



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2017

03/14/2017
 Page No. 1

101 CFGROUP/KOSANKE
 1120 E. Long Lake Road
 Suite 250
 Troy, MI 48085

BROKER #: 101
 BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
02/27/2017	ORTAGO, PAULA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	30.87	0.00	30.87	95.0	29.33
02/27/2017	MCKENZIE TRUST, ROBERT & DONNA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.45	0.00	2.45	95.0	2.33
02/27/2017	KOPCZYK TRUST, LAWRENCE & PATR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.56	0.00	1.56	95.0	1.48
02/27/2017	MODRYCKI, MARGUERITE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.07	0.00	0.07	95.0	0.07
02/27/2017	MODRYCKI, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.08	0.00	0.08	95.0	0.08
02/28/2017	HARWOOD, SHARON	GRIFFIN INST ACCESS R E FUND C	25,000.00	250.00	0.00	250.00	95.0	237.50
03/02/2017	BADALAMENT, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	87,349.00	873.49	0.00	873.49	95.0	829.82
* INTERVAL FUNDS SUBTOTAL *			\$112,349.00	\$1,158.52	\$0.00	\$1,158.52		\$1,100.61
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
03/01/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	0.00	1.88	0.00	1.88	95.0	1.79
03/02/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	504.00	25.20	0.00	25.20	95.0	23.94
03/01/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	0.00	1.93	0.00	1.93	95.0	1.83
03/02/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	504.00	25.20	0.00	25.20	95.0	23.94
03/01/2017	BROSHEAR, KARA	AM FUNDS 2040 TARGET DATE-A	0.00	0.79	0.00	0.79	95.0	0.75
03/01/2017	HIGGINS, JAMES	AM FUNDS AMCAP 529A	0.00	13.43	0.00	13.43	95.0	12.76
03/01/2017	BOWEN, ED	AM FUNDS AMCAP 529A	0.00	0.84	0.00	0.84	95.0	0.80
02/27/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	PHILLIPS, RANDALL	AM FUNDS AMCAP A	0.00	13.04	0.00	13.04	95.0	12.39
03/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	0.00	7.56	0.00	7.56	95.0	7.18
03/01/2017	PARDEE, LORRAINE	AM FUNDS AMCAP A	0.00	1.85	0.00	1.85	95.0	1.76
03/01/2017	JONES, GERALD	AM FUNDS AMCAP A	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	RICE, BRYEN	AM FUNDS AMCAP A	0.00	0.06	0.00	0.06	95.0	0.06
03/01/2017	WATERMAN, MICHAEL	AM FUNDS AMCAP A	0.00	8.58	0.00	8.58	95.0	8.15
03/01/2017	ALVEY, CODY	AM FUNDS AMCAP A	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS AMCAP A	0.00	3.15	0.00	3.15	95.0	2.99

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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>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	STILLWELL, ERIK	AM FUNDS AMCAP A	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2017	BLAYLOCK, JENNIFER	AM FUNDS AMCAP A	0.00	0.54	0.00	0.54	95.0	0.51
03/01/2017	GINGELL, JANET	AM FUNDS AMCAP A	0.00	37.39	0.00	37.39	95.0	35.52
03/01/2017	BULAS, JAMES	AM FUNDS AMCAP A	0.00	1.19	0.00	1.19	95.0	1.13
03/01/2017	ARMSTRONG, ROBERT	AM FUNDS AMERICAN BALANCED 529A	0.00	1.09	0.00	1.09	95.0	1.04
03/01/2017	BOWEN, ED	AM FUNDS AMERICAN BALANCED 529A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN BALANCED A	0.00	1.14	0.00	1.14	95.0	1.08
03/01/2017	SHALDA, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	7.54	0.00	7.54	95.0	7.16
03/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	20.50	0.00	20.50	95.0	19.48
03/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	8.82	0.00	8.82	95.0	8.38
03/01/2017	MOELLER, STEVE	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	95.0	0.22
03/01/2017	RAYMER, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	9.60	0.00	9.60	95.0	9.12
03/01/2017	TREINEN, MATT	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	95.0	1.67
03/01/2017	VELAYUDHAN, NALINI	AM FUNDS AMERICAN BALANCED A	0.00	2.20	0.00	2.20	95.0	2.09
03/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.72	0.00	1.72	95.0	1.63
03/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.19	0.00	1.19	95.0	1.13
03/02/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	302.40	15.12	0.00	15.12	95.0	14.36
03/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED B	0.00	0.28	0.00	0.28	95.0	0.27
03/01/2017	CYRULEWSKI, JIM	AM FUNDS AMERICAN BALANCED C	0.00	12.57	0.00	12.57	95.0	11.94
03/01/2017	BLANKENSHIP, JANET	AM FUNDS AMERICAN BALANCED C	0.00	20.70	0.00	20.70	95.0	19.67
03/01/2017	KEELER, DAVID	AM FUNDS AMERICAN BALANCED C	0.00	129.74	0.00	129.74	95.0	123.25
03/01/2017	KOSANKE, MARK	AM FUNDS AMERICAN BALANCED C	0.00	26.53	0.00	26.53	95.0	25.20
03/01/2017	KISH, VIVIAN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	93.64	0.00	93.64	95.0	88.96
03/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.93	0.00	5.93	95.0	5.63
03/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.78	0.00	14.78	95.0	14.04
03/01/2017	FINK, MARGARET	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	27.25	0.00	27.25	95.0	25.89
03/01/2017	ILICH, NORMA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.22	0.00	8.22	95.0	7.81
03/01/2017	KRAUSE, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	77.49	0.00	77.49	95.0	73.62
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2017	FUGARO, SOPHIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.93	0.00	6.93	95.0	6.58
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.44	0.00	0.44	95.0	0.42
03/01/2017	BERNARDI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	12.79	0.00	12.79	95.0	12.15
03/01/2017	GRAVES, ANNE	AM FUNDS AMERICAN MUTUAL A	0.00	57.17	0.00	57.17	95.0	54.31

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN MUTUAL A	0.00	0.66	0.00	0.66	95.0	0.63
03/01/2017	HAVLIK, BRIAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2017	FELTY, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2017	WOJTKOWSKI, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.30	0.00	4.30	95.0	4.09
03/01/2017	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	25.55	0.00	25.55	95.0	24.27
03/01/2017	ROGERS, THOMAS	AM FUNDS AMERICAN MUTUAL A	0.00	9.08	0.00	9.08	95.0	8.63
03/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	0.00	1.20	0.00	1.20	95.0	1.14
03/01/2017	BUSARSKY, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	200.25	0.00	200.25	95.0	190.24
03/02/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	302.40	15.12	0.00	15.12	95.0	14.36
03/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2017	ARMSTRONG, ROBERT	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.57	0.00	0.57	95.0	0.54
03/01/2017	BOWEN, ED	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.84	0.00	0.84	95.0	0.80
03/01/2017	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	0.00	5.06	0.00	5.06	95.0	4.81
03/01/2017	BERNARDI, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	2.32	0.00	2.32	95.0	2.20
03/01/2017	FINK, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	47.74	0.00	47.74	95.0	45.35
03/01/2017	MANNING, ELSIE	AM FUNDS BOND FUND OF AMERICA A	0.00	13.71	0.00	13.71	95.0	13.02
03/01/2017	RILEY, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2017	SALES, THOMAS	AM FUNDS BOND FUND OF AMERICA A	0.00	13.01	0.00	13.01	95.0	12.36
03/01/2017	CYRULEWSKI, JIM	AM FUNDS BOND FUND OF AMERICA C	0.00	8.72	0.00	8.72	95.0	8.28
03/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.51	0.00	1.51	95.0	1.43
03/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.43	0.00	1.43	95.0	1.36
03/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.73	0.00	2.73	95.0	2.59
03/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.06	0.00	5.06	95.0	4.81
03/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.85	0.00	8.85	95.0	8.41
03/01/2017	BARNETT, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.16	0.00	0.16	95.0	0.15
03/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.38	0.00	0.38	95.0	0.36
03/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.67	0.00	0.67	95.0	0.64
03/01/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2017	LONG, SARAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.05	0.00	0.05	95.0	0.05
03/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	62.60	0.00	62.60	95.0	59.47

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	75.30	0.00	75.30	95.0	71.54
03/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.18	0.00	1.18	95.0	1.12
02/23/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
02/23/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
03/01/2017	BALAEV, ALEXANDER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.76	0.00	0.76	95.0	0.72
03/01/2017	FROMM, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
03/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.66	0.00	12.66	95.0	12.03
03/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.77	0.00	12.77	95.0	12.13
03/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.68	0.00	2.68	95.0	2.55
03/01/2017	TREINEN, MATT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.67	0.00	1.67	95.0	1.59
03/01/2017	VELAYUDHAN, NALINI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	95.0	1.23
03/01/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.52	0.00	6.52	95.0	6.19
03/01/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.08	0.00	1.08	95.0	1.03
03/01/2017	LUMETTA, AMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	44.56	0.00	44.56	95.0	42.33
03/01/2017	MARTIN, ELENA MARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	MARTIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	MARTIN, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	MEDAUGH, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	MEDAUGH, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	STEBBINS, JANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.56	0.00	2.56	95.0	2.43
03/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.86	0.00	21.86	95.0	20.77
03/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	95.0	0.24
03/01/2017	SALES, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.06	0.00	20.06	95.0	19.06
03/01/2017	JONES, NEVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.76	0.00	18.76	95.0	17.82
03/01/2017	WEST TRUST, NORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.83	0.00	8.83	95.0	8.39
03/01/2017	WHITEFOOT, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	18.83	0.00	18.83	95.0	17.89
03/01/2017	MERRITT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.84	0.00	7.84	95.0	7.45
03/01/2017	KNIGHT, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	34.78	0.00	34.78	95.0	33.04
03/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.92	0.00	1.92	95.0	1.82
03/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.92	0.00	1.92	95.0	1.82
03/01/2017	MERREN, DANELL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	36.51	0.00	36.51	95.0	34.68
03/01/2017	ROGERS, DONNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	36.38	0.00	36.38	95.0	34.56
02/27/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/27/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61
03/01/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	0.00	5.20	0.00	5.20	95.0	4.94
03/01/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	0.00	5.20	0.00	5.20	95.0	4.94
03/01/2017	LONG, SARAH	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.20	0.00	0.20	95.0	0.19
02/27/2017	LUMETTA, AMY	AM FUNDS CAPITAL WORLD BOND A	100.00	2.75	0.00	2.75	95.0	2.61
03/01/2017	LUMETTA, AMY	AM FUNDS CAPITAL WORLD BOND A	0.00	4.46	0.00	4.46	95.0	4.24
03/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD BOND C	0.00	12.81	0.00	12.81	95.0	12.17
03/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD BOND C	0.00	80.74	0.00	80.74	95.0	76.70
02/23/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	10.02	0.00	10.02	95.0	9.52
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.32	0.00	1.32	95.0	1.25
03/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.07	0.00	3.07	95.0	2.92
03/01/2017	GALINETTI, JULIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.05	0.00	0.05	95.0	0.05
03/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	8.94	0.00	8.94	95.0	8.49
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.40	0.00	1.40	95.0	1.33
03/01/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.94	0.00	3.94	95.0	3.74
03/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.53	0.00	6.53	95.0	6.20
03/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	18.53	0.00	18.53	95.0	17.60
03/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	18.25	0.00	18.25	95.0	17.34
03/01/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.96	0.00	3.96	95.0	3.76
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.47	0.00	0.47	95.0	0.45
03/01/2017	ALEX, ADELINE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	8.31	0.00	8.31	95.0	7.89
03/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	18.25	0.00	18.25	95.0	17.34
03/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.96	0.00	1.96	95.0	1.86
03/01/2017	ODELL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.22	0.00	22.22	95.0	21.11
03/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	145.88	0.00	145.88	95.0	138.59
03/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.00	0.00	21.00	95.0	19.95
03/01/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.65	0.00	21.65	95.0	20.57
03/01/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	95.0	0.65

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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>								
03/01/2017	VARTABEDIAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.92	0.00	28.92	95.0	27.47
03/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.51	0.00	23.51	95.0	22.33
03/01/2017	MERKLE, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.65	0.00	11.65	95.0	11.07
03/01/2017	CHARLES, JOEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	95.0	1.27
03/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.01	0.00	13.01	95.0	12.36
03/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	74.02	0.00	74.02	95.0	70.32
03/01/2017	JONES, MEREK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	95.0	1.29
03/01/2017	MANSOUR, EVA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.95	0.00	11.95	95.0	11.35
03/01/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.38	0.00	3.38	95.0	3.21
03/01/2017	STILLWELL, LYNNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	95.0	0.56
03/01/2017	ZOGRAFOS, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.89	0.00	3.89	95.0	3.70
03/01/2017	DELISLE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.62	0.00	0.62	95.0	0.59
03/01/2017	BOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	95.0	1.12
03/01/2017	DILL, JAKOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.16	0.00	0.16	95.0	0.15
03/01/2017	PARDEE, CRAIG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.41	0.00	19.41	95.0	18.44
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	95.0	2.30
03/01/2017	STILLWELL, ERIK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.80	0.00	5.80	95.0	5.51
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.14	0.00	7.14	95.0	6.78
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.75	0.00	4.75	95.0	4.51
03/01/2017	GAULKE, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.78	0.00	0.78	95.0	0.74
03/01/2017	KARGULA, CURT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	95.0	2.78
03/01/2017	BLAYLOCK, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2017	BUTTY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.72	0.00	19.72	95.0	18.73
03/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.56	0.00	3.56	95.0	3.38
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.56	0.00	3.56	95.0	3.38
03/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.01	0.00	10.01	95.0	9.51
03/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.19	0.00	6.19	95.0	5.88
03/01/2017	CHASSE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.76	0.00	4.76	95.0	4.52
03/01/2017	BROWNING, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2017	TSOUKALAS, IOANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	95.0	0.39

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HIGEL, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.14	0.00	0.14	95.0	0.13
03/01/2017	SHEPHERD, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2017	HIGEL, LOIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.04	0.00	6.04	95.0	5.74
03/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.79	0.00	0.79	95.0	0.75
03/01/2017	BENDER, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	PER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	95.0	0.10
03/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.68	0.00	2.68	95.0	2.55
03/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.10	0.00	11.10	95.0	10.55
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.22	0.00	6.22	95.0	5.91
03/01/2017	RILEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.70	0.00	2.70	95.0	2.57
03/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.87	0.00	0.87	95.0	0.83
03/01/2017	SIEDLAK, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.06	0.00	10.06	95.0	9.56
03/01/2017	SIEDLAK, LESLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.84	0.00	2.84	95.0	2.70
03/01/2017	KRAUSE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.76	0.00	6.76	95.0	6.42
03/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.70	0.00	23.70	95.0	22.52
03/01/2017	SCHUBA, LAWRENCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	95.0	1.03
03/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	95.0	0.27
03/01/2017	SALES, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.53	0.00	22.53	95.0	21.40
03/01/2017	KLEIN TRUST, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	82.60	0.00	82.60	95.0	78.47
03/01/2017	FISK, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	69.74	0.00	69.74	95.0	66.25
03/01/2017	KRAUSE, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	124.80	0.00	124.80	95.0	118.56
03/01/2017	RICE, BRYEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	95.0	0.07
03/01/2017	HABERMAN, IAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.72	0.00	19.72	95.0	18.73
03/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	CYRULEWSKI, JIM	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	9.58	0.00	9.58	95.0	9.10
03/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	27.98	0.00	27.98	95.0	26.58
03/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	177.08	0.00	177.08	95.0	168.23
03/01/2017	KOSANKE, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	36.80	0.00	36.80	95.0	34.96
02/21/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	67.00	3.35	0.00	3.35	95.0	3.18
03/01/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.94	0.00	0.94	95.0	0.89
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.15	0.00	1.15	95.0	1.09
03/01/2017	LUMETTA, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	RICHARDS, COLE	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.39	0.00	0.39	95.0	0.37

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.41	0.00	3.41	95.0	3.24
03/01/2017	ALVEY, SHERRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.47	0.00	0.47	95.0	0.45
03/01/2017	PARDEE, LORRAINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.28	0.00	1.28	95.0	1.22
03/01/2017	WASHINGTON, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.14	0.00	0.14	95.0	0.13
03/01/2017	TAYLOR, GORDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2017	TAYLOR, ALLAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2017	JONES, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.99	0.00	0.99	95.0	0.94
03/01/2017	ALVEY, CODY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.29	0.00	4.29	95.0	4.08
03/01/2017	ALVEY, BRETT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.28	0.00	6.28	95.0	5.97
03/01/2017	KENDZIERSKI, JENNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.00	0.00	1.00	95.0	0.95
03/01/2017	GRECH, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.02	0.00	11.02	95.0	10.47
03/01/2017	NANAS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.76	0.00	0.76	95.0	0.72
03/01/2017	STILLWELL, LYNNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	DELISLE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.54	0.00	0.54	95.0	0.51
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.78	0.00	1.78	95.0	1.69
03/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.64	0.00	1.64	95.0	1.56
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.04	0.00	2.04	95.0	1.94
03/01/2017	STILLWELL, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.66	0.00	3.66	95.0	3.48
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.82	0.00	4.82	95.0	4.58
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.16	0.00	4.16	95.0	3.95
03/01/2017	KARGULA, CURT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.65	0.00	1.65	95.0	1.57
03/01/2017	BLAYLOCK, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2017	BUTTY, NANCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.64	0.00	14.64	95.0	13.91
03/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.02	0.00	3.02	95.0	2.87
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.02	0.00	3.02	95.0	2.87
03/01/2017	GINGELL, JANET	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	59.07	0.00	59.07	95.0	56.12
03/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.49	0.00	8.49	95.0	8.07
03/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.33	0.00	5.33	95.0	5.06
03/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2017	TSOUKALAS, IOANNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.35	0.00	0.35	95.0	0.33

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	LUMETTA, AMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	95.0	0.14
03/01/2017	HIGEL, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.27	0.00	2.27	95.0	2.16
03/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2017	BENDER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	PER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	95.0	0.09
03/01/2017	NATHAN, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.85	0.00	0.85	95.0	0.81
03/01/2017	DILL, MADELINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.90	0.00	14.90	95.0	14.16
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.04	0.00	17.04	95.0	16.19
03/01/2017	RILEY, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.78	0.00	0.78	95.0	0.74
03/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.30	0.00	19.30	95.0	18.34
03/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2017	BOWEN, ED	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.97	0.00	0.97	95.0	0.92
03/01/2017	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	8.43	0.00	8.43	95.0	8.01
03/01/2017	ADAMS, JACKSON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.42	0.00	1.42	95.0	1.35
03/01/2017	HOLT, DEBBIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	56.86	0.00	56.86	95.0	54.02
03/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2017	HAMER, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2017	BURGESS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.88	0.00	2.88	95.0	2.74
03/01/2017	ZECH, DONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.57	0.00	11.57	95.0	10.99
03/01/2017	JONES, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2017	SIMON, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	95.0	0.45
03/01/2017	HEGEL, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.32	0.00	10.32	95.0	9.80
03/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.23	0.00	7.23	95.0	6.87
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.88	0.00	8.88	95.0	8.44
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.70	0.00	2.70	95.0	2.57
03/01/2017	KARGULA, CURT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.43	0.00	2.43	95.0	2.31
03/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.18	0.00	4.18	95.0	3.97
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.18	0.00	4.18	95.0	3.97
03/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.82	0.00	11.82	95.0	11.23
03/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.63	0.00	7.63	95.0	7.25
03/01/2017	TSOUKALAS, IOANNIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	95.0	0.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	22.05	0.00	22.05	95.0	20.95
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	24.20	0.00	24.20	95.0	22.99
03/01/2017	SALES, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.28	0.00	38.28	95.0	36.37
03/01/2017	RICE, BRYEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2017	KOSANKE, MARK	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	188.79	0.00	188.79	95.0	179.35
03/01/2017	WHITEFOOT, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	20.63	0.00	20.63	95.0	19.60
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
03/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.66	0.00	0.66	95.0	0.63
03/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.94	0.00	1.94	95.0	1.84
03/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.98	0.00	1.98	95.0	1.88
03/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	15.13	0.00	15.13	95.0	14.37
03/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.82	0.00	11.82	95.0	11.23
03/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.61	0.00	3.61	95.0	3.43
03/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.23	0.00	0.23	95.0	0.22
03/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.69	0.00	0.69	95.0	0.66
03/01/2017	GALINETTI, JULIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.06	0.00	0.06	95.0	0.06
03/01/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.71	0.00	6.71	95.0	6.37
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.69	0.00	6.69	95.0	6.36
03/01/2017	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.52	0.00	8.52	95.0	8.09
03/01/2017	RICHARDS, COLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.51	0.00	0.51	95.0	0.48
03/01/2017	KOUZA, SOPHIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.99	0.00	4.99	95.0	4.74
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.32	0.00	3.32	95.0	3.15
03/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.54	0.00	5.54	95.0	5.26
03/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.05	0.00	1.05	95.0	1.00
03/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.30	0.00	1.30	95.0	1.24
03/01/2017	ADAMS, JACKSON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
03/01/2017	BRINKER/BENE, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2017	MAKI, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.44	0.00	2.44	95.0	2.32
03/01/2017	HOLT, DEBBIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	61.36	0.00	61.36	95.0	58.29

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.56	0.00	41.56	95.0	39.48
03/01/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2017	VOGLER, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.01	0.00	3.01	95.0	2.86
03/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.85	0.00	2.85	95.0	2.71
03/01/2017	PARDEE, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.33	0.00	2.33	95.0	2.21
03/01/2017	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.38	0.00	16.38	95.0	15.56
03/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.32	0.00	4.32	95.0	4.10
03/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	95.0	4.54
03/01/2017	BRAINER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	BRINKER, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	BRINKER, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	URBANIAK, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	47.89	0.00	47.89	95.0	45.50
03/01/2017	GILLETTE, BETTYANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.03	0.00	2.03	95.0	1.93
03/01/2017	NICOLOSI, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.72	0.00	10.72	95.0	10.18
03/01/2017	RICE, BRYEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	95.0	1.32
03/01/2017	REDDEN, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.11	0.00	22.11	95.0	21.00
03/01/2017	SHIELDS, E PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.09	0.00	5.09	95.0	4.84
03/01/2017	DAUGHERTY, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	95.0	1.26
03/01/2017	VOGLER, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.90	0.00	6.90	95.0	6.56
03/01/2017	LAQUE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.01	0.00	3.01	95.0	2.86
03/01/2017	MERKLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	95.0	1.24
03/01/2017	MERKLE, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	95.0	1.24
03/01/2017	SHALDA, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.80	0.00	25.80	95.0	24.51
03/01/2017	MILLER-TAMM/AUTH PER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.48	0.00	7.48	95.0	7.11
03/01/2017	VANDERMEER, BRYON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.76	0.00	33.76	95.0	32.07
03/01/2017	SIMON, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.59	0.00	6.59	95.0	6.26
03/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.34	0.00	2.34	95.0	2.22
03/01/2017	NIKOLLAU, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.54	0.00	16.54	95.0	15.71
03/01/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.09	0.00	28.09	95.0	26.69
03/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.68	0.00	2.68	95.0	2.55
03/01/2017	ROSE TRUST, LAVERNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	52.57	0.00	52.57	95.0	49.94
03/01/2017	VOGLER, BREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.19	0.00	9.19	95.0	8.73

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KUCHAREK, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.11	0.00	10.11	95.0	9.60
03/01/2017	VOGLER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.59	0.00	7.59	95.0	7.21
03/01/2017	STARKEY, RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	95.0	2.85
03/01/2017	ALVEY, BRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.26	0.00	2.26	95.0	2.15
03/01/2017	BENNETT, JEFFERY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	95.0	0.30
03/01/2017	GEE, JACKSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	95.0	0.68
03/01/2017	GEE, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.24	0.00	2.24	95.0	2.13
03/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.17	0.00	2.17	95.0	2.06
03/01/2017	RYAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.62	0.00	6.62	95.0	6.29
03/01/2017	VOGLER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.01	0.00	6.01	95.0	5.71
03/01/2017	VOGLER, ANNA RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.01	0.00	6.01	95.0	5.71
03/01/2017	BOZA, VICTOR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	PARDEE, CRAIG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.12	0.00	25.12	95.0	23.86
03/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.55	0.00	5.55	95.0	5.27
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.18	0.00	7.18	95.0	6.82
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.02	0.00	6.02	95.0	5.72
03/01/2017	GAULKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2017	RACHEL, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	95.0	1.02
03/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.59	0.00	4.59	95.0	4.36
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.59	0.00	4.59	95.0	4.36
03/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.94	0.00	12.94	95.0	12.29
03/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.69	0.00	7.69	95.0	7.31
03/01/2017	BROWNING, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	95.0	0.15
03/01/2017	TSOUKALAS, IOANNIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2017	BENNETT, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	95.0	0.81
03/01/2017	LUMETTA, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	95.0	0.03
03/01/2017	CARSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	95.0	0.69
03/01/2017	MARBLEY, SHEILA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2017	NATHAN, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	95.0	1.17
03/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.37	0.00	14.37	95.0	13.65
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.73	0.00	7.73	95.0	7.34
03/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.23	0.00	31.23	95.0	29.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	95.0	0.28
03/01/2017	SALES, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	48.42	0.00	48.42	95.0	46.00
03/01/2017	TROGAN/BENE, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	67.49	0.00	67.49	95.0	64.12
02/27/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
03/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	39.55	0.00	39.55	95.0	37.57
03/01/2017	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.22	0.00	12.22	95.0	11.61
03/01/2017	PETERSON, ALEXA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2017	PETERSON, TREY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2017	CYRULEWSKI, JIM	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.67	0.00	12.67	95.0	12.04
03/01/2017	BLANKENSHIP, JANET	AM FUNDS GROWTH FUND OF AMERICA C	0.00	26.21	0.00	26.21	95.0	24.90
03/01/2017	KEELER, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	167.81	0.00	167.81	95.0	159.42
03/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	48.62	0.00	48.62	95.0	46.19
03/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	213.69	0.00	213.69	95.0	203.01
03/01/2017	WHITEFOOT, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.50	0.00	15.50	95.0	14.73
03/01/2017	SCHNEIDER, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.06	0.00	8.06	95.0	7.66
03/01/2017	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.01	0.00	3.01	95.0	2.86
03/01/2017	WOJDYNSKI, ROSE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.28	0.00	19.28	95.0	18.32
03/03/2017	UNTIL AGE 18, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA C	250.00	2.50	0.00	2.50	95.0	2.38
03/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.70	0.00	3.70	95.0	3.52
03/01/2017	BOWEN, ED	AM FUNDS HIGH INCOME TRUST 529A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	MARCOLA, ETHAN	AM FUNDS ICA 529A	0.00	0.87	0.00	0.87	95.0	0.83
03/01/2017	BOWEN, ED	AM FUNDS ICA 529A	0.00	0.59	0.00	0.59	95.0	0.56
03/01/2017	MIHELICH, DARLENE	AM FUNDS ICA 529A	0.00	4.75	0.00	4.75	95.0	4.51
03/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	22.16	0.00	22.16	95.0	21.05
03/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	22.06	0.00	22.06	95.0	20.96
03/01/2017	LONG, SARAH	AM FUNDS ICA 529A	0.00	0.97	0.00	0.97	95.0	0.92
03/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	22.05	0.00	22.05	95.0	20.95
02/28/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
03/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
03/01/2017	MCVAY, JOHN	AM FUNDS ICA A	0.00	9.49	0.00	9.49	95.0	9.02
03/01/2017	BREIDENSTEIN, CHARLES	AM FUNDS ICA A	0.00	31.44	0.00	31.44	95.0	29.87
03/01/2017	MARQUARDSEN, HOLGER	AM FUNDS ICA A	0.00	70.94	0.00	70.94	95.0	67.39
03/01/2017	MARQUARDSEN, ANNA	AM FUNDS ICA A	0.00	53.59	0.00	53.59	95.0	50.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BODNAR, NANCY	AM FUNDS ICA A	0.00	7.69	0.00	7.69	95.0	7.31
03/01/2017	BORKHOLDER, STEVEN	AM FUNDS ICA A	0.00	15.14	0.00	15.14	95.0	14.38
03/01/2017	MORELLI, MARY	AM FUNDS ICA A	0.00	57.15	0.00	57.15	95.0	54.29
03/01/2017	YOUNG, SUSAN	AM FUNDS ICA A	0.00	0.55	0.00	0.55	95.0	0.52
03/01/2017	MILLER, JANE	AM FUNDS ICA A	0.00	0.53	0.00	0.53	95.0	0.50
03/01/2017	JENERETTE, ANGULNETTE	AM FUNDS ICA A	0.00	1.37	0.00	1.37	95.0	1.30
03/01/2017	CLOTHIER /SAR-SEP, JAMES	AM FUNDS ICA A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	BAKEWELL, RALPH	AM FUNDS ICA A	0.00	60.85	0.00	60.85	95.0	57.81
03/01/2017	HIMELHOCH, SETH	AM FUNDS ICA A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2017	GRENADIER, KAREN	AM FUNDS ICA A	0.00	27.86	0.00	27.86	95.0	26.47
03/01/2017	REETZ, TIMOTHY	AM FUNDS ICA A	0.00	0.44	0.00	0.44	95.0	0.42
03/01/2017	GINGELL, PAUL	AM FUNDS ICA A	0.00	33.62	0.00	33.62	95.0	31.94
03/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	3.31	0.00	3.31	95.0	3.14
03/01/2017	MIHELICH, JOHN	AM FUNDS ICA A	0.00	15.62	0.00	15.62	95.0	14.84
03/01/2017	NOONAN, PATRICIA	AM FUNDS ICA A	0.00	3.49	0.00	3.49	95.0	3.32
03/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	105.29	0.00	105.29	95.0	100.03
03/01/2017	RAMOS/DEC'D, RENEE	AM FUNDS ICA A	0.00	3.40	0.00	3.40	95.0	3.23
03/01/2017	SIEDLAK, PATRICIA	AM FUNDS ICA A	0.00	12.92	0.00	12.92	95.0	12.27
03/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	9.89	0.00	9.89	95.0	9.40
03/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	5.29	0.00	5.29	95.0	5.03
03/01/2017	SIEDLAK JT TEN, TERRY	AM FUNDS ICA A	0.00	12.52	0.00	12.52	95.0	11.89
03/01/2017	ALVEY, SHERRIE	AM FUNDS ICA A	0.00	1.16	0.00	1.16	95.0	1.10
03/01/2017	GEORGES, ELIZABETH	AM FUNDS ICA A	0.00	19.57	0.00	19.57	95.0	18.59
03/01/2017	MIHELICH, DARLENE	AM FUNDS ICA A	0.00	18.93	0.00	18.93	95.0	17.98
03/01/2017	DZIATCZAK, LISA	AM FUNDS ICA A	0.00	2.50	0.00	2.50	95.0	2.38
03/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	1.99	0.00	1.99	95.0	1.89
03/01/2017	KOLESNIKOW, AMY	AM FUNDS ICA A	0.00	20.79	0.00	20.79	95.0	19.75
03/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	2.00	0.00	2.00	95.0	1.90
03/01/2017	NIEKEMP, KATHY	AM FUNDS ICA A	0.00	1.96	0.00	1.96	95.0	1.86
03/01/2017	DUNCAN, LEANNE	AM FUNDS ICA A	0.00	5.43	0.00	5.43	95.0	5.16
03/01/2017	NIEHAUS, MARK	AM FUNDS ICA A	0.00	6.75	0.00	6.75	95.0	6.41
03/01/2017	LONGACRE, BRENDEN	AM FUNDS ICA A	0.00	0.75	0.00	0.75	95.0	0.71
03/01/2017	BALAEV, ALEXANDER	AM FUNDS ICA A	0.00	0.39	0.00	0.39	95.0	0.37

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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>								
03/01/2017	SZOCINSKI, CASIMER	AM FUNDS ICA A	0.00	7.59	0.00	7.59	95.0	7.21
03/01/2017	LEWIS, MARK	AM FUNDS ICA A	0.00	2.91	0.00	2.91	95.0	2.76
03/01/2017	LAREAU, ALEXANDER	AM FUNDS ICA A	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2017	JOHNSON, ALBERT	AM FUNDS ICA A	0.00	0.78	0.00	0.78	95.0	0.74
03/01/2017	HAVLIK, BRIAN	AM FUNDS ICA A	0.00	0.05	0.00	0.05	95.0	0.05
03/01/2017	VOLAKAKIS, VEGA	AM FUNDS ICA A	0.00	8.05	0.00	8.05	95.0	7.65
03/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	0.00	2.57	0.00	2.57	95.0	2.44
03/01/2017	CAVANAUGH, COLLIN	AM FUNDS ICA A	0.00	1.55	0.00	1.55	95.0	1.47
03/01/2017	BUTLER, KATHLEEN	AM FUNDS ICA A	0.00	3.70	0.00	3.70	95.0	3.52
03/01/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	0.00	11.09	0.00	11.09	95.0	10.54
03/01/2017	KRAUSE, EVELYN	AM FUNDS ICA A	0.00	101.73	0.00	101.73	95.0	96.64
03/01/2017	KUCHAREK, PAUL	AM FUNDS ICA A	0.00	8.67	0.00	8.67	95.0	8.24
03/01/2017	VOLAKAKIS, LOGAN	AM FUNDS ICA A	0.00	6.79	0.00	6.79	95.0	6.45
03/01/2017	SULLIVAN, ZACHARY	AM FUNDS ICA A	0.00	2.05	0.00	2.05	95.0	1.95
03/01/2017	IMBRIGOTTA, MICHAEL	AM FUNDS ICA A	0.00	30.79	0.00	30.79	95.0	29.25
03/01/2017	KENDZIERSKI, JENNIE	AM FUNDS ICA A	0.00	1.54	0.00	1.54	95.0	1.46
03/01/2017	MC GEE, MICHAEL	AM FUNDS ICA A	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2017	HEGEL, SUSAN	AM FUNDS ICA A	0.00	12.90	0.00	12.90	95.0	12.26
03/01/2017	NICOLOSI TRUST, ROSE	AM FUNDS ICA A	0.00	255.21	0.00	255.21	95.0	242.45
03/01/2017	CUNNINGHAM, LISA	AM FUNDS ICA A	0.00	4.21	0.00	4.21	95.0	4.00
03/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	106.47	0.00	106.47	95.0	101.15
03/01/2017	STAMPER, JANET	AM FUNDS ICA A	0.00	68.17	0.00	68.17	95.0	64.76
03/01/2017	CARSON, JESSICA	AM FUNDS ICA A	0.00	0.51	0.00	0.51	95.0	0.48
03/01/2017	RIGGERT, ANDREW	AM FUNDS ICA A	0.00	3.23	0.00	3.23	95.0	3.07
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS ICA A	0.00	19.10	0.00	19.10	95.0	18.15
03/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	5.79	0.00	5.79	95.0	5.50
03/01/2017	BULLOCK, RAYMOND	AM FUNDS ICA A	0.00	158.81	0.00	158.81	95.0	150.87
03/01/2017	SIEDLAK, LESLIE	AM FUNDS ICA A	0.00	12.92	0.00	12.92	95.0	12.27
03/01/2017	WONCH, ELIZABETH	AM FUNDS ICA A	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2017	BAXTER, COLE	AM FUNDS ICA A	0.00	5.78	0.00	5.78	95.0	5.49
03/01/2017	WEST TRUST, NORA	AM FUNDS ICA A	0.00	9.54	0.00	9.54	95.0	9.06
03/01/2017	KRAUSE, BARBARA	AM FUNDS ICA A	0.00	436.35	0.00	436.35	95.0	414.53
^03/02/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	CHERRY, JACOB	AM FUNDS ICA C	0.00	1.87	0.00	1.87	95.0	1.78
03/01/2017	PRICOPIO, VANESSA	AM FUNDS ICA C	0.00	5.15	0.00	5.15	95.0	4.89
03/01/2017	KAWALA, CHRISTINA	AM FUNDS ICA C	0.00	3.43	0.00	3.43	95.0	3.26
03/01/2017	NACHAZEL, MARY	AM FUNDS ICA C	0.00	43.50	0.00	43.50	95.0	41.33
03/01/2017	MAYNARD, JULIE	AM FUNDS ICA C	0.00	10.66	0.00	10.66	95.0	10.13
03/01/2017	CHERRY, JACOB	AM FUNDS ICA F1	0.00	0.30	0.00	0.30	95.0	0.29
03/01/2017	LONGACRE, BROOKLYNN	AM FUNDS ICA F1	0.00	1.08	0.00	1.08	95.0	1.03
03/01/2017	YAGIELA, CODY	AM FUNDS ICA F1	0.00	1.35	0.00	1.35	95.0	1.28
03/01/2017	LONGACRE, JAXON	AM FUNDS ICA F1	0.00	0.96	0.00	0.96	95.0	0.91
03/01/2017	YAGIELA, LOGAN	AM FUNDS ICA F1	0.00	1.31	0.00	1.31	95.0	1.24
03/01/2017	BODNAR, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.71	0.00	5.71	95.0	5.42
03/01/2017	MORELLI, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	52.02	0.00	52.02	95.0	49.42
03/01/2017	ARCE, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	52.40	0.00	52.40	95.0	49.78
03/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.26	0.00	12.26	95.0	11.65
03/01/2017	BALAEV, ALEXANDER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.80	0.00	0.80	95.0	0.76
03/01/2017	ESSE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.75	0.00	1.75	95.0	1.66
03/01/2017	ESSE, ANGELINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.75	0.00	1.75	95.0	1.66
03/01/2017	ZERVAS, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.25	0.00	17.25	95.0	16.39
03/01/2017	NICOLOSI, ROSE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.94	0.00	6.94	95.0	6.59
03/01/2017	BENNETT, JEFFERY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2017	MANKO, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.85	0.00	3.85	95.0	3.66
03/01/2017	SMITH, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	78.03	0.00	78.03	95.0	74.13
03/01/2017	OLSON, MELINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.05	0.00	5.05	95.0	4.80
03/01/2017	JONES, NEVA	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.92	0.00	18.92	95.0	17.97
03/01/2017	KOSANKE, MARK	AM FUNDS INCOME FUND OF AMERICA C	0.00	87.87	0.00	87.87	95.0	83.48
03/01/2017	WHITEFOOT, BEVERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	17.03	0.00	17.03	95.0	16.18
03/01/2017	MAGGARD, LORETTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	76.03	0.00	76.03	95.0	72.23
03/01/2017	MAYNARD, JULIE	AM FUNDS INCOME FUND OF AMERICA C	0.00	9.04	0.00	9.04	95.0	8.59
03/01/2017	NACHAZEL, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	54.95	0.00	54.95	95.0	52.20
03/01/2017	HAYES, DORIS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	6.70	0.00	6.70	95.0	6.37
03/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.77	0.00	2.77	95.0	2.63
03/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.01	0.00	3.01	95.0	2.86
03/01/2017	GALINETTI, JULIA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.04	0.00	0.04	95.0	0.04

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ADAMS, JACKSON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.34	0.00	2.34	95.0	2.22
03/01/2017	LUMETTA, AMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2017	FUGARO, SOPHIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.02	0.00	4.02	95.0	3.82
03/01/2017	DUNN, CATHERINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	16.66	0.00	16.66	95.0	15.83
03/01/2017	MARCOLA, ETHAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.45	0.00	0.45	95.0	0.43
03/01/2017	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.56	0.00	6.56	95.0	6.23
03/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	RILEY, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.39	0.00	3.39	95.0	3.22
03/01/2017	LIONAS, MARIKA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.05	0.00	2.05	95.0	1.95
03/01/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	0.00	0.74	0.00	0.74	95.0	0.70
03/02/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	201.60	6.05	0.00	6.05	95.0	5.75
02/21/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	67.00	3.35	0.00	3.35	95.0	3.18
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS NEW ECONOMY 529A	0.00	1.73	0.00	1.73	95.0	1.64
03/01/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	0.00	0.73	0.00	0.73	95.0	0.69
03/01/2017	RICHARDS, COLE	AM FUNDS NEW ECONOMY 529A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	0.93	0.00	0.93	95.0	0.88
03/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2017	PHILLIPS, RANDALL	AM FUNDS NEW ECONOMY A	0.00	11.43	0.00	11.43	95.0	10.86
03/01/2017	SABOOL, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	9.63	0.00	9.63	95.0	9.15
03/01/2017	JONES, GERALD	AM FUNDS NEW ECONOMY A	0.00	1.00	0.00	1.00	95.0	0.95
03/01/2017	SHALDA, ROSE	AM FUNDS NEW ECONOMY A	0.00	12.27	0.00	12.27	95.0	11.66
03/01/2017	KENDZIERSKI, JENNIE	AM FUNDS NEW ECONOMY A	0.00	1.36	0.00	1.36	95.0	1.29
03/01/2017	DELISLE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	95.0	0.59
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW ECONOMY A	0.00	2.61	0.00	2.61	95.0	2.48
03/01/2017	NATHAN, SANDRA	AM FUNDS NEW ECONOMY A	0.00	1.48	0.00	1.48	95.0	1.41
03/01/2017	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY C	0.00	15.62	0.00	15.62	95.0	14.84
03/01/2017	MERREN, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	31.20	0.00	31.20	95.0	29.64
03/01/2017	RUF, ANDREW	AM FUNDS NEW PERSPECTIVE 529A	0.00	4.42	0.00	4.42	95.0	4.20
03/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.78	0.00	0.78	95.0	0.74
03/01/2017	BOWEN, ED	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2017	ADAMS, JACKSON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.32	0.00	0.32	95.0	0.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HOLT, DEBBIE	AM FUNDS NEW PERSPECTIVE A	0.00	27.26	0.00	27.26	95.0	25.90
03/01/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	17.45	0.00	17.45	95.0	16.58
03/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	6.97	0.00	6.97	95.0	6.62
03/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	3.62	0.00	3.62	95.0	3.44
03/01/2017	BOZELKA, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	1.83	0.00	1.83	95.0	1.74
03/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2017	TAYLOR, ALLAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2017	KRUSAC, CHRISTINA	AM FUNDS NEW PERSPECTIVE A	0.00	2.95	0.00	2.95	95.0	2.80
03/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	38.63	0.00	38.63	95.0	36.70
03/01/2017	SHALDA, ROSE	AM FUNDS NEW PERSPECTIVE A	0.00	14.52	0.00	14.52	95.0	13.79
03/01/2017	VANDERMEER, BRYON	AM FUNDS NEW PERSPECTIVE A	0.00	14.35	0.00	14.35	95.0	13.63
03/01/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	0.00	25.37	0.00	25.37	95.0	24.10
03/01/2017	WATERMAN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	11.49	0.00	11.49	95.0	10.92
03/01/2017	BAILEY, STEVEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	BENNETT, JEFFERY	AM FUNDS NEW PERSPECTIVE A	0.00	0.32	0.00	0.32	95.0	0.30
03/01/2017	GRECH, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	14.02	0.00	14.02	95.0	13.32
03/01/2017	RYAN, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	2.21	0.00	2.21	95.0	2.10
03/01/2017	CISSELL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	32.27	0.00	32.27	95.0	30.66
03/01/2017	CISSELL, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	32.27	0.00	32.27	95.0	30.66
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	2.77	0.00	2.77	95.0	2.63
03/01/2017	RACHEL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.61	0.00	1.61	95.0	1.53
03/01/2017	LUMETTA, AMY	AM FUNDS NEW PERSPECTIVE A	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	0.98	0.00	0.98	95.0	0.93
03/01/2017	SCHUBA, LAWRENCE	AM FUNDS NEW PERSPECTIVE A	0.00	1.34	0.00	1.34	95.0	1.27
03/01/2017	DOUTSAS, FREIDA	AM FUNDS NEW PERSPECTIVE A	0.00	29.93	0.00	29.93	95.0	28.43
03/01/2017	HABERMAN, IAN	AM FUNDS NEW PERSPECTIVE A	0.00	22.93	0.00	22.93	95.0	21.78
03/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	3.58	0.00	3.58	95.0	3.40
03/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	7.50	0.00	7.50	95.0	7.13
03/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	16.42	0.00	16.42	95.0	15.60
03/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	16.23	0.00	16.23	95.0	15.42
03/01/2017	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	0.00	0.40	0.00	0.40	95.0	0.38

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	8.70	0.00	8.70	95.0	8.27
03/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	0.56	0.00	0.56	95.0	0.53
03/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	8.00	0.00	8.00	95.0	7.60
03/01/2017	BOLOGNA, ADAM	AM FUNDS NEW WORLD 529A	0.00	0.60	0.00	0.60	95.0	0.57
03/01/2017	LONG, SARAH	AM FUNDS NEW WORLD 529A	0.00	0.62	0.00	0.62	95.0	0.59
03/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	16.23	0.00	16.23	95.0	15.42
03/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	53.04	0.00	53.04	95.0	50.39
03/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	57.23	0.00	57.23	95.0	54.37
03/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529C	0.00	1.04	0.00	1.04	95.0	0.99
02/23/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
02/23/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
03/01/2017	MERKLE, PAUL	AM FUNDS NEW WORLD A	0.00	7.73	0.00	7.73	95.0	7.34
03/01/2017	HAVLIK, BRIAN	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	95.0	0.09
03/01/2017	IMUS, ARLEEN	AM FUNDS NEW WORLD A	0.00	8.34	0.00	8.34	95.0	7.92
03/01/2017	KINGSBURY, RONALD	AM FUNDS NEW WORLD A	0.00	0.63	0.00	0.63	95.0	0.60
03/01/2017	NEEDHAM, DOUG	AM FUNDS NEW WORLD A	0.00	0.14	0.00	0.14	95.0	0.13
03/01/2017	PARDEE, CRAIG	AM FUNDS NEW WORLD A	0.00	7.76	0.00	7.76	95.0	7.37
03/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS NEW WORLD A	0.00	1.31	0.00	1.31	95.0	1.24
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW WORLD A	0.00	3.14	0.00	3.14	95.0	2.98
03/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.56	0.00	3.56	95.0	3.38
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	4.60	0.00	4.60	95.0	4.37
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	4.26	0.00	4.26	95.0	4.05
03/01/2017	KARGULA, CURT	AM FUNDS NEW WORLD A	0.00	1.66	0.00	1.66	95.0	1.58
03/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.11	0.00	3.11	95.0	2.95
03/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	3.11	0.00	3.11	95.0	2.95
03/01/2017	CUNNINGHAM, LISA	AM FUNDS NEW WORLD A	0.00	1.67	0.00	1.67	95.0	1.59
03/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	8.73	0.00	8.73	95.0	8.29
03/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	5.01	0.00	5.01	95.0	4.76
03/01/2017	PLUMB, KYLE	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	95.0	0.30
03/01/2017	TSOUKALAS, IOANNIS	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	95.0	0.33
03/01/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	0.00	17.39	0.00	17.39	95.0	16.52
03/01/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	0.00	3.02	0.00	3.02	95.0	2.87
03/01/2017	SHEPHERD, JOE	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	95.0	0.01

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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>								
03/01/2017	LUMETTA, AMY	AM FUNDS NEW WORLD A	0.00	0.94	0.00	0.94	95.0	0.89
03/01/2017	HIGEL, LOIS	AM FUNDS NEW WORLD A	0.00	1.99	0.00	1.99	95.0	1.89
03/01/2017	CARSON, JESSICA	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	95.0	0.50
03/01/2017	MARTIN, ELENA MARIE	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	MARTIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	MARTIN, ISABELLA	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	MEDAUGH, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	MEDAUGH, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	BENDER, SHARON	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	95.0	0.24
03/01/2017	PER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	0.08	0.00	0.08	95.0	0.08
03/01/2017	NATHAN, SANDRA	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	95.0	0.75
03/01/2017	COX, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.25	0.00	2.25	95.0	2.14
03/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	14.76	0.00	14.76	95.0	14.02
03/01/2017	TSANGANOS, LEONIDAS	AM FUNDS NEW WORLD A	0.00	16.45	0.00	16.45	95.0	15.63
03/01/2017	FUGARO, SOPHIA	AM FUNDS NEW WORLD A	0.00	5.38	0.00	5.38	95.0	5.11
03/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW WORLD A	0.00	0.75	0.00	0.75	95.0	0.71
03/01/2017	PRICOPIO, MARIO	AM FUNDS NEW WORLD C	0.00	6.65	0.00	6.65	95.0	6.32
03/01/2017	MCCARTNEY, JOHN	AM FUNDS NEW WORLD C	0.00	2.46	0.00	2.46	95.0	2.34
03/01/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	0.00	4.41	0.00	4.41	95.0	4.19
03/01/2017	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	0.00	3.92	0.00	3.92	95.0	3.72
03/01/2017	MURPHY, PHILIP	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.57	0.00	5.57	95.0	5.29
03/01/2017	LONG, SARAH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.73	0.00	0.73	95.0	0.69
03/01/2017	GINGELL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	10.41	0.00	10.41	95.0	9.89
03/01/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2017	MERKLE, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	6.98	0.00	6.98	95.0	6.63
03/01/2017	JONES, GERALD	AM FUNDS SMALLCAP WORLD A	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2017	HAVLIK, BRIAN	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	95.0	0.06
03/01/2017	ALVEY, CODY	AM FUNDS SMALLCAP WORLD A	0.00	0.40	0.00	0.40	95.0	0.38
03/01/2017	KENDZIERSKI, JENNIE	AM FUNDS SMALLCAP WORLD A	0.00	1.28	0.00	1.28	95.0	1.22
03/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	23.05	0.00	23.05	95.0	21.90
03/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	3.52	0.00	3.52	95.0	3.34
03/01/2017	JONES, MEREK	AM FUNDS SMALLCAP WORLD A	0.00	1.68	0.00	1.68	95.0	1.60

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	STILLWELL, LYNNE	AM FUNDS SMALLCAP WORLD A	0.00	0.44	0.00	0.44	95.0	0.42
03/01/2017	DELISLE, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.69	0.00	0.69	95.0	0.66
03/01/2017	SIMMONDS, JOSHUA	AM FUNDS SMALLCAP WORLD A	0.00	2.36	0.00	2.36	95.0	2.24
03/01/2017	STILLWELL, ERIK	AM FUNDS SMALLCAP WORLD A	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2017	KARGULA, CURT	AM FUNDS SMALLCAP WORLD A	0.00	2.26	0.00	2.26	95.0	2.15
03/01/2017	CARSON, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	SHEPHERD, JOE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2017	BENDER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
03/01/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	0.00	0.76	0.00	0.76	95.0	0.72
03/02/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	201.60	10.08	0.00	10.08	95.0	9.58
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.45	0.00	0.45	95.0	0.43
03/01/2017	SHEPHERD, JOE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.03	0.00	0.03	95.0	0.03
03/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.13	0.00	9.13	95.0	8.67
03/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.90	0.00	12.90	95.0	12.26
03/01/2017	WHITEFOOT, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.03	0.00	11.03	95.0	10.48
03/01/2017	GALLO, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	163.07	0.00	163.07	95.0	154.92
02/27/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
03/01/2017	HENTKOWSKI, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	95.0	2.60
03/01/2017	BUXBAUM, DEBORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	83.20	0.00	83.20	95.0	79.04
03/01/2017	MUSSILL, KATHARINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	100.84	0.00	100.84	95.0	95.80
03/01/2017	HIRSCHHORN, LAURA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.37	0.00	14.37	95.0	13.65
03/01/2017	MERROW / SAR SEP, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2017	MERROW, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	95.0	0.17
03/01/2017	MORRIS, EMILY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.36	0.00	6.36	95.0	6.04
03/01/2017	MARVIN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.90	0.00	36.90	95.0	35.06
03/01/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	32.00	0.00	32.00	95.0	30.40
03/01/2017	ODELL, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.33	0.00	23.33	95.0	22.16
03/01/2017	O'DELL, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.62	0.00	7.62	95.0	7.24
03/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	163.01	0.00	163.01	95.0	154.86
03/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	273.07	0.00	273.07	95.0	259.42
03/01/2017	BALINSKI, BARB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	95.0	0.71
03/01/2017	REETZ, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.64	0.00	3.64	95.0	3.46
03/01/2017	NOONAN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.55	0.00	5.55	95.0	5.27

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	JOHNSON, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.29	0.00	16.29	95.0	15.48
03/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.03	0.00	20.03	95.0	19.03
03/01/2017	MACINA, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.45	0.00	5.45	95.0	5.18
03/01/2017	DAY, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.52	0.00	4.52	95.0	4.29
03/01/2017	DOMBROWSKI, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.41	0.00	20.41	95.0	19.39
03/01/2017	JOHNSTON, LAUREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.86	0.00	3.86	95.0	3.67
03/01/2017	JOHNSTON, KELLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.28	0.00	4.28	95.0	4.07
03/01/2017	TRU-LINE METAL PRODUCTS C	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.97	0.00	8.97	95.0	8.52
03/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.21	0.00	2.21	95.0	2.10
03/01/2017	FARINO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.60	0.00	5.60	95.0	5.32
03/01/2017	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.91	0.00	6.91	95.0	6.56
03/01/2017	POUPORE, FRANKLIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.91	0.00	6.91	95.0	6.56
03/01/2017	IRONS, DENNIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.85	0.00	6.85	95.0	6.51
03/01/2017	CORNEY, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.81	0.00	8.81	95.0	8.37
03/01/2017	CHASSE, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.01	0.00	6.01	95.0	5.71
03/01/2017	CELLI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2017	DAVIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.82	0.00	6.82	95.0	6.48
03/01/2017	ESKOVITZ, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.34	0.00	0.34	95.0	0.32
03/01/2017	MCCOY, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.15	0.00	3.15	95.0	2.99
03/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.99	0.00	8.99	95.0	8.54
03/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.99	0.00	8.99	95.0	8.54
03/01/2017	BERTOLINI, LEO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	95.0	1.10
03/01/2017	LEWIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	95.0	3.29
03/01/2017	REETZ, CHARLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	95.0	0.48
03/01/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.52	0.00	13.52	95.0	12.84
03/01/2017	ESSE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	95.0	1.36
03/01/2017	ESSE, ANGELINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	95.0	2.41
03/01/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	27.58	0.00	27.58	95.0	26.20
03/01/2017	NIEMETTA, NINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2017	BYRD, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.80	0.00	35.80	95.0	34.01
03/01/2017	KARAOUZAS, OURANIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.65	0.00	7.65	95.0	7.27
03/01/2017	VESCOSKY, ANTOINETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2017	KISH, VIVIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.44	0.00	42.44	95.0	40.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ZERVAS, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.37	0.00	14.37	95.0	13.65
03/01/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.93	0.00	11.93	95.0	11.33
03/01/2017	ANASTASIOU, DESPINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.99	0.00	16.99	95.0	16.14
03/01/2017	NICOLOSI, ROSE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.18	0.00	15.18	95.0	14.42
03/01/2017	SKOWRONSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.73	0.00	1.73	95.0	1.64
03/01/2017	GRIFFIN, SHEILA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.28	0.00	8.28	95.0	7.87
03/01/2017	SKOWRONSKI, LUISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2017	BENNETT, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	95.0	0.38
03/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.68	0.00	4.68	95.0	4.45
03/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.94	0.00	13.94	95.0	13.24
03/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.03	0.00	7.03	95.0	6.68
03/01/2017	CISSELL, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	243.10	0.00	243.10	95.0	230.95
03/01/2017	CISSELL, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	243.10	0.00	243.10	95.0	230.95
03/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.13	0.00	3.13	95.0	2.97
03/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	95.0	1.07
03/01/2017	BENNETT, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2017	PRICE, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.69	0.00	1.69	95.0	1.61
03/01/2017	RILEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2017	LIONAS, MARIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2017	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	95.0	2.56
03/01/2017	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	95.0	2.41
03/01/2017	BUSARSKY, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.82	0.00	23.82	95.0	22.63
03/01/2017	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.24	0.00	19.24	95.0	18.28
03/01/2017	WEST TRUST, NORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.43	0.00	10.43	95.0	9.91
03/01/2017	ISRAEL, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	65.26	0.00	65.26	95.0	62.00
03/01/2017	MERRITT, MARY LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.31	0.00	57.31	95.0	54.44
03/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.77	0.00	39.77	95.0	37.78
03/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.13	0.00	3.13	95.0	2.97
03/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	95.0	0.59
03/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.33	0.00	14.33	95.0	13.61
03/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.37	0.00	11.37	95.0	10.80
03/01/2017	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.94	0.00	12.94	95.0	12.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.12	0.00	3.12	95.0	2.96
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.18	0.00	3.18	95.0	3.02
03/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	95.0	0.42
03/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	95.0	0.91
03/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	95.0	1.15
03/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.04	0.00	0.04	95.0	0.04
03/01/2017	POLANT, LOUIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.15	0.00	39.15	95.0	37.19
03/01/2017	HABERMAN, IAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.84	0.00	21.84	95.0	20.75
03/03/2017	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	9,440.73	401.23	0.00	401.23	95.0	381.17
03/01/2017	HAYES, DORIS	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	6.70	0.00	6.70	95.0	6.37
02/27/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
02/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
02/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
02/28/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
02/16/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
02/28/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/03/2017	MERRITT, KATHY	COLUMBIA ACORN A	0.00	8.07	0.00	8.07	95.0	7.67
03/03/2017	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	4.94	0.00	4.94	95.0	4.69
03/03/2017	SMARK, CHARLES	COLUMBIA ACORN A	0.00	5.54	0.00	5.54	95.0	5.26
03/03/2017	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.79	0.00	0.79	95.0	0.75
03/03/2017	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	5.77	0.00	5.77	95.0	5.48
03/03/2017	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	8.16	0.00	8.16	95.0	7.75
03/03/2017	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	2.69	0.00	2.69	95.0	2.56
03/03/2017	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	7.79	0.00	7.79	95.0	7.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/03/2017	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.31	0.00	2.31	95.0	2.19
03/03/2017	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.67	0.00	4.67	95.0	4.44
03/03/2017	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.82	0.00	4.82	95.0	4.58
03/03/2017	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.87	0.00	2.87	95.0	2.73
03/03/2017	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	36.53	0.00	36.53	95.0	34.70
03/03/2017	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.35	0.00	4.35	95.0	4.13
03/03/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	5.64	0.00	5.64	95.0	5.36
03/03/2017	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.16	0.00	0.16	95.0	0.15
03/03/2017	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.16	0.00	0.16	95.0	0.15
03/03/2017	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.16	0.00	0.16	95.0	0.15
03/03/2017	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.16	0.00	0.16	95.0	0.15
03/03/2017	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.31	0.00	2.31	95.0	2.19
03/03/2017	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.17	0.00	0.17	95.0	0.16
02/01/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	100.00	4.00	0.00	4.00	95.0	3.80
02/13/2017	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	5,500.00	110.00	0.00	110.00	95.0	104.50
02/15/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	50.00	2.00	0.00	2.00	95.0	1.90
02/15/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	50.00	2.00	0.00	2.00	95.0	1.90
02/15/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	30.00	1.20	0.00	1.20	95.0	1.14
02/28/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
02/28/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
02/28/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
02/09/2017	GREEN, RICHARD	EATON VANCE TAX MANAGED GROWTH FD 1	0.00	3.13	0.00	3.13	95.0	2.97
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.51	0.00	0.51	95.0	0.48
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.51	0.00	0.51	95.0	0.48
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	0.84	0.00	0.84	95.0	0.80
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.10	0.00	0.10	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	0.98	0.00	0.98	95.0	0.93
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	20.20	0.00	20.20	95.0	19.19
02/27/2017	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.41	0.00	0.41	95.0	0.39
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	3.11	0.00	3.11	95.0	2.95
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.39	0.00	1.39	95.0	1.32
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	10.60	0.00	10.60	95.0	10.07

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	8.07	0.00	8.07	95.0	7.67
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	4.54	0.00	4.54	95.0	4.31
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.60	0.00	1.60	95.0	1.52
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.14	0.00	0.14	95.0	0.13
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.47	0.00	1.47	95.0	1.40
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	3.39	0.00	3.39	95.0	3.22
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.72	0.00	1.72	95.0	1.63
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	18.07	0.00	18.07	95.0	17.17
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.07	0.00	0.07	95.0	0.07
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.07	0.00	0.07	95.0	0.07
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.14	0.00	3.14	95.0	2.98
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.20	0.00	0.20	95.0	0.19
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	5.10	0.00	5.10	95.0	4.85
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	3.99	0.00	3.99	95.0	3.79
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.43	0.00	1.43	95.0	1.36
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.17	0.00	2.17	95.0	2.06
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.09	0.00	1.09	95.0	1.04
/ /	ZERILLI, ROSA	FIDELITY GROWTH & INCOME A	0.00	1.31	0.00	1.31	95.0	1.24
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.08	0.00	1.08	95.0	1.03
/ /	ZERILLI, ROSA	FIDELITY TECHNOLOGY A	0.00	1.30	0.00	1.30	95.0	1.24
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.45	0.00	0.45	95.0	0.43
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.02	0.00	0.02	95.0	0.02
02/23/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	6.79	0.00	6.79	95.0	6.45
02/02/2017	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	7.35	0.00	7.35	95.0	6.98
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.54	0.00	0.54	95.0	0.51
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.73	0.00	0.73	95.0	0.69
02/02/2017	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.58	0.00	0.58	95.0	0.55
02/02/2017	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	4.53	0.00	4.53	95.0	4.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/02/2017	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	4.87	0.00	4.87	95.0	4.63
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	19.75	0.00	19.75	95.0	18.76
02/02/2017	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	21.42	0.00	21.42	95.0	20.35
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	11.23	0.00	11.23	95.0	10.67
02/02/2017	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.18	0.00	12.18	95.0	11.57
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.68	0.00	0.68	95.0	0.65
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	33.47	0.00	33.47	95.0	31.80
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	17.52	0.00	17.52	95.0	16.64
02/02/2017	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.71	0.00	0.71	95.0	0.67
02/02/2017	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	35.20	0.00	35.20	95.0	33.44
02/02/2017	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	18.60	0.00	18.60	95.0	17.67
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.17	0.00	4.17	95.0	3.96
02/02/2017	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.39	0.00	4.39	95.0	4.17
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	1.74	0.00	1.74	95.0	1.65
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	21.73	0.00	21.73	95.0	20.64
02/02/2017	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	1.87	0.00	1.87	95.0	1.78
02/02/2017	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	23.36	0.00	23.36	95.0	22.19
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	3.89	0.00	3.89	95.0	3.70
02/02/2017	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.18	0.00	4.18	95.0	3.97
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.04	0.00	1.04	95.0	0.99
02/02/2017	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.13	0.00	1.13	95.0	1.07
02/02/2017	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.22	0.00	1.22	95.0	1.16
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.36	0.00	3.36	95.0	3.19
02/02/2017	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.62	0.00	3.62	95.0	3.44
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.62	0.00	1.62	95.0	1.54
02/02/2017	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.75	0.00	1.75	95.0	1.66
02/27/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.00	0.00	2.00	95.0	1.90
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	43.74	1.75	0.00	1.75	95.0	1.66
02/21/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
02/23/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	22.48	0.22	0.00	0.22	95.0	0.21
02/23/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	13.49	0.13	0.00	0.13	95.0	0.12
02/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	153.00	1.53	0.00	1.53	95.0	1.45
02/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	24.48	0.24	0.00	0.24	95.0	0.23
02/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	52.39	0.52	0.00	0.52	95.0	0.49
02/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	31.43	0.31	0.00	0.31	95.0	0.29
02/21/2017	GREEN, RICHARD	OPPENHEIMER CAPITAL INCOME A	0.00	0.66	0.00	0.66	95.0	0.63
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	50.00	2.00	0.00	2.00	95.0	1.90
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	43.74	1.75	0.00	1.75	95.0	1.66
02/23/2017	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	39.31	0.39	0.00	0.39	95.0	0.37
02/23/2017	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	6.94	0.07	0.00	0.07	95.0	0.07
02/23/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	39.31	0.39	0.00	0.39	95.0	0.37
02/23/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	6.94	0.07	0.00	0.07	95.0	0.07
02/23/2017	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	78.62	0.79	0.00	0.79	95.0	0.75
02/23/2017	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	13.87	0.14	0.00	0.14	95.0	0.13
02/21/2017	GREEN, RICHARD	OPPENHEIMER GLOBAL A	0.00	2.22	0.00	2.22	95.0	2.11
02/23/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	21.82	0.22	0.00	0.22	95.0	0.21
02/23/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	13.09	0.13	0.00	0.13	95.0	0.12
02/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	148.50	1.49	0.00	1.49	95.0	1.42
02/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	23.76	0.24	0.00	0.24	95.0	0.23
02/16/2017	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	22.50	1.07	0.00	1.07	95.0	1.02
02/16/2017	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	22.50	1.07	0.00	1.07	95.0	1.02
02/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
02/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
02/23/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	117.93	1.18	0.00	1.18	95.0	1.12
02/23/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	20.81	0.21	0.00	0.21	95.0	0.20
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	15.00	0.15	0.00	0.15	95.0	0.14
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	15.00	0.15	0.00	0.15	95.0	0.14
02/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
02/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30

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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>								
02/23/2017	DAMORE, MONICA	OPPENHEIMER INTL BOND C	157.22	1.57	0.00	1.57	95.0	1.49
02/23/2017	DAMORE, MONICA	OPPENHEIMER INTL BOND C	27.75	0.28	0.00	0.28	95.0	0.27
02/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	52.38	0.52	0.00	0.52	95.0	0.49
02/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	31.43	0.31	0.00	0.31	95.0	0.29
02/23/2017	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	78.62	0.79	0.00	0.79	95.0	0.75
02/23/2017	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	13.87	0.14	0.00	0.14	95.0	0.13
02/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	52.39	0.52	0.00	0.52	95.0	0.49
02/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	31.43	0.31	0.00	0.31	95.0	0.29
02/21/2017	GREEN, RICHARD	OPPENHEIMER INTL GROWTH A	0.00	2.54	0.00	2.54	95.0	2.41
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
02/21/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	50.00	2.00	0.00	2.00	95.0	1.90
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	43.75	1.75	0.00	1.75	95.0	1.66
02/23/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	21.82	0.22	0.00	0.22	95.0	0.21
02/23/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	13.09	0.13	0.00	0.13	95.0	0.12
02/21/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
02/21/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
02/23/2017	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	78.62	0.79	0.00	0.79	95.0	0.75
02/23/2017	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	13.87	0.14	0.00	0.14	95.0	0.13
02/16/2017	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	22.50	1.07	0.00	1.07	95.0	1.02
02/16/2017	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	22.50	1.07	0.00	1.07	95.0	1.02
02/21/2017	GREEN, RICHARD	OPPENHEIMER MAIN STREET A	0.00	1.29	0.00	1.29	95.0	1.23
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	15.00	0.15	0.00	0.15	95.0	0.14
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	15.00	0.15	0.00	0.15	95.0	0.14
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	50.00	2.00	0.00	2.00	95.0	1.90
02/21/2017	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	43.74	1.75	0.00	1.75	95.0	1.66
02/21/2017	GREEN, RICHARD	OPPENHEIMER QUEST OPP VALUE A	0.00	0.86	0.00	0.86	95.0	0.82
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	30.00	0.30	0.00	0.30	95.0	0.29
02/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	30.00	0.30	0.00	0.30	95.0	0.29
02/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	52.39	0.52	0.00	0.52	95.0	0.49
02/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	31.43	0.31	0.00	0.31	95.0	0.29
02/16/2017	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	22.50	1.07	0.00	1.07	95.0	1.02
02/16/2017	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	22.50	1.07	0.00	1.07	95.0	1.02

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/23/2017	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	117.93	1.18	0.00	1.18	95.0	1.12
02/23/2017	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	20.81	0.21	0.00	0.21	95.0	0.20
02/23/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
02/23/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	49.75	0.50	0.00	0.50	95.0	0.48
02/16/2017	SMITH, ASHLEY	OPPENHEIMER VALUE A	22.50	1.07	0.00	1.07	95.0	1.02
02/16/2017	SMITH, ASHLEY	OPPENHEIMER VALUE A	22.50	1.07	0.00	1.07	95.0	1.02
02/23/2017	DAMORE, MONICA	OPPENHEIMER VALUE C	78.62	0.79	0.00	0.79	95.0	0.75
02/23/2017	DAMORE, MONICA	OPPENHEIMER VALUE C	13.87	0.14	0.00	0.14	95.0	0.13
02/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	148.50	1.49	0.00	1.49	95.0	1.42
02/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	23.76	0.24	0.00	0.24	95.0	0.23
02/21/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
02/21/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
03/01/2017	WONCH, LIZ	PUTNAM INVESTORS B	25.00	1.00	0.00	1.00	95.0	0.95
/ /	BERDESKI, AUDREY	RYDEX GUGG S&P 500 H	0.00	0.40	0.00	0.40	95.0	0.38
/ /	KANAKRI, JOSEPH	RYDEX GUGG S&P 500 H	0.00	0.18	0.00	0.18	95.0	0.17
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.13	0.00	0.13	95.0	0.12
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.17	0.00	0.17	95.0	0.16
/ /	KANAKRI, JOSEPH	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.08	0.00	0.08	95.0	0.08
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.06	0.00	0.06	95.0	0.06
03/02/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	29.85	0.00	29.85	95.0	28.36
03/02/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	29.85	0.00	29.85	95.0	28.36
02/28/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	95.0	0.48
03/02/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	1,365.16	13.65	0.00	13.65	95.0	12.97
03/02/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.14	0.00	4.14	95.0	3.93
03/02/2017	TAMM, JAMES	TRANSAMERICA AA GROWTH C	0.00	35.10	0.00	35.10	95.0	33.35
03/02/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	4.04	0.00	4.04	95.0	3.84
03/02/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH C	0.00	13.95	0.00	13.95	95.0	13.25
03/02/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	17.53	0.00	17.53	95.0	16.65
03/02/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.38	0.00	1.38	95.0	1.31
03/02/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	8.37	0.00	8.37	95.0	7.95
03/02/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.40	0.00	0.40	95.0	0.38
03/02/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.85	0.00	0.85	95.0	0.81
03/02/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	72.56	0.00	72.56	95.0	68.93

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/02/2017	SCALF, MARSHA	TRANSAMERICA AA GROWTH C	0.00	29.18	0.00	29.18	95.0	27.72
03/02/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	17.21	0.00	17.21	95.0	16.35
03/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	10.19	0.00	10.19	95.0	9.68
03/02/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	3.44	0.00	3.44	95.0	3.27
03/02/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	23.33	0.00	23.33	95.0	22.16
03/02/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	7.13	0.00	7.13	95.0	6.77
03/02/2017	NEIRINCK, DONNA	TRANSAMERICA AA GROWTH C	0.00	14.63	0.00	14.63	95.0	13.90
03/02/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	8.76	0.00	8.76	95.0	8.32
03/02/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	34.20	0.00	34.20	95.0	32.49
03/02/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	9.96	0.00	9.96	95.0	9.46
03/02/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	10.36	0.00	10.36	95.0	9.84
03/02/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	16.00	0.00	16.00	95.0	15.20
03/02/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.28	0.00	1.28	95.0	1.22
03/02/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	49.07	0.00	49.07	95.0	46.62
03/02/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	31.71	0.00	31.71	95.0	30.12
03/02/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	33.62	0.00	33.62	95.0	31.94
03/02/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	6.92	0.00	6.92	95.0	6.57
03/02/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	18.84	0.00	18.84	95.0	17.90
03/02/2017	LINDOW, RYAN	TRANSAMERICA AA GROWTH C	0.00	0.77	0.00	0.77	95.0	0.73
03/02/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	41.07	0.00	41.07	95.0	39.02
03/02/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	4.88	0.00	4.88	95.0	4.64
03/02/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	11.23	0.00	11.23	95.0	10.67
03/02/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	41.42	0.00	41.42	95.0	39.35
03/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	23.15	0.00	23.15	95.0	21.99
03/02/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	32.59	0.00	32.59	95.0	30.96
03/02/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	19.97	0.00	19.97	95.0	18.97
03/02/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	20.45	0.00	20.45	95.0	19.43
03/02/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.13	0.00	4.13	95.0	3.92
03/02/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	8.38	0.00	8.38	95.0	7.96
03/02/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	11.22	0.00	11.22	95.0	10.66
03/02/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	4.35	0.00	4.35	95.0	4.13
03/02/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	10.73	0.00	10.73	95.0	10.19
03/02/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	12.23	0.00	12.23	95.0	11.62

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/02/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	2.73	0.00	2.73	95.0	2.59
03/02/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	11.98	0.00	11.98	95.0	11.38
03/02/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	0.76	0.00	0.76	95.0	0.72
03/02/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	1.63	0.00	1.63	95.0	1.55
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA AA GROWTH C	0.00	39.71	0.00	39.71	95.0	37.72
03/02/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.80	0.00	0.80	95.0	0.76
03/02/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.10	0.00	3.10	95.0	2.95
03/02/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	30.95	0.00	30.95	95.0	29.40
03/02/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	24.90	0.00	24.90	95.0	23.66
03/02/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	7.95	0.00	7.95	95.0	7.55
03/02/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	10.14	0.00	10.14	95.0	9.63
03/02/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	178.97	0.00	178.97	95.0	170.02
03/02/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	8.18	0.00	8.18	95.0	7.77
03/02/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	18.77	0.00	18.77	95.0	17.83
03/02/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	20.44	0.00	20.44	95.0	19.42
03/02/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	10.61	0.00	10.61	95.0	10.08
03/02/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	13.71	0.00	13.71	95.0	13.02
03/02/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.10	0.00	0.10	95.0	0.10
03/02/2017	COOPER, LISA	TRANSAMERICA AA MOD GROWTH C	0.00	15.01	0.00	15.01	95.0	14.26
03/02/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	26.58	0.00	26.58	95.0	25.25
03/02/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	47.10	0.00	47.10	95.0	44.75
03/02/2017	SEISSER, JAMES	TRANSAMERICA AA MOD GROWTH C	0.00	4.91	0.00	4.91	95.0	4.66
03/02/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	32.92	0.00	32.92	95.0	31.27
03/02/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	27.73	0.00	27.73	95.0	26.34
03/02/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	38.22	0.00	38.22	95.0	36.31
03/02/2017	FRANKS, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	3.58	0.00	3.58	95.0	3.40
03/02/2017	MODRYCKI, DONALD	TRANSAMERICA AA MOD GROWTH C	0.00	6.56	0.00	6.56	95.0	6.23
03/02/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	10.55	0.00	10.55	95.0	10.02
03/02/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.09	0.00	3.09	95.0	2.94
03/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	8.37	0.00	8.37	95.0	7.95
03/02/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	14.27	0.00	14.27	95.0	13.56
03/02/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	99.97	0.00	99.97	95.0	94.97
03/02/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	3.94	0.00	3.94	95.0	3.74

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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>								
03/02/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	8.48	0.00	8.48	95.0	8.06
03/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	8.69	0.00	8.69	95.0	8.26
03/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	4.39	0.00	4.39	95.0	4.17
03/02/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.34	0.00	2.34	95.0	2.22
03/02/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	38.37	0.00	38.37	95.0	36.45
03/02/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.02	0.00	3.02	95.0	2.87
03/02/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	3.17	0.00	3.17	95.0	3.01
03/02/2017	TYSZKIEWICZ TRUST, RONALD &	TRANSAMERICA AA MOD GROWTH C	0.00	3.51	0.00	3.51	95.0	3.33
03/02/2017	THOMAS, DEBORAH	TRANSAMERICA AA MOD GROWTH C	0.00	8.34	0.00	8.34	95.0	7.92
03/02/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	131.16	0.00	131.16	95.0	124.60
03/02/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	46.79	0.00	46.79	95.0	44.45
03/02/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	1.82	0.00	1.82	95.0	1.73
03/02/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.86	0.00	2.86	95.0	2.72
03/02/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	22.54	0.00	22.54	95.0	21.41
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	41.32	0.00	41.32	95.0	39.25
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	97.17	0.00	97.17	95.0	92.31
02/24/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	12,149.46	121.49	0.00	121.49	95.0	115.42
03/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	19.79	0.00	19.79	95.0	18.80
03/02/2017	SIMONY, JOAN	TRANSAMERICA AA MODERATE C	0.00	61.48	0.00	61.48	95.0	58.41
03/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.67	0.00	0.67	95.0	0.64
03/02/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	75.12	0.00	75.12	95.0	71.36
03/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	8.80	0.00	8.80	95.0	8.36
03/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.26	0.00	0.26	95.0	0.25
03/02/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	10.23	0.00	10.23	95.0	9.72
03/02/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	7.18	0.00	7.18	95.0	6.82
03/02/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	27.59	0.00	27.59	95.0	26.21
03/02/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	19.93	0.00	19.93	95.0	18.93
03/02/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	8.36	0.00	8.36	95.0	7.94
03/02/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.03	0.00	4.03	95.0	3.83
03/02/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	11.18	0.00	11.18	95.0	10.62
03/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	9.69	0.00	9.69	95.0	9.21
03/02/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	11.77	0.00	11.77	95.0	11.18
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI MGR INTL C	0.00	11.32	0.00	11.32	95.0	10.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/02/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	27.21	0.00	27.21	95.0	25.85
03/02/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.61	0.00	2.61	95.0	2.48
03/02/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.48	0.00	5.48	95.0	5.21
03/02/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.57	0.00	6.57	95.0	6.24
03/02/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.51	0.00	28.51	95.0	27.08
03/02/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	97.43	0.00	97.43	95.0	92.56
03/02/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	36.22	0.00	36.22	95.0	34.41
03/02/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.08	0.00	6.08	95.0	5.78
03/02/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.68	0.00	2.68	95.0	2.55
03/02/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.39	0.00	2.39	95.0	2.27
03/02/2017	ORTAGO, PAULA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	13.82	0.00	13.82	95.0	13.13
03/02/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	9.60	0.00	9.60	95.0	9.12
03/02/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.06	0.00	1.06	95.0	1.01
03/02/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	11.70	0.00	11.70	95.0	11.12
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	15.01	0.00	15.01	95.0	14.26
03/02/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.14	0.00	30.14	95.0	28.63
03/02/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	9.26	0.00	9.26	95.0	8.80
03/02/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.57	0.00	2.57	95.0	2.44
03/02/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	55.85	0.00	55.85	95.0	53.06
03/02/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	117.82	0.00	117.82	95.0	111.93
03/02/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	22.61	0.00	22.61	95.0	21.48
03/02/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	68.78	0.00	68.78	95.0	65.34
03/02/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.50	0.00	1.50	95.0	1.43
03/02/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	88.55	0.00	88.55	95.0	84.12
03/02/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	38.14	0.00	38.14	95.0	36.23
03/02/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	18.20	0.00	18.20	95.0	17.29
03/02/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	25.57	0.00	25.57	95.0	24.29
03/02/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	25.57	0.00	25.57	95.0	24.29
03/02/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	19.78	0.00	19.78	95.0	18.79
03/02/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.69	0.00	5.69	95.0	5.41
02/24/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	12,149.46	121.49	0.00	121.49	95.0	115.42
03/02/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	6.54	0.00	6.54	95.0	6.21
03/02/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	6.54	0.00	6.54	95.0	6.21

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/02/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	26.89	0.00	26.89	95.0	25.55
03/02/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	20.34	0.00	20.34	95.0	19.32
03/02/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	58.56	0.00	58.56	95.0	55.63
03/02/2017	CHRONOWSKI, THEODORA	TRANSAMERICA SHORT-TERM BOND C	0.00	13.91	0.00	13.91	95.0	13.21
03/02/2017	HOOTNER-JONES, ANN	TRANSAMERICA SHORT-TERM BOND C	0.00	7.31	0.00	7.31	95.0	6.94
03/02/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	7.82	0.00	7.82	95.0	7.43
03/02/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	7.50	0.00	7.50	95.0	7.13
03/02/2017	KNIGHT, SHARON	TRANSAMERICA SMALL/MID CAP VALUE C	0.00	10.83	0.00	10.83	95.0	10.29
03/02/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.26	0.00	4.26	95.0	4.05
03/02/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.11	0.00	5.11	95.0	4.85
03/02/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	2.84	0.00	2.84	95.0	2.70
03/02/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.66	0.00	1.66	95.0	1.58
* MUTUAL FUNDS SUBTOTAL *			\$49,000.58	\$15,150.80	\$0.00	\$15,150.80		\$14,386.27
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	58,393.20	24.33	0.00	24.33	95.0	23.11
02/28/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	21,889.88	18.24	0.00	18.24	95.0	17.33
02/28/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	93,032.10	38.76	0.00	38.76	95.0	36.82
02/28/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	484.06	0.40	0.00	0.40	95.0	0.38
02/28/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	25,915.04	10.80	0.00	10.80	95.0	10.26
02/28/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	5,744.48	2.39	0.00	2.39	95.0	2.27
02/28/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	43,872.55	18.28	0.00	18.28	95.0	17.37
02/28/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	72,056.50	30.02	0.00	30.02	95.0	28.52
02/28/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	172,565.61	71.90	0.00	71.90	95.0	68.31
02/28/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	124,859.17	52.02	0.00	52.02	95.0	49.42
02/28/2017	PIROZZO, PETER	JNL PERSPECTIVE L	49,323.18	53.43	0.00	53.43	95.0	50.76
02/28/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	579.65	0.12	0.00	0.12	95.0	0.11
02/28/2017	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	44,907.31	9.36	0.00	9.36	95.0	8.89
02/28/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	6,769.38	1.41	0.00	1.41	95.0	1.34
02/28/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	296.54	0.06	0.00	0.06	95.0	0.06
02/28/2017	MIKLEVICH, JOYTHUN	JOHN HANCOCK VENTURE	81,014.25	16.88	0.00	16.88	95.0	16.04
* VARIABLE ANNUITIES SUBTOTAL *			\$801,702.90	\$348.40	\$0.00	\$348.40		\$330.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/28/2017	DINKA, STEPHEN	PAC LIFE VUL	0.00	164.53	0.00	164.53	95.0	156.30
* LIFE INSURANCE SUBTOTAL *			\$0.00	\$164.53	\$0.00	\$164.53		\$156.30
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/28/2017	FLAM, VARIOUS	DREYFUS	0.00	67.47	0.00	67.47	95.0	64.10
02/28/2017	CFGROUP, VARIOUS	DREYFUS	0.00	18.89	0.00	18.89	95.0	17.95
01/31/2017	ROCCA/VARTABEDIAN, VARIOUS	VOYA TRAILS	0.00	3.46	0.00	3.46	95.0	3.29
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$89.82	\$0.00	\$89.82		\$85.34
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/01/2016	CONLEY, ROGER	TRANSAMERICA TRAILS	0.00	68.07	0.00	68.07	95.0	64.67
12/10/2016	CFGROUP, VARIOUS	TRANSAMERICA TRAILS	0.00	47.06	0.00	47.06	95.0	44.71
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$115.13	\$0.00	\$115.13		\$109.38
*** BROKER TRANSACTIONS TOTAL ***			\$963,052.48	\$17,027.20	\$0.00	\$17,027.20		\$16,168.89

SPLIT TRANSACTIONS**BROKER: MARK KOSANKE #3**

02/21/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.33	0.00	0.33	95.0	0.31
02/09/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	95.0	0.19
02/09/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.16	0.00	0.16	95.0	0.15
02/09/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.23	0.00	2.23	95.0	2.12
02/09/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	95.0	0.39
02/09/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	11.28	0.00	11.28	95.0	10.72
02/09/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.09	0.00	1.09	95.0	1.04
02/09/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	5.73	0.00	5.73	95.0	5.44
02/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
02/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
02/09/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.82	0.00	4.82	95.0	4.58
02/07/2017	ALEX, GREGORY	CALAMOS ASSET MGMT INC	4,250.00	50.00	14.00	36.00	95.0	34.20
02/10/2017	TAMM, MARGARET	COLUMBIA PPTY TR INC COM NEW	674.54	30.00	14.00	16.00	95.0	15.20
02/10/2017	TAMM, MARGARET	COLUMBIA PPTY TR INC COM NEW	-674.54	-30.00	-14.00	-16.00	95.0	-15.20
02/10/2017	TAMM, MARGARET	COLUMBIA PPTY TR INC COM NEW	674.54	25.00	14.00	11.00	95.0	10.45
02/09/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.05	0.00	2.05	95.0	1.95

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
02/21/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	14.95	0.00	14.95	95.0	14.20
02/21/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	9.29	0.00	9.29	95.0	8.83
02/09/2017	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	1.05	0.00	1.05	95.0	1.00
02/09/2017	WERNER, DOROTHY	DREYFUS HIGH YIELD A	0.00	2.35	0.00	2.35	95.0	2.23
02/09/2017	HENKEL, JAMES	EATON VANCE HIGH INCOME OPPORTUNITI	0.00	1.30	0.00	1.30	95.0	1.24
02/09/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	2.22	0.00	2.22	95.0	2.11
02/09/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	6.94	0.00	6.94	95.0	6.59
02/09/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	0.00	11.21	0.00	11.21	95.0	10.65
02/28/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	17,209.12	3.58	0.00	3.58	95.0	3.40
02/19/2017	ELIAS, NAZEEH AKHNOUKH	JNL REWARD 10 YR TERM	1,442.79	14.43	0.00	14.43	95.0	13.71
02/09/2017	ALEXOPOULOS, PAUL	LORD ABBETT BOND DEBENTURE A	0.00	10.24	0.00	10.24	95.0	9.73
02/21/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.69	0.00	0.69	95.0	0.66
02/10/2017	TAMM, MARGARET	PIEDMONT OFFICE RLTY TR INC COM CL	4,644.96	209.00	14.00	195.00	95.0	185.25
02/09/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.24	0.00	0.24	95.0	0.23
02/10/2017	TAMM, JAMES	RETAIL PPTYS AMER INC CL A	11,210.38	239.00	14.00	225.00	95.0	213.75
02/02/2017	COOPER, IAN	TIER REIT INC COM	13,013.46	388.00	14.00	374.00	95.0	355.30
02/09/2017	KNIGHT, SHARON	TRANSAMERICA TACTICAL INCOME C	0.00	5.24	0.00	5.24	95.0	4.98
02/21/2017	KNIGHT, SHARON	TRANSAMERICA TACTICAL INCOME C	0.00	5.24	0.00	5.24	95.0	4.98
02/27/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.61	0.00	0.61	95.0	0.58
02/27/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	0.98	0.00	0.98	95.0	0.93
02/09/2017	WERNER, DOROTHY	WELLS FARGO INCOME PLUS A	0.00	2.15	0.00	2.15	95.0	2.04
02/10/2017	LOPICCOLO, CATHERINE	XENIA HOTELS & RESORTS INC COM	5,893.69	277.00	14.00	263.00	95.0	249.85
* MARK KOSANKE SUBTOTAL *			\$58,338.94	\$1,311.89	\$84.00	\$1,227.89		\$1,166.52
<u>BROKER: 101 CFGROUP/KOSANKE #9</u>								
03/02/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$150.00	\$7.50	\$0.00	\$7.50		\$7.13
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.26	0.00	2.26	95.0	2.15
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.26	\$0.00	\$2.26		\$2.15

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: GROUP FLAM/BUSSELL #32</u>								
02/28/2017	M, OSIP	DELAWARE VALUE A	0.00	1.18	0.00	1.18	95.0	1.12
		* GROUP FLAM/BUSSELL SUBTOTAL *	\$0.00	\$1.18	\$0.00	\$1.18		\$1.12
<u>BROKER: PETER JOHNSON #63</u>								
02/28/2017	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	24.03	0.00	24.03	95.0	22.83
02/28/2017	KAPELN, J	DELAWARE TAX FREE USA A	0.00	7.94	0.00	7.94	95.0	7.54
02/28/2017	PAPPAS, LARRY	DELAWARE VALUE A	0.00	30.48	0.00	30.48	95.0	28.96
02/28/2017	PAPPAS, JANE	DELAWARE VALUE A	0.00	5.77	0.00	5.77	95.0	5.48
02/28/2017	JOHNSON, VARIOUS	DREYFUS	0.00	5.53	0.00	5.53	95.0	5.25
		* PETER JOHNSON SUBTOTAL *	\$0.00	\$73.75	\$0.00	\$73.75		\$70.06
		*** SPLIT TRANSACTIONS TOTAL ***	\$58,488.94	\$1,396.58	\$84.00	\$1,312.58		\$1,246.98
<u>OVERRIDE TRANSACTIONS</u>								
<u>BROKER: FRANK DUNN #7</u>								
03/02/2017	LABANCA, SOL	GRIFFIN-AMERICAN HC REIT IV T	100,000.00	3,000.00	0.00	3,000.00	90.0	150.00
03/01/2017	LABANCA, FRANCISCO	HPI FUND V	100,000.00	6,000.00	0.00	6,000.00	90.0	300.00
03/01/2017	LABANCA, FRANCISCO	SEALEY STRATEGIC EQUITY PARTNERS LP	100,000.00	7,000.00	0.00	7,000.00	90.0	350.00
		* FRANK DUNN SUBTOTAL *	\$300,000.00	\$16,000.00	\$0.00	\$16,000.00		\$800.00
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$300,000.00	\$16,000.00	\$0.00	\$16,000.00		\$800.00
<u>ADJUSTMENTS</u>								
03/15/2017		*BAL CARRIED FORWARD: FROM 2/28/17	0.00					47.50
03/15/2017		*DUE DILIGENCE: DD-F DUNN-GRIFFIN C	0.00					1,000.00
03/15/2017		*DUE DILIGENCE: DD-F DUNN-HPI FUND	0.00					1,000.00
03/15/2017		*DUE DILIGENCE: DD-F DUNN-SEALY	0.00					1,000.00
03/15/2017		*RBC: DEBIT BAL WRITE OFF	0.00					-1,522.80
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$1,524.70

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

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

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

BROKER COMMISSION TOTALS

Broker Transactions	\$16,168.89
Split Transactions	\$1,246.98
Override Transactions	\$800.00
Adjustments	\$1,524.70
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$19,740.57
Year-to-date Gross	\$65,600.86
Year-to-date Earnings	\$64,850.71