500.00	150.00	0.00	150.00	90.0	135.00
01/03/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
01/05/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	200.00	10.00	0.00	10.00	90.0	9.00
01/06/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	46.08	0.46	0.00	0.46	90.0	0.41
01/06/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	17.28	0.17	0.00	0.17	90.0	0.15
12/30/2016	GUIER, GRACIE	AM FUNDS GLOBAL BALANCED A	100.00	2.00	0.00	2.00	90.0	1.80
01/06/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	947.16	9.47	0.00	9.47	90.0	8.52
01/06/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	321.00	3.21	0.00	3.21	90.0	2.89
01/06/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	65.78	0.66	0.00	0.66	90.0	0.59
01/06/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	65.78	0.66	0.00	0.66	90.0	0.59
01/06/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	62.57	0.63	0.00	0.63	90.0	0.57
01/06/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	62.57	0.63	0.00	0.63	90.0	0.57
12/27/2016	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	458.32	22.92	0.00	22.92	90.0	20.63
12/27/2016	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	738.46	14.77	0.00	14.77	90.0	13.29
12/27/2016	MO/TOD	AM FUNDS GROWTH FUND OF AMERICA A	10,000.00	200.00	0.00	200.00	90.0	180.00
01/03/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
01/03/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	114.63	4.30	0.00	4.30	90.0	3.87
01/03/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	629.70	23.61	0.00	23.61	90.0	21.25
01/03/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	81.81	3.07	0.00	3.07	90.0	2.76

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	710.54	26.65	0.00	26.65	90.0	23.99
01/03/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	1,036.54	38.87	0.00	38.87	90.0	34.98
01/03/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	278.93	10.46	0.00	10.46	90.0	9.41
01/05/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
01/05/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	150.00	7.50	0.00	7.50	90.0	6.75
01/06/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.51	0.37	0.00	0.37	90.0	0.33
01/06/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.51	0.37	0.00	0.37	90.0	0.33
01/06/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.48	0.14	0.00	0.14	90.0	0.13
01/06/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	43.45	0.43	0.00	0.43	90.0	0.39
01/06/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	46.08	0.46	0.00	0.46	90.0	0.41
01/06/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	17.28	0.17	0.00	0.17	90.0	0.15
01/06/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	17.20	0.17	0.00	0.17	90.0	0.15
01/06/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	17.20	0.17	0.00	0.17	90.0	0.15
01/06/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	29.28	0.29	0.00	0.29	90.0	0.26
01/06/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	29.28	0.29	0.00	0.29	90.0	0.26
01/06/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	63.38	0.63	0.00	0.63	90.0	0.57
01/06/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	63.38	0.63	0.00	0.63	90.0	0.57
01/06/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	18.06	0.18	0.00	0.18	90.0	0.16
01/06/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	18.06	0.18	0.00	0.18	90.0	0.16
01/06/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	42.19	0.42	0.00	0.42	90.0	0.38
01/06/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	42.19	0.42	0.00	0.42	90.0	0.38
01/03/2017	WINFREY, LARRY	AM FUNDS ICA A	1,135.83	42.59	0.00	42.59	90.0	38.33
01/03/2017	WINFREY, LARRY	AM FUNDS ICA A	300.00	11.25	0.00	11.25	90.0	10.13
01/03/2017	BAUER, MATTHEW	AM FUNDS ICA A	111.27	4.17	0.00	4.17	90.0	3.75
01/03/2017	BAUER, MATTHEW	AM FUNDS ICA A	611.18	22.92	0.00	22.92	90.0	20.63
01/03/2017	SUMMERS, AARON	AM FUNDS ICA A	710.54	26.65	0.00	26.65	90.0	23.99
01/03/2017	SUMMERS, AARON	AM FUNDS ICA A	81.80	3.07	0.00	3.07	90.0	2.76
01/03/2017	EICHHOLZ, JARED	AM FUNDS ICA A	1,036.54	38.87	0.00	38.87	90.0	34.98
01/03/2017	EICHHOLZ, JARED	AM FUNDS ICA A	278.93	10.46	0.00	10.46	90.0	9.41
01/06/2017	DILLON, EMMA	AM FUNDS ICA A	18.72	0.19	0.00	0.19	90.0	0.17
01/06/2017	DILLON, EMMA	AM FUNDS ICA A	14.04	0.14	0.00	0.14	90.0	0.13
01/06/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	36.00	0.36	0.00	0.36	90.0	0.32
01/06/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	108.00	1.08	0.00	1.08	90.0	0.97

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/06/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	34.61	0.35	0.00	0.35	90.0	0.32
01/06/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	34.61	0.35	0.00	0.35	90.0	0.32
12/27/2016	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	369.24	7.38	0.00	7.38	90.0	6.64
12/27/2016	MO/TOD	AM FUNDS NEW ECONOMY A	7,500.00	150.00	0.00	150.00	90.0	135.00
01/03/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
01/03/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	111.26	4.17	0.00	4.17	90.0	3.75
01/05/2017	MO/TOD	AM FUNDS NEW ECONOMY A	60.00	3.00	0.00	3.00	90.0	2.70
01/06/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.06	0.14	0.00	0.14	90.0	0.13
01/06/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	42.17	0.42	0.00	0.42	90.0	0.38
01/06/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
01/06/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
01/06/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.51	0.37	0.00	0.37	90.0	0.33
01/06/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.50	0.37	0.00	0.37	90.0	0.33
01/06/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.06	0.14	0.00	0.14	90.0	0.13
01/06/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	42.18	0.42	0.00	0.42	90.0	0.38
01/06/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	17.20	0.17	0.00	0.17	90.0	0.15
01/06/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	17.20	0.17	0.00	0.17	90.0	0.15
01/06/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	28.42	0.28	0.00	0.28	90.0	0.25
01/06/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	28.42	0.28	0.00	0.28	90.0	0.25
01/06/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	31.20	0.31	0.00	0.31	90.0	0.28
01/06/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	15.60	0.16	0.00	0.16	90.0	0.14
12/27/2016	CROWLEY, MICHA	AM FUNDS NEW WORLD A	369.23	7.38	0.00	7.38	90.0	6.64
12/27/2016	MO/TOD	AM FUNDS NEW WORLD A	7,500.00	150.00	0.00	150.00	90.0	135.00
01/05/2017	GUIER, CASH	AM FUNDS NEW WORLD A	125.00	2.50	0.00	2.50	90.0	2.25
01/06/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	28.42	0.28	0.00	0.28	90.0	0.25
01/06/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	28.42	0.28	0.00	0.28	90.0	0.25
12/27/2016	MO/TOD	AM FUNDS SMALLCAP WORLD A	7,500.00	150.00	0.00	150.00	90.0	135.00
01/03/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
01/05/2017	GUIER, KNOX	AM FUNDS SMALLCAP WORLD A	100.00	2.00	0.00	2.00	90.0	1.80
01/06/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	64.26	0.64	0.00	0.64	90.0	0.58
01/06/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	64.26	0.64	0.00	0.64	90.0	0.58
01/06/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	69.66	0.70	0.00	0.70	90.0	0.63
01/06/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	232.21	2.32	0.00	2.32	90.0	2.09

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/06/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	22.94	0.23	0.00	0.23	90.0	0.21
01/06/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	22.94	0.23	0.00	0.23	90.0	0.21
01/06/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	18.05	0.18	0.00	0.18	90.0	0.16
01/06/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	18.05	0.18	0.00	0.18	90.0	0.16
01/06/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	15.60	0.16	0.00	0.16	90.0	0.14
01/06/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	31.20	0.31	0.00	0.31	90.0	0.28
01/06/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.42	0.30	0.00	0.30	90.0	0.27
01/06/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.43	0.30	0.00	0.30	90.0	0.27
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	1.82	0.00	1.82	90.0	1.64
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	0.95	0.00	0.95	90.0	0.86
/ /	ANDING, MARY DIANE	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	7.22	0.00	7.22	90.0	6.50
/ /	ANDING, MARY DIANE	FIDELITY ADV GOLD C	0.00	6.44	0.00	6.44	90.0	5.80
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.62	0.00	0.62	90.0	0.56
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.10	0.00	0.10	90.0	0.09
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	8.33	0.00	8.33	90.0	7.50
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.01	0.00	1.01	90.0	0.91
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	6.44	0.00	6.44	90.0	5.80
/ /	ANDING, MARY DIANE	FIDELITY ADV HEALTH CARE C	0.00	12.96	0.00	12.96	90.0	11.66
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.15	0.00	2.15	90.0	1.94
/ /	ANDING, MARY DIANE	FIDELITY ADV INFLATION PROTECTED BD	0.00	40.47	0.00	40.47	90.0	36.42
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	1.33	0.00	1.33	90.0	1.20
/ /	ANDING, MARY DIANE	FIDELITY ADV INT'L REAL ESTATE C	0.00	17.79	0.00	17.79	90.0	16.01
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	3.44	0.00	3.44	90.0	3.10
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	3.82	0.00	3.82	90.0	3.44
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.08	0.00	1.08	90.0	0.97
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	5.67	0.00	5.67	90.0	5.10
01/04/2017	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	75.00	1.50	0.00	1.50	90.0	1.35
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	7.58	0.00	7.58	90.0	6.82
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.57	0.00	2.57	90.0	2.31
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	13.21	0.00	13.21	90.0	11.89
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.10	0.00	4.10	90.0	3.69
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.00	0.00	1.00	90.0	0.90
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	2.71	0.00	2.71	90.0	2.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ANDING, MARY DIANE	FIDELITY ADV REAL ESTATE C	0.00	52.81	0.00	52.81	90.0	47.53
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	6.07	0.00	6.07	90.0	5.46
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.18	0.00	1.18	90.0	1.06
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.58	0.00	0.58	90.0	0.52
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	4.87	0.00	4.87	90.0	4.38
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	9.44	0.00	9.44	90.0	8.50
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.01	0.00	2.01	90.0	1.81
/ /	ANDING, MARY DIANE	FIDELITY ADV STRATEGIC REAL RETURN	0.00	40.43	0.00	40.43	90.0	36.39
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	3.05	0.00	3.05	90.0	2.75
/ /	ANDING, MARY DIANE	FIDELITY ADV UTILITIES C	0.00	54.25	0.00	54.25	90.0	48.83
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	8.34	0.00	8.34	90.0	7.51
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.18	0.00	1.18	90.0	1.06
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.41	0.00	2.41	90.0	2.17
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	5.14	0.00	5.14	90.0	4.63
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.07	0.00	1.07	90.0	0.96
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.50	0.00	0.50	90.0	0.45
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	13.31	0.00	13.31	90.0	11.98
/ /	KAUFMAN, JEFFREY	FIDELITY BALANCED T	0.00	4.32	0.00	4.32	90.0	3.89
/ /	ANDING, MARY DIANE	FIDELITY CANADA C	0.00	8.76	0.00	8.76	90.0	7.88
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.63	0.00	1.63	90.0	1.47
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	5.35	0.00	5.35	90.0	4.82
/ /	ANDING, MARY DIANE	FIDELITY EMERGING EMEA C	0.00	8.23	0.00	8.23	90.0	7.41
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	2.21	0.00	2.21	90.0	1.99
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	1.04	0.00	1.04	90.0	0.94
/ /	ANDING, MARY DIANE	FIDELITY ENERGY C	0.00	8.38	0.00	8.38	90.0	7.54
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	3.01	0.00	3.01	90.0	2.71
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	9.35	0.00	9.35	90.0	8.42
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	3.25	0.00	3.25	90.0	2.93
/ /	ANDING, MARY DIANE	FIDELITY FINANCIAL SERVICES C	0.00	11.68	0.00	11.68	90.0	10.51
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.74	0.00	0.74	90.0	0.67
/ /	KAUFMAN, JEFFREY	FIDELITY HIGH INCOME T	0.00	1.64	0.00	1.64	90.0	1.48
/ /	KAUFMAN, JEFFREY	FIDELITY HIGH INCOME T	0.00	1.39	0.00	1.39	90.0	1.25
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	0.92	0.00	0.92	90.0	0.83

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ANDING, MARY DIANE	FIDELITY LATIN AMERICA C	0.00	5.02	0.00	5.02	90.0	4.52
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.46	0.00	0.46	90.0	0.41
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	8.05	0.00	8.05	90.0	7.25
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	8.74	0.00	8.74	90.0	7.87
/ /	ANDING, MARY DIANE	FIDELITY STRATEGIC DIV & INCOME C	0.00	53.62	0.00	53.62	90.0	48.26
/ /	RICHARDSON, BOBBY	FIDELITY ADVISOR JAPAN-CL T	0.00	0.68	0.00	0.68	90.0	0.61
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	15.17	0.00	15.17	90.0	13.65
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	16.68	0.00	16.68	90.0	15.01
/ /	CHADWICK, MARY	OPPENHEIMER CAPITAL INCOME A	0.00	88.91	0.00	88.91	90.0	80.02
/ /	CHADWICK, MARY	OPPENHEIMER CAPITAL INCOME A	0.00	6.62	0.00	6.62	90.0	5.96
/ /	CHADWICK, MARY	OPPENHEIMER LIMITED TERM MUNI A	0.00	20.40	0.00	20.40	90.0	18.36
/ /	CHADWICK, MARY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	34.35	0.00	34.35	90.0	30.92
/ /	KAUFMAN, JEFFREY	OPPENHEIMER VALUE A	0.00	20.82	0.00	20.82	90.0	18.74
* MUTUAL FUNDS SUBTOTAL *			\$59,875.01	\$1,990.79	\$0.00	\$1,990.79		\$1,791.79
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/30/2016	OGLESBY, WILLIAM	ALLIANZ ALTERITY OPTIONS	93,303.90	233.26	0.00	233.26	90.0	209.93
12/30/2016	OGLESBY, WILLIAM	ALLIANZ HIGH FIVE TRADITIONAL	154,605.80	193.26	0.00	193.26	90.0	173.93
12/30/2016	SHIKLES, IRENE	ALLIANZ HIGH FIVE TRADITIONAL	35,168.77	43.96	0.00	43.96	90.0	39.56
12/30/2016	LEE, HOWARD	ALLIANZ VISION	57,827.94	72.28	0.00	72.28	90.0	65.05
12/31/2016	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	11,459.21	9.55	0.00	9.55	90.0	8.60
12/31/2016	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	110,551.64	46.06	0.00	46.06	90.0	41.45
12/31/2016	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	223,659.17	93.19	0.00	93.19	90.0	83.87
12/31/2016	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	184,452.61	76.86	0.00	76.86	90.0	69.17
12/31/2016	GUIER, CARROL	JNL PERSPECTIVE II 04/14	21,785.96	9.08	0.00	9.08	90.0	8.17
12/31/2016	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	69,506.11	28.96	0.00	28.96	90.0	26.06
12/31/2016	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	26,462.25	11.03	0.00	11.03	90.0	9.93
12/31/2016	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	140,146.39	58.39	0.00	58.39	90.0	52.55
12/31/2016	OSSMAN, ED	JNL PERSPECTIVE II 05/05	53,206.34	22.17	0.00	22.17	90.0	19.95
12/31/2016	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	24,884.69	10.37	0.00	10.37	90.0	9.33
12/31/2016	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	143,683.31	59.87	0.00	59.87	90.0	53.88
12/31/2016	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	85,189.60	35.50	0.00	35.50	90.0	31.95
12/31/2016	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	120,041.92	50.02	0.00	50.02	90.0	45.02
12/31/2016	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	299,154.36	124.65	0.00	124.65	90.0	112.19

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	254,812.12	106.17	0.00	106.17	90.0	95.55
12/29/2016	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	10,428.55	8.71	0.00	8.71	90.0	7.84
12/29/2016	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	106,647.30	88.87	0.00	88.87	90.0	79.98
12/29/2016	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	26,429.56	22.01	0.00	22.01	90.0	19.81
12/29/2016	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	93,012.45	77.52	0.00	77.52	90.0	69.77
12/29/2016	DOWNS, JAMES	SBL ADVISORDESIGNS VA	37,643.91	31.37	0.00	31.37	90.0	28.23
12/29/2016	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	88,294.08	73.57	0.00	73.57	90.0	66.21
12/29/2016	LEE, HOWARD	SBL SECUREDESIGNS VA	235,063.33	48.99	0.00	48.99	90.0	44.09
* VARIABLE ANNUITIES SUBTOTAL *			\$2,707,421.27	\$1,635.67	\$0.00	\$1,635.67		\$1,472.07
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
12/19/2016	HALL, ELLEN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
12/19/2016	GRIFFITH, CHERYL	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
12/19/2016	MCNERNEY, DAVID	PAC LIFE VUL	1,000.00	20.00	0.00	20.00	90.0	18.00
12/20/2016	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
12/21/2016	HALL, ELLEN	PAC LIFE VUL	0.00	37.43	0.00	37.43	90.0	33.69
12/21/2016	GAMM, SKYLAR	PAC LIFE VUL	7.37	7.37	0.00	7.37	90.0	6.63
12/21/2016	GAMM, SKYLAR	PAC LIFE VUL	417.63	104.41	0.00	104.41	90.0	93.97
12/22/2016	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
12/23/2016	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
12/23/2016	PATTISON, CHRISTINE	PAC LIFE VUL	0.00	19.95	0.00	19.95	90.0	17.96
12/27/2016	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
12/27/2016	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
12/27/2016	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
12/27/2016	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
12/27/2016	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	68.07	0.00	68.07	90.0	61.26
12/27/2016	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
12/27/2016	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
* LIFE INSURANCE SUBTOTAL *			\$2,390.92	\$278.79	\$0.00	\$278.79		\$250.91
*** BROKER TRANSACTIONS TOTAL ***			\$2,769,687.20	\$3,905.25	\$0.00	\$3,905.25		\$3,514.77

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
01/06/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	18.45	0.10	0.00	0.10	90.0	0.09
01/06/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	18.45	0.10	0.00	0.10	90.0	0.09
01/06/2017	WAMPLER, JESSICA	AM FUNDS AMERICAN BALANCED A	19.20	0.10	0.00	0.10	90.0	0.09
01/06/2017	WAMPLER, JESSICA	AM FUNDS AMERICAN BALANCED A	19.20	0.10	0.00	0.10	90.0	0.09
12/27/2016	JOHNSON, KASEY	AM FUNDS GROWTH FUND OF AMERICA A	250.00	6.87	0.00	6.87	90.0	6.18
12/27/2016	PRICE, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	250.00	6.87	0.00	6.87	90.0	6.18
01/06/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	21.60	0.12	0.00	0.12	90.0	0.11
01/06/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	16.20	0.09	0.00	0.09	90.0	0.08
01/06/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	36.90	0.20	0.00	0.20	90.0	0.18
01/06/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	36.90	0.20	0.00	0.20	90.0	0.18
01/06/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	10.90	0.06	0.00	0.06	90.0	0.05
01/06/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	10.90	0.06	0.00	0.06	90.0	0.05
01/06/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	2.16	0.01	0.00	0.01	90.0	0.01
01/06/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	2.16	0.01	0.00	0.01	90.0	0.01
01/06/2017	MCMILLIAN, KATY	AM FUNDS GROWTH FUND OF AMERICA A	59.70	0.33	0.00	0.33	90.0	0.30
01/06/2017	MCMILLIAN, KATY	AM FUNDS GROWTH FUND OF AMERICA A	59.70	0.33	0.00	0.33	90.0	0.30
01/06/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	24.68	0.14	0.00	0.14	90.0	0.13
01/06/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	24.69	0.14	0.00	0.14	90.0	0.13
01/06/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.42	0.07	0.00	0.07	90.0	0.06
01/06/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.42	0.07	0.00	0.07	90.0	0.06
01/06/2017	WAHLIG, KACEY	AM FUNDS ICA A	18.45	0.10	0.00	0.10	90.0	0.09
01/06/2017	WAHLIG, KACEY	AM FUNDS ICA A	18.45	0.10	0.00	0.10	90.0	0.09
01/06/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.00	0.10	0.00	0.10	90.0	0.09
01/06/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.00	0.10	0.00	0.10	90.0	0.09
01/06/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	21.60	0.12	0.00	0.12	90.0	0.11
01/06/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	16.20	0.09	0.00	0.09	90.0	0.08
01/06/2017	WAMPLER, JESSICA	AM FUNDS SMALLCAP WORLD A	19.20	0.10	0.00	0.10	90.0	0.09
01/06/2017	WAMPLER, JESSICA	AM FUNDS SMALLCAP WORLD A	19.20	0.10	0.00	0.10	90.0	0.09
01/06/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.00	0.10	0.00	0.10	90.0	0.09
01/06/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.00	0.10	0.00	0.10	90.0	0.09
01/06/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	24.69	0.14	0.00	0.14	90.0	0.13
01/06/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	24.68	0.14	0.00	0.14	90.0	0.13
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$1,141.10	\$17.26	\$0.00	\$17.26		\$15.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
*** SPLIT TRANSACTIONS TOTAL ***			\$1,141.10	\$17.26	\$0.00	\$17.26		\$15.54
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JASON KEMBLE #348 </u>								
12/30/2016	DANIELS, CLINTON	AM FUNDS AMERICAN BALANCED A	5,000.00	250.00	0.00	250.00	90.0	100.00
12/30/2016	DANIELS, CLINTON	AM FUNDS AMERICAN BALANCED C	4,500.00	45.00	0.00	45.00	90.0	18.00
12/30/2016	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	1,250.00	62.50	0.00	62.50	90.0	25.00
12/30/2016	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	1,250.00	62.50	0.00	62.50	90.0	25.00
* JASON KEMBLE SUBTOTAL *			\$12,000.00	\$420.00	\$0.00	\$420.00		\$168.00
*** OVERRIDE TRANSACTIONS TOTAL ***			\$12,000.00	\$420.00	\$0.00	\$420.00		\$168.00
<u> ADJUSTMENTS </u>								
01/17/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
01/17/2017		*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00					-100.00
01/17/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-675.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$3,514.77
Split Transactions	\$15.54
Override Transactions	\$168.00
Adjustments	\$-675.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,023.31
Year-to-date Gross	\$3,643.72
Year-to-date Earnings	\$3,698.31