



Concorde Investment Services, LLC

02/27/2018

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COMMISSION STATEMENT**February 28, 2018**DELMAR (BO)-M143 MCKINNEY
5 Red Bud TrailBROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	200.00	2.40	0.00	2.40	90.0	2.16
		* MUTUAL FUNDS SUBTOTAL *	\$200.00	\$2.40	\$0.00	\$2.40		\$2.16
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/12/2018	BARTOSH, PATRICIA	AM GEN POLIRIS II FLEXIBLE	26,005.12	26.01	0.00	26.01	90.0	23.41
02/12/2018	BARTOSH, PATRICIA	ANCHOR ADVISOR 11 FLEX	6,809.28	17.02	0.00	17.02	90.0	15.32
02/20/2018	LUEDTKE, LOIS	ANCHOR ADVISOR FLEX PYMT DEF ANN	294,400.16	736.00	0.00	736.00	90.0	662.40
02/21/2018	DAWSON, SIDNEY	ANCHOR ADVISOR FLEX PYMT DEF ANN	513.65	1.28	0.00	1.28	90.0	1.15
		* VARIABLE ANNUITIES SUBTOTAL *	\$327,728.21	\$780.31	\$0.00	\$780.31		\$702.28
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/11/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.10	0.00	0.10	90.0	0.09
06/10/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.77	0.00	0.77	90.0	0.69
07/18/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.73	0.00	0.73	90.0	0.66
08/08/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.75	0.00	0.75	90.0	0.68
09/12/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.78	0.00	0.78	90.0	0.70
10/20/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.77	0.00	0.77	90.0	0.69
11/11/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.79	0.00	0.79	90.0	0.71
12/12/2016	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.75	0.00	0.75	90.0	0.68
05/24/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	1.58	0.00	1.58	90.0	1.42
06/10/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.58	0.00	2.58	90.0	2.32
07/14/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.55	0.00	2.55	90.0	2.30
08/19/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.73	0.00	2.73	90.0	2.46
09/19/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.75	0.00	2.75	90.0	2.48
10/20/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.64	0.00	2.64	90.0	2.38
11/18/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.71	0.00	2.71	90.0	2.44
12/19/2016	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.65	0.00	2.65	90.0	2.39

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	1.24	0.00	1.24	90.0	1.12
04/20/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.10	0.00	0.10	90.0	0.09
04/20/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	4.99	0.00	4.99	90.0	4.49
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	0.08	0.00	0.08	90.0	0.07
04/20/2016	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	1.40	0.00	1.40	90.0	1.26
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	9.49	0.00	9.49	90.0	8.54
05/16/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.80	0.00	0.80	90.0	0.72
05/16/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	9.56	0.00	9.56	90.0	8.60
05/16/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	1.52	0.00	1.52	90.0	1.37
05/16/2016	MICHALIK, WILLIAM	AM FUNDS AMCAP A	0.00	2.49	0.00	2.49	90.0	2.24
05/16/2016	MICHALIK, WILLIAM	AM FUNDS AMCAP A	0.00	1.50	0.00	1.50	90.0	1.35
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.29	0.00	1.29	90.0	1.16
05/16/2016	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	21.24	0.00	21.24	90.0	19.12
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	9.75	0.00	9.75	90.0	8.78
06/15/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.82	0.00	0.82	90.0	0.74
06/15/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	9.82	0.00	9.82	90.0	8.84
06/15/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	1.76	0.00	1.76	90.0	1.58
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.32	0.00	1.32	90.0	1.19
06/15/2016	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	21.83	0.00	21.83	90.0	19.65
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	9.57	0.00	9.57	90.0	8.61
07/18/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.81	0.00	0.81	90.0	0.73
07/18/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	9.63	0.00	9.63	90.0	8.67
07/18/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	1.74	0.00	1.74	90.0	1.57
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.30	0.00	1.30	90.0	1.17
07/18/2016	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	21.41	0.00	21.41	90.0	19.27
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	10.05	0.00	10.05	90.0	9.05
08/15/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.85	0.00	0.85	90.0	0.77
08/15/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	10.12	0.00	10.12	90.0	9.11
08/15/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	1.96	0.00	1.96	90.0	1.76
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.36	0.00	1.36	90.0	1.22
08/15/2016	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	0.89	0.00	0.89	90.0	0.80
08/15/2016	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	22.48	0.00	22.48	90.0	20.23
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	10.28	0.00	10.28	90.0	9.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.87	0.00	0.87	90.0	0.78
09/16/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	10.35	0.00	10.35	90.0	9.32
09/16/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.07	0.00	2.07	90.0	1.86
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.39	0.00	1.39	90.0	1.25
09/16/2016	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.13	0.00	1.13	90.0	1.02
09/16/2016	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	23.01	0.00	23.01	90.0	20.71
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	9.88	0.00	9.88	90.0	8.89
10/17/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.83	0.00	0.83	90.0	0.75
10/17/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	9.95	0.00	9.95	90.0	8.96
10/17/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.01	0.00	2.01	90.0	1.81
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.34	0.00	1.34	90.0	1.21
10/17/2016	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.09	0.00	1.09	90.0	0.98
10/17/2016	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	22.11	0.00	22.11	90.0	19.90
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	10.22	0.00	10.22	90.0	9.20
11/18/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.86	0.00	0.86	90.0	0.77
11/18/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	10.30	0.00	10.30	90.0	9.27
11/18/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.10	0.00	2.10	90.0	1.89
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.39	0.00	1.39	90.0	1.25
11/18/2016	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.12	0.00	1.12	90.0	1.01
11/18/2016	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	22.88	0.00	22.88	90.0	20.59
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	9.91	0.00	9.91	90.0	8.92
12/15/2016	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.84	0.00	0.84	90.0	0.76
12/15/2016	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	9.98	0.00	9.98	90.0	8.98
12/15/2016	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.05	0.00	2.05	90.0	1.85
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.34	0.00	1.34	90.0	1.21
12/15/2016	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.09	0.00	1.09	90.0	0.98
12/15/2016	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	22.18	0.00	22.18	90.0	19.96
04/20/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	90.0	0.34
05/16/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	90.0	0.95
06/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.10	0.00	1.10	90.0	0.99
07/18/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.07	0.00	1.07	90.0	0.96
08/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.13	0.00	1.13	90.0	1.02
09/16/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.14	0.00	1.14	90.0	1.03

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.09	0.00	1.09	90.0	0.98
11/18/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.13	0.00	1.13	90.0	1.02
12/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.10	0.00	1.10	90.0	0.99
04/20/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.49	0.00	0.49	90.0	0.44
05/16/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.49	0.00	1.49	90.0	1.34
05/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.94	0.00	3.94	90.0	3.55
05/16/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.35	0.00	1.35	90.0	1.22
06/15/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.91	0.00	2.91	90.0	2.62
06/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	30.49	0.00	30.49	90.0	27.44
06/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.42	0.00	1.42	90.0	1.28
07/18/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.85	0.00	2.85	90.0	2.57
07/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	29.87	0.00	29.87	90.0	26.88
07/18/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.39	0.00	1.39	90.0	1.25
08/15/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.02	0.00	3.02	90.0	2.72
08/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	31.62	0.00	31.62	90.0	28.46
08/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.47	0.00	1.47	90.0	1.32
09/16/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.07	0.00	3.07	90.0	2.76
09/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	32.10	0.00	32.10	90.0	28.89
09/16/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.50	0.00	1.50	90.0	1.35
10/17/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.99	0.00	2.99	90.0	2.69
10/17/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	31.31	0.00	31.31	90.0	28.18
10/17/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.46	0.00	1.46	90.0	1.31
11/18/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.13	0.00	3.13	90.0	2.82
11/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	32.76	0.00	32.76	90.0	29.48
11/18/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.53	0.00	1.53	90.0	1.38
12/15/2016	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.00	0.00	3.00	90.0	2.70
12/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	31.43	0.00	31.43	90.0	28.29
12/15/2016	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.47	0.00	1.47	90.0	1.32
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	1.88	0.00	1.88	90.0	1.69
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.05	0.00	0.05	90.0	0.05
04/20/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	1.01	0.00	1.01	90.0	0.91
04/20/2016	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	1.25	0.00	1.25	90.0	1.13
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	14.26	0.00	14.26	90.0	12.83

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	2.39	0.00	2.39	90.0	2.15
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.80	0.00	0.80	90.0	0.72
05/16/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.19	0.00	2.19	90.0	1.97
05/16/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	18.96	0.00	18.96	90.0	17.06
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	14.80	0.00	14.80	90.0	13.32
06/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.39	0.00	7.39	90.0	6.65
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.83	0.00	0.83	90.0	0.75
06/15/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.27	0.00	2.27	90.0	2.04
06/15/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	19.69	0.00	19.69	90.0	17.72
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	14.54	0.00	14.54	90.0	13.09
07/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.25	0.00	7.25	90.0	6.53
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.81	0.00	0.81	90.0	0.73
07/18/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.23	0.00	2.23	90.0	2.01
07/18/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	19.30	0.00	19.30	90.0	17.37
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	15.53	0.00	15.53	90.0	13.98
08/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.72	0.00	7.72	90.0	6.95
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.87	0.00	0.87	90.0	0.78
08/15/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.39	0.00	2.39	90.0	2.15
08/15/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	20.55	0.00	20.55	90.0	18.50
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	15.67	0.00	15.67	90.0	14.10
09/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.79	0.00	7.79	90.0	7.01
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.88	0.00	0.88	90.0	0.79
09/16/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.41	0.00	2.41	90.0	2.17
09/16/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	20.75	0.00	20.75	90.0	18.68
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	15.02	0.00	15.02	90.0	13.52
10/17/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.44	0.00	7.44	90.0	6.70
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.84	0.00	0.84	90.0	0.76
10/17/2016	IVICIC, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	1.16	0.00	1.16	90.0	1.04
10/17/2016	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	19.82	0.00	19.82	90.0	17.84
10/17/2016	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.15	0.00	1.15	90.0	1.04
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	15.38	0.00	15.38	90.0	13.84
11/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.61	0.00	7.61	90.0	6.85
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.86	0.00	0.86	90.0	0.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	20.26	0.00	20.26	90.0	18.23
11/18/2016	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.35	0.00	2.35	90.0	2.12
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	15.00	0.00	15.00	90.0	13.50
12/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.42	0.00	7.42	90.0	6.68
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.84	0.00	0.84	90.0	0.76
12/15/2016	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	19.75	0.00	19.75	90.0	17.78
12/15/2016	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.30	0.00	2.30	90.0	2.07
04/20/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.08	0.00	5.08	90.0	4.57
04/20/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.14	0.00	7.14	90.0	6.43
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.83	0.00	3.83	90.0	3.45
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	90.0	0.56
04/20/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	90.0	1.76
04/20/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.03	0.00	0.03	90.0	0.03
04/20/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.89	0.00	0.89	90.0	0.80
04/20/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	90.0	0.39
04/20/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	90.0	0.58
04/20/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	90.0	0.33
04/20/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.30	0.00	1.30	90.0	1.17
04/20/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.13	0.00	0.13	90.0	0.12
05/16/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.63	0.00	9.63	90.0	8.67
05/16/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.73	0.00	19.73	90.0	17.76
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	28.99	0.00	28.99	90.0	26.09
05/16/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.57	0.00	9.57	90.0	8.61
05/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.19	0.00	2.19	90.0	1.97
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.67	0.00	4.67	90.0	4.20
05/16/2016	MICHALIK, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.38	0.00	1.38	90.0	1.24
05/16/2016	MICHALIK, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	90.0	1.27
05/16/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.42	0.00	5.42	90.0	4.88
05/16/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
05/16/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.70	0.00	6.70	90.0	6.03
05/16/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	90.0	1.07
05/16/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.77	0.00	1.77	90.0	1.59
05/16/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.82	0.00	2.82	90.0	2.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.12	0.00	6.12	90.0	5.51
05/16/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.50	0.00	19.50	90.0	17.55
05/16/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	90.0	1.19
06/15/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.96	0.00	9.96	90.0	8.96
06/15/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.39	0.00	20.39	90.0	18.35
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	29.97	0.00	29.97	90.0	26.97
06/15/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.47	0.00	18.47	90.0	16.62
06/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.88	0.00	16.88	90.0	15.19
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.83	0.00	4.83	90.0	4.35
06/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.61	0.00	5.61	90.0	5.05
06/15/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
06/15/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	90.0	6.24
06/15/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	90.0	1.11
06/15/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	90.0	1.65
06/15/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.92	0.00	2.92	90.0	2.63
06/15/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.23	0.00	8.23	90.0	7.41
06/15/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.15	0.00	20.15	90.0	18.14
06/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	90.0	1.22
07/18/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.72	0.00	9.72	90.0	8.75
07/18/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.81	0.00	19.81	90.0	17.83
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	29.25	0.00	29.25	90.0	26.33
07/18/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.03	0.00	18.03	90.0	16.23
07/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.47	0.00	16.47	90.0	14.82
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.71	0.00	4.71	90.0	4.24
07/18/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.47	0.00	5.47	90.0	4.92
07/18/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
07/18/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.76	0.00	6.76	90.0	6.08
07/18/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	90.0	1.08
07/18/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.79	0.00	1.79	90.0	1.61
07/18/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.85	0.00	2.85	90.0	2.57
07/18/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.03	0.00	8.03	90.0	7.23
07/18/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.58	0.00	19.58	90.0	17.62
07/18/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.33	0.00	1.33	90.0	1.20

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.33	0.00	10.33	90.0	9.30
08/15/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.96	0.00	20.96	90.0	18.86
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	31.08	0.00	31.08	90.0	27.97
08/15/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.15	0.00	19.15	90.0	17.24
08/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.50	0.00	17.50	90.0	15.75
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.01	0.00	5.01	90.0	4.51
08/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.81	0.00	5.81	90.0	5.23
08/15/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
08/15/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.18	0.00	7.18	90.0	6.46
08/15/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	90.0	1.15
08/15/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.90	0.00	1.90	90.0	1.71
08/15/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.03	0.00	3.03	90.0	2.73
08/15/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.53	0.00	8.53	90.0	7.68
08/15/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.72	0.00	20.72	90.0	18.65
08/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	90.0	1.27
09/16/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.36	0.00	10.36	90.0	9.32
09/16/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.04	0.00	21.04	90.0	18.94
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	31.19	0.00	31.19	90.0	28.07
09/16/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.22	0.00	19.22	90.0	17.30
09/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.57	0.00	17.57	90.0	15.81
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.03	0.00	5.03	90.0	4.53
09/16/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.83	0.00	5.83	90.0	5.25
09/16/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
09/16/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.21	0.00	7.21	90.0	6.49
09/16/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	90.0	1.15
09/16/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	90.0	1.72
09/16/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	90.0	2.74
09/16/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.56	0.00	8.56	90.0	7.70
09/16/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.80	0.00	20.80	90.0	18.72
09/16/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	1.28
10/17/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.99	0.00	9.99	90.0	8.99
10/17/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.17	0.00	20.17	90.0	18.15
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	30.05	0.00	30.05	90.0	27.05

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.51	0.00	18.51	90.0	16.66
10/17/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.92	0.00	16.92	90.0	15.23
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.84	0.00	4.84	90.0	4.36
10/17/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.62	0.00	5.62	90.0	5.06
10/17/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
10/17/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.94	0.00	6.94	90.0	6.25
10/17/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	90.0	1.12
10/17/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.84	0.00	1.84	90.0	1.66
10/17/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.93	0.00	2.93	90.0	2.64
10/17/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.25	0.00	8.25	90.0	7.43
10/17/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.93	0.00	19.93	90.0	17.94
10/17/2016	BOHLS, LANIER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.90	0.00	4.90	90.0	4.41
10/17/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	90.0	1.23
11/18/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.15	0.00	10.15	90.0	9.14
11/18/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.43	0.00	20.43	90.0	18.39
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	30.55	0.00	30.55	90.0	27.50
11/18/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.83	0.00	18.83	90.0	16.95
11/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.20	0.00	17.20	90.0	15.48
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.92	0.00	4.92	90.0	4.43
11/18/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.71	0.00	5.71	90.0	5.14
11/18/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
11/18/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.06	0.00	7.06	90.0	6.35
11/18/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.26	0.00	1.26	90.0	1.13
11/18/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.87	0.00	1.87	90.0	1.68
11/18/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.97	0.00	2.97	90.0	2.67
11/18/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.39	0.00	8.39	90.0	7.55
11/18/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.19	0.00	20.19	90.0	18.17
11/18/2016	BOHLS, LANIER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.22	0.00	2.22	90.0	2.00
11/18/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	90.0	1.25
12/15/2016	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.63	0.00	9.63	90.0	8.67
12/15/2016	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.40	0.00	19.40	90.0	17.46
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	29.00	0.00	29.00	90.0	26.10
12/15/2016	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.87	0.00	17.87	90.0	16.08

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.33	0.00	16.33	90.0	14.70
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.67	0.00	4.67	90.0	4.20
12/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.43	0.00	5.43	90.0	4.89
12/15/2016	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
12/15/2016	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.70	0.00	6.70	90.0	6.03
12/15/2016	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	90.0	1.07
12/15/2016	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.77	0.00	1.77	90.0	1.59
12/15/2016	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.82	0.00	2.82	90.0	2.54
12/15/2016	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.97	0.00	7.97	90.0	7.17
12/15/2016	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.17	0.00	19.17	90.0	17.25
12/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	90.0	1.19
10/17/2016	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	11.04	0.00	11.04	90.0	9.94
11/18/2016	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	30.54	0.00	30.54	90.0	27.49
12/15/2016	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	28.98	0.00	28.98	90.0	26.08
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.26	0.00	3.26	90.0	2.93
04/20/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	90.0	0.61
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.60	0.00	1.60	90.0	1.44
04/20/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	90.0	1.32
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	90.0	0.05
04/20/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	90.0	0.46
04/20/2016	SCOTT, MONYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.70	0.00	1.70	90.0	1.53
04/20/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	90.0	0.22
04/20/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	90.0	0.30
04/20/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	90.0	0.12
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.80	0.00	24.80	90.0	22.32
05/16/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	90.0	1.69
05/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.40	0.00	2.40	90.0	2.16
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.12	0.00	12.12	90.0	10.91
05/16/2016	MICHALIK, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.93	0.00	1.93	90.0	1.74
05/16/2016	MICHALIK, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.71	0.00	1.71	90.0	1.54
05/16/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.05	0.00	4.05	90.0	3.65
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	90.0	0.83
05/16/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	90.0	0.99

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.69	0.00	25.69	90.0	23.12
05/16/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.23	0.00	7.23	90.0	6.51
05/16/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.97	0.00	4.97	90.0	4.47
05/16/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	90.0	1.21
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.46	0.00	25.46	90.0	22.91
06/15/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.93	0.00	1.93	90.0	1.74
06/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.32	0.00	7.32	90.0	6.59
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.45	0.00	12.45	90.0	11.21
06/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.16	0.00	4.16	90.0	3.74
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	90.0	0.85
06/15/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	90.0	1.02
06/15/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.37	0.00	26.37	90.0	23.73
06/15/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.42	0.00	7.42	90.0	6.68
06/15/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.10	0.00	5.10	90.0	4.59
06/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.38	0.00	1.38	90.0	1.24
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.79	0.00	24.79	90.0	22.31
07/18/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	90.0	1.69
07/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.10	0.00	7.10	90.0	6.39
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.12	0.00	12.12	90.0	10.91
07/18/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.05	0.00	4.05	90.0	3.65
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	90.0	0.83
07/18/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	90.0	0.99
07/18/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.57	0.00	25.57	90.0	23.01
07/18/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.22	0.00	7.22	90.0	6.50
07/18/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.97	0.00	4.97	90.0	4.47
07/18/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	90.0	1.21
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.30	0.00	26.30	90.0	23.67
08/15/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.00	0.00	2.00	90.0	1.80
08/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.50	0.00	7.50	90.0	6.75
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.86	0.00	12.86	90.0	11.57
08/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.31	0.00	4.31	90.0	3.88
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
08/15/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.17	0.00	1.17	90.0	1.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.02	0.00	27.02	90.0	24.32
08/15/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.66	0.00	7.66	90.0	6.89
08/15/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.27	0.00	5.27	90.0	4.74
08/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.42	0.00	1.42	90.0	1.28
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.96	0.00	26.96	90.0	24.26
09/16/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.04	0.00	2.04	90.0	1.84
09/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.69	0.00	7.69	90.0	6.92
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.18	0.00	13.18	90.0	11.86
09/16/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.41	0.00	4.41	90.0	3.97
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.00	0.00	1.00	90.0	0.90
09/16/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	90.0	1.08
09/16/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.70	0.00	27.70	90.0	24.93
09/16/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.85	0.00	7.85	90.0	7.07
09/16/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.40	0.00	5.40	90.0	4.86
09/16/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	90.0	1.31
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.09	0.00	26.09	90.0	23.48
10/17/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.98	0.00	1.98	90.0	1.78
10/17/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.43	0.00	7.43	90.0	6.69
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.76	0.00	12.76	90.0	11.48
10/17/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.27	0.00	4.27	90.0	3.84
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.96	0.00	0.96	90.0	0.86
10/17/2016	IVICIC, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	90.0	0.72
10/17/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.75	0.00	26.75	90.0	24.08
10/17/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.60	0.00	7.60	90.0	6.84
10/17/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.23	0.00	5.23	90.0	4.71
10/17/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	90.0	1.27
10/17/2016	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	90.0	0.30
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.71	0.00	26.71	90.0	24.04
11/18/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.03	0.00	2.03	90.0	1.83
11/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.59	0.00	7.59	90.0	6.83
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.05	0.00	13.05	90.0	11.75
11/18/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.37	0.00	4.37	90.0	3.93
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	90.0	0.89

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.32	0.00	27.32	90.0	24.59
11/18/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.78	0.00	7.78	90.0	7.00
11/18/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.35	0.00	5.35	90.0	4.82
11/18/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.45	0.00	1.45	90.0	1.31
11/18/2016	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	1.01
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.47	0.00	25.47	90.0	22.92
12/15/2016	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.93	0.00	1.93	90.0	1.74
12/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.23	0.00	7.23	90.0	6.51
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.45	0.00	12.45	90.0	11.21
12/15/2016	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.16	0.00	4.16	90.0	3.74
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	90.0	0.85
12/15/2016	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.06	0.00	26.06	90.0	23.45
12/15/2016	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.42	0.00	7.42	90.0	6.68
12/15/2016	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.10	0.00	5.10	90.0	4.59
12/15/2016	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.38	0.00	1.38	90.0	1.24
12/15/2016	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.96
04/20/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.13	0.00	7.13	90.0	6.42
04/20/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.26	0.00	1.26	90.0	1.13
05/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.94	0.00	1.94	90.0	1.75
05/16/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.57	0.00	13.57	90.0	12.21
05/16/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.48	0.00	3.48	90.0	3.13
06/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.73	0.00	14.73	90.0	13.26
06/15/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.88	0.00	13.88	90.0	12.49
06/15/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.57	0.00	3.57	90.0	3.21
07/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.28	0.00	14.28	90.0	12.85
07/18/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.45	0.00	13.45	90.0	12.11
07/18/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.45	0.00	3.45	90.0	3.11
08/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.08	0.00	15.08	90.0	13.57
08/15/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.20	0.00	14.20	90.0	12.78
08/15/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.65	0.00	3.65	90.0	3.29
09/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.64	0.00	15.64	90.0	14.08
09/16/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.74	0.00	14.74	90.0	13.27
09/16/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.79	0.00	3.79	90.0	3.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.38	0.00	15.38	90.0	13.84
10/17/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.49	0.00	14.49	90.0	13.04
10/17/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.72	0.00	3.72	90.0	3.35
11/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.70	0.00	15.70	90.0	14.13
11/18/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.80	0.00	14.80	90.0	13.32
11/18/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.80	0.00	3.80	90.0	3.42
12/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.67	0.00	14.67	90.0	13.20
12/15/2016	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.82	0.00	13.82	90.0	12.44
12/15/2016	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.55	0.00	3.55	90.0	3.20
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.92	0.00	3.92	90.0	3.53
04/20/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.16	0.00	0.16	90.0	0.14
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.98	0.00	1.98	90.0	1.78
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
04/20/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.24	0.00	1.24	90.0	1.12
04/20/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.03	0.00	2.03	90.0	1.83
04/20/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.38	0.00	0.38	90.0	0.34
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.86	0.00	29.86	90.0	26.87
05/16/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	0.00	1.20	90.0	1.08
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.05	0.00	15.05	90.0	13.55
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.21	0.00	1.21	90.0	1.09
05/16/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.71	0.00	2.71	90.0	2.44
05/16/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	30.77	0.00	30.77	90.0	27.69
05/16/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.73	0.00	5.73	90.0	5.16
05/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.89	0.00	4.89	90.0	4.40
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	30.92	0.00	30.92	90.0	27.83
06/15/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.24	0.00	1.24	90.0	1.12
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.58	0.00	15.58	90.0	14.02
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	90.0	1.13
06/15/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.81	0.00	2.81	90.0	2.53
06/15/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	31.86	0.00	31.86	90.0	28.67
06/15/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.94	0.00	5.94	90.0	5.35
06/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.62	0.00	5.62	90.0	5.06
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	30.28	0.00	30.28	90.0	27.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.22	0.00	1.22	90.0	1.10
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.26	0.00	15.26	90.0	13.73
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.23	0.00	1.23	90.0	1.11
07/18/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.75	0.00	2.75	90.0	2.48
07/18/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	31.16	0.00	31.16	90.0	28.04
07/18/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.82	0.00	5.82	90.0	5.24
07/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.50	0.00	5.50	90.0	4.95
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.13	0.00	32.13	90.0	28.92
08/15/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	90.0	1.16
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.19	0.00	16.19	90.0	14.57
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.31	0.00	1.31	90.0	1.18
08/15/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.92	0.00	2.92	90.0	2.63
08/15/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	33.01	0.00	33.01	90.0	29.71
08/15/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.17	0.00	6.17	90.0	5.55
08/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.83	0.00	5.83	90.0	5.25
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.70	0.00	32.70	90.0	29.43
09/16/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.31	0.00	1.31	90.0	1.18
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.48	0.00	16.48	90.0	14.83
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.33	0.00	1.33	90.0	1.20
09/16/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.97	0.00	2.97	90.0	2.67
09/16/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	33.59	0.00	33.59	90.0	30.23
09/16/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.28	0.00	6.28	90.0	5.65
09/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.94	0.00	5.94	90.0	5.35
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	31.42	0.00	31.42	90.0	28.28
10/17/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	90.0	1.13
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.83	0.00	15.83	90.0	14.25
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.28	0.00	1.28	90.0	1.15
10/17/2016	IVICIC, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.43	0.00	1.43	90.0	1.29
10/17/2016	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.23	0.00	32.23	90.0	29.01
10/17/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.03	0.00	6.03	90.0	5.43
10/17/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.71	0.00	5.71	90.0	5.14
10/17/2016	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	90.0	1.28
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.62	0.00	32.62	90.0	29.36

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.31	0.00	1.31	90.0	1.18
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.44	0.00	16.44	90.0	14.80
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.33	0.00	1.33	90.0	1.20
11/18/2016	SCOTT, MONYEAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	33.42	0.00	33.42	90.0	30.08
11/18/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.27	0.00	6.27	90.0	5.64
11/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.92	0.00	5.92	90.0	5.33
11/18/2016	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.95	0.00	2.95	90.0	2.66
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.00	0.00	32.00	90.0	28.80
12/15/2016	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	90.0	1.16
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.12	0.00	16.12	90.0	14.51
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.30	0.00	1.30	90.0	1.17
12/15/2016	SCOTT, MONYEAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.77	0.00	32.77	90.0	29.49
12/15/2016	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.14	0.00	6.14	90.0	5.53
12/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.81	0.00	5.81	90.0	5.23
12/15/2016	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.90	0.00	2.90	90.0	2.61
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
04/20/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.04	0.00	15.04	90.0	13.54
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
04/20/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
04/20/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
04/20/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.07
04/20/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.45	0.00	2.45	90.0	2.21
04/20/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	90.0	2.15
04/20/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	90.0	0.51
04/20/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
04/20/2016	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.13	0.00	2.13	90.0	1.92
04/20/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
04/20/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.79	0.00	9.79	90.0	8.81
05/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.30	0.00	13.30	90.0	11.97
05/16/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.89	0.00	28.89	90.0	26.00
05/16/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.10	0.00	15.10	90.0	13.59
05/16/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
05/16/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.40	0.00	4.40	90.0	3.96
05/16/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.54	0.00	0.54	90.0	0.49
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	90.0	1.08
05/16/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.02	0.00	5.02	90.0	4.52
05/16/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.24	0.00	5.24	90.0	4.72
05/16/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
05/16/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.36	0.00	2.36	90.0	2.12
05/16/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.92	0.00	10.92	90.0	9.83
05/16/2016	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.42	0.00	32.42	90.0	29.18
05/16/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.78	0.00	5.78	90.0	5.20
05/16/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	90.0	0.83
05/16/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
05/16/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
05/16/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.12	0.00	10.12	90.0	9.11
06/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.93	0.00	40.93	90.0	36.84
06/15/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.87	0.00	29.87	90.0	26.88
06/15/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.61	0.00	15.61	90.0	14.05
06/15/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
06/15/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
06/15/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.55	0.00	0.55	90.0	0.50
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	90.0	1.13
06/15/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.19	0.00	5.19	90.0	4.67
06/15/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.42	0.00	5.42	90.0	4.88
06/15/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
06/15/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.44	0.00	2.44	90.0	2.20
06/15/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.68	0.00	14.68	90.0	13.21
06/15/2016	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.51	0.00	33.51	90.0	30.16
06/15/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.97	0.00	5.97	90.0	5.37
06/15/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.95	0.00	0.95	90.0	0.86

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.64	0.00	0.64	90.0	0.58
06/15/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	90.0	1.51
06/15/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.94	0.00	9.94	90.0	8.95
07/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.18	0.00	40.18	90.0	36.16
07/18/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.33	0.00	29.33	90.0	26.40
07/18/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.33	0.00	15.33	90.0	13.80
07/18/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
07/18/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.47	0.00	4.47	90.0	4.02
07/18/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	0.00	1.22	90.0	1.10
07/18/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.10	0.00	5.10	90.0	4.59
07/18/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.32	0.00	5.32	90.0	4.79
07/18/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
07/18/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	90.0	2.15
07/18/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.42	0.00	14.42	90.0	12.98
07/18/2016	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.90	0.00	32.90	90.0	29.61
07/18/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
07/18/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.87	0.00	5.87	90.0	5.28
07/18/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.94	0.00	0.94	90.0	0.85
07/18/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57
07/18/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.65	0.00	1.65	90.0	1.49
07/18/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.53	0.00	10.53	90.0	9.48
08/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.58	0.00	42.58	90.0	38.32
08/15/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.08	0.00	31.08	90.0	27.97
08/15/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.24	0.00	16.24	90.0	14.62
08/15/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
08/15/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.73	0.00	4.73	90.0	4.26
08/15/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.40	0.00	5.40	90.0	4.86
08/15/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.64	0.00	5.64	90.0	5.08
08/15/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
08/15/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	90.0	2.29
08/15/2016	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.79
08/15/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.27	0.00	15.27	90.0	13.74
08/15/2016	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.86	0.00	34.86	90.0	31.37
08/15/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
08/15/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.22	0.00	6.22	90.0	5.60
08/15/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
08/15/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
08/15/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
08/15/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.82	0.00	10.82	90.0	9.74
09/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.73	0.00	43.73	90.0	39.36
09/16/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.91	0.00	31.91	90.0	28.72
09/16/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.18	0.00	2.18	90.0	1.96
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.68	0.00	16.68	90.0	15.01
09/16/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
09/16/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.86	0.00	4.86	90.0	4.37
09/16/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	1.20
09/16/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.55	0.00	5.55	90.0	5.00
09/16/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.79	0.00	5.79	90.0	5.21
09/16/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
09/16/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	2.35
09/16/2016	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.11	0.00	1.11	90.0	1.00
09/16/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.68	0.00	15.68	90.0	14.11
09/16/2016	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.81	0.00	35.81	90.0	32.23
09/16/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.65
09/16/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.38	0.00	6.38	90.0	5.74
09/16/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
09/16/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	90.0	1.62
09/16/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.45
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.43	0.00	10.43	90.0	9.39
10/17/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.18	0.00	42.18	90.0	37.96
10/17/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.78	0.00	30.78	90.0	27.70
10/17/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.13	0.00	2.13	90.0	1.92
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.09	0.00	16.09	90.0	14.48
10/17/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
10/17/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22
10/17/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	90.0	0.31
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
10/17/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.35	0.00	5.35	90.0	4.82
10/17/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.59	0.00	5.59	90.0	5.03
10/17/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	90.0	1.51
10/17/2016	IVICIC, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	1.13
10/17/2016	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
10/17/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.12	0.00	15.12	90.0	13.61
10/17/2016	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.53	0.00	34.53	90.0	31.08
10/17/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
10/17/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.16	0.00	6.16	90.0	5.54
10/17/2016	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
10/17/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.98	0.00	0.98	90.0	0.88
10/17/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
10/17/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.73	0.00	1.73	90.0	1.56
10/17/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
10/17/2016	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	1.13
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.84	0.00	10.84	90.0	9.76
11/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.83	0.00	43.83	90.0	39.45
11/18/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.99	0.00	31.99	90.0	28.79
11/18/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.23	0.00	2.23	90.0	2.01
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.72	0.00	16.72	90.0	15.05
11/18/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
11/18/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.87	0.00	4.87	90.0	4.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	90.0	0.31
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	1.20
11/18/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.56	0.00	5.56	90.0	5.00
11/18/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.81	0.00	5.81	90.0	5.23
11/18/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
11/18/2016	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.11	0.00	1.11	90.0	1.00
11/18/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.72	0.00	15.72	90.0	14.15
11/18/2016	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.89	0.00	35.89	90.0	32.30
11/18/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.65
11/18/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.40	0.00	6.40	90.0	5.76
11/18/2016	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.91	0.00	1.91	90.0	1.72
11/18/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
11/18/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
11/18/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	90.0	1.62
11/18/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
11/18/2016	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	2.35
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.50	0.00	10.50	90.0	9.45
12/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.46	0.00	42.46	90.0	38.21
12/15/2016	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.99	0.00	30.99	90.0	27.89
12/15/2016	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.18	0.00	2.18	90.0	1.96
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.19	0.00	16.19	90.0	14.57
12/15/2016	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
12/15/2016	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.72	0.00	4.72	90.0	4.25
12/15/2016	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.31	0.00	0.31	90.0	0.28
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
12/15/2016	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.38	0.00	5.38	90.0	4.84
12/15/2016	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.63	0.00	5.63	90.0	5.07
12/15/2016	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
12/15/2016	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
12/15/2016	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.22	0.00	15.22	90.0	13.70
12/15/2016	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.76	0.00	34.76	90.0	31.28
12/15/2016	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
12/15/2016	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.20	0.00	6.20	90.0	5.58

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67
12/15/2016	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
12/15/2016	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
12/15/2016	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
12/15/2016	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
12/15/2016	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.53	0.00	2.53	90.0	2.28
04/20/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.24	0.00	0.24	90.0	0.22
04/20/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	0.32	0.00	0.32	90.0	0.29
05/16/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.67	0.00	0.67	90.0	0.60
05/16/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	4.93	0.00	4.93	90.0	4.44
06/15/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.69	0.00	0.69	90.0	0.62
06/15/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.09	0.00	5.09	90.0	4.58
06/15/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	3.48	0.00	3.48	90.0	3.13
07/18/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.67	0.00	0.67	90.0	0.60
07/18/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	4.99	0.00	4.99	90.0	4.49
07/18/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.04	0.00	7.04	90.0	6.34
08/15/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.65
08/15/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.32	0.00	5.32	90.0	4.79
08/15/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.51	0.00	7.51	90.0	6.76
09/16/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.66
09/16/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.41	0.00	5.41	90.0	4.87
09/16/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.63	0.00	7.63	90.0	6.87
10/17/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.70	0.00	0.70	90.0	0.63
10/17/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.19	0.00	5.19	90.0	4.67
10/17/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.32	0.00	7.32	90.0	6.59
11/18/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.65
11/18/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.36	0.00	5.36	90.0	4.82
11/18/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.56	0.00	7.56	90.0	6.80
12/15/2016	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.71	0.00	0.71	90.0	0.64
12/15/2016	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.22	0.00	5.22	90.0	4.70
12/15/2016	EWING JR, JACK	AM FUNDS ICA A	0.00	7.37	0.00	7.37	90.0	6.63
04/20/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.48	0.00	5.48	90.0	4.93
04/20/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.36	0.00	8.36	90.0	7.52

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.35	0.00	4.35	90.0	3.92
04/20/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	90.0	0.40
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	1.06
04/20/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
04/20/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.55
04/20/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.23	0.00	3.23	90.0	2.91
04/20/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.65	0.00	1.65	90.0	1.49
04/20/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.05	0.00	0.05	90.0	0.05
05/16/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.42	0.00	10.42	90.0	9.38
05/16/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.10	0.00	23.10	90.0	20.79
05/16/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	32.85	0.00	32.85	90.0	29.57
05/16/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.31	0.00	3.31	90.0	2.98
05/16/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.02	0.00	9.02	90.0	8.12
05/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.01	0.00	2.01	90.0	1.81
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.90	0.00	8.90	90.0	8.01
05/16/2016	MICHALIK, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
05/16/2016	MICHALIK, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.61	0.00	1.61	90.0	1.45
05/16/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.24	0.00	4.24	90.0	3.82
05/16/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
05/16/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.24	0.00	1.24	90.0	1.12
05/16/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.91	0.00	8.91	90.0	8.02
05/16/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.85	0.00	8.85	90.0	7.97
05/16/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.93	0.00	24.93	90.0	22.44
05/16/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
05/16/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.24	0.00	4.24	90.0	3.82
05/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.39	0.00	12.39	90.0	11.15
05/16/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
06/15/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.75	0.00	9.75	90.0	8.78
06/15/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.91	0.00	23.91	90.0	21.52
06/15/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	34.00	0.00	34.00	90.0	30.60
06/15/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.43	0.00	3.43	90.0	3.09
06/15/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.42	0.00	17.42	90.0	15.68
06/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.52	0.00	15.52	90.0	13.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.21	0.00	9.21	90.0	8.29
06/15/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.38	0.00	4.38	90.0	3.94
06/15/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
06/15/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
06/15/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.23	0.00	9.23	90.0	8.31
06/15/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.91	0.00	11.91	90.0	10.72
06/15/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.79	0.00	25.79	90.0	23.21
06/15/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	1.43
06/15/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.39	0.00	4.39	90.0	3.95
06/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.25	0.00	14.25	90.0	12.83
06/15/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.23	0.00	3.23	90.0	2.91
07/18/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.17	0.00	9.17	90.0	8.25
07/18/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.28	0.00	23.28	90.0	20.95
07/18/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	33.25	0.00	33.25	90.0	29.93
07/18/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.35	0.00	3.35	90.0	3.02
07/18/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.04	0.00	17.04	90.0	15.34
07/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.18	0.00	15.18	90.0	13.66
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.01	0.00	9.01	90.0	8.11
07/18/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.29	0.00	4.29	90.0	3.86
07/18/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.71	0.00	1.71	90.0	1.54
07/18/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
07/18/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.02	0.00	9.02	90.0	8.12
07/18/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.65	0.00	11.65	90.0	10.49
07/18/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.12	0.00	25.12	90.0	22.61
07/18/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.55	0.00	1.55	90.0	1.40
07/18/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.29	0.00	4.29	90.0	3.86
07/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.93	0.00	13.93	90.0	12.54
07/18/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.16	0.00	3.16	90.0	2.84
08/15/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.79	0.00	9.79	90.0	8.81
08/15/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.75	0.00	24.75	90.0	22.28
08/15/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	35.48	0.00	35.48	90.0	31.93
08/15/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.58	0.00	3.58	90.0	3.22
08/15/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.18	0.00	18.18	90.0	16.36

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.19	0.00	16.19	90.0	14.57
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.61	0.00	9.61	90.0	8.65
08/15/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.57	0.00	4.57	90.0	4.11
08/15/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
08/15/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
08/15/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.63	0.00	9.63	90.0	8.67
08/15/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.43	0.00	12.43	90.0	11.19
08/15/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.70	0.00	26.70	90.0	24.03
08/15/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.66	0.00	1.66	90.0	1.49
08/15/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.57	0.00	4.57	90.0	4.11
08/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.86	0.00	14.86	90.0	13.37
08/15/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.37	0.00	3.37	90.0	3.03
09/16/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.85	0.00	9.85	90.0	8.87
09/16/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.90	0.00	24.90	90.0	22.41
09/16/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	35.70	0.00	35.70	90.0	32.13
09/16/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	3.24
09/16/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.29	0.00	18.29	90.0	16.46
09/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.30	0.00	16.30	90.0	14.67
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.67	0.00	9.67	90.0	8.70
09/16/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14
09/16/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.84	0.00	1.84	90.0	1.66
09/16/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.54	0.00	1.54	90.0	1.39
09/16/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.69	0.00	9.69	90.0	8.72
09/16/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.50	0.00	12.50	90.0	11.25
09/16/2016	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.87	0.00	26.87	90.0	24.18
09/16/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.67	0.00	1.67	90.0	1.50
09/16/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14
09/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.95	0.00	14.95	90.0	13.46
09/16/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.39	0.00	3.39	90.0	3.05
10/17/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.48	0.00	9.48	90.0	8.53
10/17/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.86	0.00	23.86	90.0	21.47
10/17/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	34.35	0.00	34.35	90.0	30.92
10/17/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.47	0.00	3.47	90.0	3.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.60	0.00	17.60	90.0	15.84
10/17/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.68	0.00	15.68	90.0	14.11
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.31	0.00	9.31	90.0	8.38
10/17/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.43	0.00	4.43	90.0	3.99
10/17/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
10/17/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
10/17/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.32	0.00	9.32	90.0	8.39
10/17/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.03	0.00	12.03	90.0	10.83
10/17/2016	SCOTT, MONYUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.74	0.00	25.74	90.0	23.17
10/17/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
10/17/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.43	0.00	4.43	90.0	3.99
10/17/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.39	0.00	14.39	90.0	12.95
10/17/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.26	0.00	3.26	90.0	2.93
11/18/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.73	0.00	9.73	90.0	8.76
11/18/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.42	0.00	24.42	90.0	21.98
11/18/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	35.29	0.00	35.29	90.0	31.76
11/18/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.56	0.00	3.56	90.0	3.20
11/18/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.08	0.00	18.08	90.0	16.27
11/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.11	0.00	16.11	90.0	14.50
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.56	0.00	9.56	90.0	8.60
11/18/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
11/18/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
11/18/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
11/18/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.58	0.00	9.58	90.0	8.62
11/18/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.36	0.00	12.36	90.0	11.12
11/18/2016	SCOTT, MONYUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.36	0.00	26.36	90.0	23.72
11/18/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.65	0.00	1.65	90.0	1.49
11/18/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
11/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.78	0.00	14.78	90.0	13.30
11/18/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.35	0.00	3.35	90.0	3.02
12/15/2016	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.41	0.00	9.41	90.0	8.47
12/15/2016	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.60	0.00	23.60	90.0	21.24
12/15/2016	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	34.10	0.00	34.10	90.0	30.69

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.44	0.00	3.44	90.0	3.10
12/15/2016	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.47	0.00	17.47	90.0	15.72
12/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.57	0.00	15.57	90.0	14.01
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.24	0.00	9.24	90.0	8.32
12/15/2016	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.40	0.00	4.40	90.0	3.96
12/15/2016	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.76	0.00	1.76	90.0	1.58
12/15/2016	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	1.31
12/15/2016	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.26	0.00	9.26	90.0	8.33
12/15/2016	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.95	0.00	11.95	90.0	10.76
12/15/2016	SCOTT, MONYEAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.47	0.00	25.47	90.0	22.92
12/15/2016	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	1.43
12/15/2016	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.40	0.00	4.40	90.0	3.96
12/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.29	0.00	14.29	90.0	12.86
12/15/2016	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.24	0.00	3.24	90.0	2.92
05/16/2016	MICHALIK, WILLIAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.11	0.00	1.11	90.0	1.00
05/16/2016	MICHALIK, WILLIAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.01	0.00	2.01	90.0	1.81
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.03	0.00	0.03	90.0	0.03
04/20/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.26	0.00	0.26	90.0	0.23
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.50	0.00	0.50	90.0	0.45
05/16/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.87	0.00	3.87	90.0	3.48
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.52	0.00	0.52	90.0	0.47
06/15/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.99	0.00	3.99	90.0	3.59
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.50	0.00	0.50	90.0	0.45
07/18/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.86	0.00	3.86	90.0	3.47
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.53	0.00	0.53	90.0	0.48
08/15/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.08	0.00	4.08	90.0	3.67
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.54	0.00	0.54	90.0	0.49
09/16/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.19	0.00	4.19	90.0	3.77
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.53	0.00	0.53	90.0	0.48
10/17/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.09	0.00	4.09	90.0	3.68
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.54	0.00	0.54	90.0	0.49
11/18/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.20	0.00	4.20	90.0	3.78
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.51	0.00	0.51	90.0	0.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.93	0.00	3.93	90.0	3.54
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	1.41	0.00	1.41	90.0	1.27
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	10.71	0.00	10.71	90.0	9.64
05/16/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	8.66	0.00	8.66	90.0	7.79
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	10.80	0.00	10.80	90.0	9.72
06/15/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	8.73	0.00	8.73	90.0	7.86
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	10.56	0.00	10.56	90.0	9.50
07/18/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	8.53	0.00	8.53	90.0	7.68
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	11.13	0.00	11.13	90.0	10.02
08/15/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	9.00	0.00	9.00	90.0	8.10
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	11.55	0.00	11.55	90.0	10.40
09/16/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	9.34	0.00	9.34	90.0	8.41
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	11.22	0.00	11.22	90.0	10.10
10/17/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	9.07	0.00	9.07	90.0	8.16
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	11.60	0.00	11.60	90.0	10.44
11/18/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	9.38	0.00	9.38	90.0	8.44
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	11.12	0.00	11.12	90.0	10.01
12/15/2016	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	8.99	0.00	8.99	90.0	8.09
04/20/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	0.36	0.00	0.36	90.0	0.32
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.24	0.00	1.24	90.0	1.12
04/20/2016	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.87	0.00	1.87	90.0	1.68
05/16/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.00	0.00	1.00	90.0	0.90
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.47	0.00	9.47	90.0	8.52
05/16/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	12.17	0.00	12.17	90.0	10.95
05/16/2016	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	28.35	0.00	28.35	90.0	25.52
06/15/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.02	0.00	1.02	90.0	0.92
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.69	0.00	9.69	90.0	8.72
06/15/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	16.20	0.00	16.20	90.0	14.58
06/15/2016	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	29.02	0.00	29.02	90.0	26.12
07/18/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	0.99	0.00	0.99	90.0	0.89
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.43	0.00	9.43	90.0	8.49
07/18/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	15.75	0.00	15.75	90.0	14.18
07/18/2016	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	28.23	0.00	28.23	90.0	25.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.05	0.00	1.05	90.0	0.95
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.99	0.00	9.99	90.0	8.99
08/15/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	16.70	0.00	16.70	90.0	15.03
08/15/2016	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	29.91	0.00	29.91	90.0	26.92
09/16/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.08	0.00	1.08	90.0	0.97
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	10.24	0.00	10.24	90.0	9.22
09/16/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	17.10	0.00	17.10	90.0	15.39
09/16/2016	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	30.65	0.00	30.65	90.0	27.59
10/17/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	0.00	1.04	90.0	0.94
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.91	0.00	9.91	90.0	8.92
10/17/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	16.56	0.00	16.56	90.0	14.90
10/17/2016	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	29.68	0.00	29.68	90.0	26.71
11/18/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.07	0.00	1.07	90.0	0.96
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	10.17	0.00	10.17	90.0	9.15
11/18/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	17.00	0.00	17.00	90.0	15.30
11/18/2016	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	30.46	0.00	30.46	90.0	27.41
12/15/2016	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.02	0.00	1.02	90.0	0.92
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	9.67	0.00	9.67	90.0	8.70
12/15/2016	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	16.15	0.00	16.15	90.0	14.54
12/15/2016	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	28.95	0.00	28.95	90.0	26.06
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
04/20/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	90.0	0.22
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
05/16/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.64	0.00	3.64	90.0	3.28
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
06/15/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.71	0.00	3.71	90.0	3.34
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
07/18/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.64	0.00	3.64	90.0	3.28
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	90.0	0.23
08/15/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.88	0.00	3.88	90.0	3.49
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	90.0	0.24
09/16/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.01	0.00	4.01	90.0	3.61
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	90.0	0.23

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.89	0.00	3.89	90.0	3.50
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	90.0	0.24
11/18/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.02	0.00	4.02	90.0	3.62
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
12/15/2016	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	3.72	0.00	3.72	90.0	3.35
05/16/2016	MICHALIK, WILLIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.51	0.00	0.51	90.0	0.46
05/16/2016	MICHALIK, WILLIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.10	0.00	1.10	90.0	0.99
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	1.08	0.00	1.08	90.0	0.97
04/20/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	90.0	0.06
04/20/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	0.09	0.00	0.09	90.0	0.08
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.27	0.00	8.27	90.0	7.44
05/16/2016	MICHALIK, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	0.94	0.00	0.94	90.0	0.85
05/16/2016	MICHALIK, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	0.74	0.00	0.74	90.0	0.67
05/16/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.07	0.00	1.07	90.0	0.96
05/16/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.35	0.00	1.35	90.0	1.22
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.50	0.00	8.50	90.0	7.65
06/15/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.10	0.00	1.10	90.0	0.99
06/15/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.39	0.00	1.39	90.0	1.25
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.41	0.00	8.41	90.0	7.57
07/18/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.09	0.00	1.09	90.0	0.98
07/18/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	1.23
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.87	0.00	8.87	90.0	7.98
08/15/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.15	0.00	1.15	90.0	1.04
08/15/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.45	0.00	1.45	90.0	1.31
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	9.21	0.00	9.21	90.0	8.29
09/16/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.19	0.00	1.19	90.0	1.07
09/16/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.50	0.00	1.50	90.0	1.35
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.98	0.00	8.98	90.0	8.08
10/17/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.16	0.00	1.16	90.0	1.04
10/17/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.46	0.00	1.46	90.0	1.31
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	9.25	0.00	9.25	90.0	8.33
11/18/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.19	0.00	1.19	90.0	1.07
11/18/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.51	0.00	1.51	90.0	1.36

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	8.79	0.00	8.79	90.0	7.91
12/15/2016	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.14	0.00	1.14	90.0	1.03
12/15/2016	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.43	0.00	1.43	90.0	1.29
04/20/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.10	0.00	0.10	90.0	0.09
04/20/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	90.0	1.16
04/20/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.03	0.00	0.03	90.0	0.03
04/20/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.35	0.00	2.35	90.0	2.12
04/20/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.94	0.00	18.94	90.0	17.05
04/20/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	90.0	0.68
04/20/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	90.0	0.46
04/20/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.41
04/20/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	90.0	1.15
04/20/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	90.0	0.46
04/20/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	1.03
04/20/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.24	0.00	5.24	90.0	4.72
04/20/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	90.0	0.14
04/20/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	90.0	0.14
05/16/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.69
05/16/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.91	0.00	8.91	90.0	8.02
05/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.31	0.00	2.31	90.0	2.08
05/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.07	0.00	7.07	90.0	6.36
05/16/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.77	0.00	9.77	90.0	8.79
05/16/2016	MICHALIK, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.52	0.00	2.52	90.0	2.27
05/16/2016	MICHALIK, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.50	0.00	1.50	90.0	1.35
05/16/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	90.0	0.22
05/16/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.52	0.00	6.52	90.0	5.87
05/16/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.42	0.00	38.42	90.0	34.58
05/16/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.10	0.00	2.10	90.0	1.89
05/16/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.41	0.00	1.41	90.0	1.27
05/16/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	90.0	1.16
05/16/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.78	0.00	2.78	90.0	2.50
05/16/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	90.0	1.00
05/16/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	90.0	3.11

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.90	0.00	11.90	90.0	10.71
05/16/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	90.0	1.00
05/16/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	90.0	0.14
05/16/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	52.86	0.00	52.86	90.0	47.57
05/16/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.51	0.00	4.51	90.0	4.06
05/16/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.57	0.00	13.57	90.0	12.21
05/16/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	90.0	1.62
05/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.04	0.00	17.04	90.0	15.34
05/16/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.54	0.00	1.54	90.0	1.39
06/15/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.80	0.00	0.80	90.0	0.72
06/15/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.15	0.00	17.15	90.0	15.44
06/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.11	0.00	7.11	90.0	6.40
06/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	54.49	0.00	54.49	90.0	49.04
06/15/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.09	0.00	10.09	90.0	9.08
06/15/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	90.0	0.23
06/15/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.74	0.00	6.74	90.0	6.07
06/15/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.71	0.00	39.71	90.0	35.74
06/15/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.17	0.00	2.17	90.0	1.95
06/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.46	0.00	1.46	90.0	1.31
06/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	90.0	1.20
06/15/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.87	0.00	2.87	90.0	2.58
06/15/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	90.0	1.04
06/15/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.58	0.00	3.58	90.0	3.22
06/15/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.01	0.00	16.01	90.0	14.41
06/15/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	1.04
06/15/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	1.04
06/15/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	54.64	0.00	54.64	90.0	49.18
06/15/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.66	0.00	4.66	90.0	4.19
06/15/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.03	0.00	14.03	90.0	12.63
06/15/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.93	0.00	2.93	90.0	2.64
06/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.56	0.00	19.56	90.0	17.60
06/15/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.60	0.00	1.60	90.0	1.44
07/18/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	90.0	0.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.81	0.00	16.81	90.0	15.13
07/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.96	0.00	6.96	90.0	6.26
07/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.42	0.00	53.42	90.0	48.08
07/18/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.90	0.00	9.90	90.0	8.91
07/18/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	90.0	0.23
07/18/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.60	0.00	6.60	90.0	5.94
07/18/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.66	0.00	38.66	90.0	34.79
07/18/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.12	0.00	2.12	90.0	1.91
07/18/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	90.0	1.29
07/18/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.30	0.00	1.30	90.0	1.17
07/18/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.82	0.00	2.82	90.0	2.54
07/18/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	90.0	1.02
07/18/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.51	0.00	3.51	90.0	3.16
07/18/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.69	0.00	15.69	90.0	14.12
07/18/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	1.03
07/18/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	1.03
07/18/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.58	0.00	53.58	90.0	48.22
07/18/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.57	0.00	4.57	90.0	4.11
07/18/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.75	0.00	13.75	90.0	12.38
07/18/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.87	0.00	2.87	90.0	2.58
07/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.18	0.00	19.18	90.0	17.26
07/18/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	90.0	1.41
08/15/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.83	0.00	0.83	90.0	0.75
08/15/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.87	0.00	17.87	90.0	16.08
08/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.38	0.00	7.38	90.0	6.64
08/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	56.78	0.00	56.78	90.0	51.10
08/15/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.52	0.00	10.52	90.0	9.47
08/15/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	90.0	0.23
08/15/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.02	0.00	7.02	90.0	6.32
08/15/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.03	0.00	41.03	90.0	36.93
08/15/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	90.0	2.03
08/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.52	0.00	1.52	90.0	1.37
08/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.39	0.00	1.39	90.0	1.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.00	0.00	3.00	90.0	2.70
08/15/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.18	0.00	5.18	90.0	4.66
08/15/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.84	0.00	2.84	90.0	2.56
08/15/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.68	0.00	16.68	90.0	15.01
08/15/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	1.08
08/15/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	1.09
08/15/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	56.95	0.00	56.95	90.0	51.26
08/15/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.86	0.00	4.86	90.0	4.37
08/15/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.61	0.00	14.61	90.0	13.15
08/15/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	90.0	2.74
08/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.38	0.00	20.38	90.0	18.34
08/15/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.66	0.00	1.66	90.0	1.49
09/16/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.84	0.00	0.84	90.0	0.76
09/16/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.06	0.00	18.06	90.0	16.25
09/16/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.45	0.00	7.45	90.0	6.71
09/16/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.39	0.00	57.39	90.0	51.65
09/16/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.63	0.00	10.63	90.0	9.57
09/16/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	90.0	0.23
09/16/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.10	0.00	7.10	90.0	6.39
09/16/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.38	0.00	41.38	90.0	37.24
09/16/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.28	0.00	2.28	90.0	2.05
09/16/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.54	0.00	1.54	90.0	1.39
09/16/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.40	0.00	1.40	90.0	1.26
09/16/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.03	0.00	3.03	90.0	2.73
09/16/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.38	0.00	6.38	90.0	5.74
09/16/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.38	0.00	2.38	90.0	2.14
09/16/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.86	0.00	16.86	90.0	15.17
09/16/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.22	0.00	1.22	90.0	1.10
09/16/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.22	0.00	1.22	90.0	1.10
09/16/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.55	0.00	57.55	90.0	51.80
09/16/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.91	0.00	4.91	90.0	4.42
09/16/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.77	0.00	14.77	90.0	13.29
09/16/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.07	0.00	3.07	90.0	2.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.60	0.00	20.60	90.0	18.54
09/16/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	90.0	1.51
10/17/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.80	0.00	0.80	90.0	0.72
10/17/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.27	0.00	17.27	90.0	15.54
10/17/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.11	0.00	7.11	90.0	6.40
10/17/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	54.85	0.00	54.85	90.0	49.37
10/17/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.16	0.00	10.16	90.0	9.14
10/17/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	90.0	0.23
10/17/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.78	0.00	6.78	90.0	6.10
10/17/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.48	0.00	39.48	90.0	35.53
10/17/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.18	0.00	2.18	90.0	1.96
10/17/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.47	0.00	1.47	90.0	1.32
10/17/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.34	0.00	1.34	90.0	1.21
10/17/2016	IVICIC, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.45	0.00	1.45	90.0	1.31
10/17/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.10	0.00	6.10	90.0	5.49
10/17/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.28	0.00	2.28	90.0	2.05
10/17/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.11	0.00	16.11	90.0	14.50
10/17/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	90.0	1.05
10/17/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	90.0	1.05
10/17/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	55.01	0.00	55.01	90.0	49.51
10/17/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.69	0.00	4.69	90.0	4.22
10/17/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.11	0.00	14.11	90.0	12.70
10/17/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.93	0.00	2.93	90.0	2.64
10/17/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.69	0.00	19.69	90.0	17.72
10/17/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.61	0.00	1.61	90.0	1.45
10/17/2016	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	90.0	1.29
11/18/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.83	0.00	0.83	90.0	0.75
11/18/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.78	0.00	17.78	90.0	16.00
11/18/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.31	0.00	7.31	90.0	6.58
11/18/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	56.50	0.00	56.50	90.0	50.85
11/18/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.47	0.00	10.47	90.0	9.42
11/18/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	90.0	0.23
11/18/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.98	0.00	6.98	90.0	6.28

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.60	0.00	40.60	90.0	36.54
11/18/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.25	0.00	2.25	90.0	2.03
11/18/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	90.0	1.36
11/18/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.38	0.00	1.38	90.0	1.24
11/18/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.28	0.00	6.28	90.0	5.65
11/18/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.34	0.00	2.34	90.0	2.11
11/18/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.60	0.00	16.60	90.0	14.94
11/18/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	1.08
11/18/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	1.08
11/18/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.40	0.00	36.40	90.0	32.76
11/18/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.84	0.00	4.84	90.0	4.36
11/18/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.54	0.00	14.54	90.0	13.09
11/18/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.01	0.00	3.01	90.0	2.71
11/18/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.28	0.00	20.28	90.0	18.25
11/18/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.65	0.00	1.65	90.0	1.49
11/18/2016	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.97	0.00	2.97	90.0	2.67
12/15/2016	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.82	0.00	0.82	90.0	0.74
12/15/2016	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.58	0.00	17.58	90.0	15.82
12/15/2016	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.22	0.00	7.22	90.0	6.50
12/15/2016	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	55.85	0.00	55.85	90.0	50.27
12/15/2016	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.35	0.00	10.35	90.0	9.32
12/15/2016	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	90.0	0.23
12/15/2016	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.90	0.00	6.90	90.0	6.21
12/15/2016	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.87	0.00	39.87	90.0	35.88
12/15/2016	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.22	0.00	2.22	90.0	2.00
12/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.50	0.00	1.50	90.0	1.35
12/15/2016	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.36	0.00	1.36	90.0	1.22
12/15/2016	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.21	0.00	6.21	90.0	5.59
12/15/2016	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.32	0.00	2.32	90.0	2.09
12/15/2016	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.40	0.00	16.40	90.0	14.76
12/15/2016	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	90.0	1.07
12/15/2016	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	90.0	1.07
12/15/2016	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	32.11	0.00	32.11	90.0	28.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	90.0	4.30
12/15/2016	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.37	0.00	14.37	90.0	12.93
12/15/2016	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.98	0.00	2.98	90.0	2.68
12/15/2016	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.04	0.00	20.04	90.0	18.04
12/15/2016	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.64	0.00	1.64	90.0	1.48
12/15/2016	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.94	0.00	2.94	90.0	2.65
05/31/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	45.34	0.00	45.34	90.0	40.81
06/27/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	9.31	0.00	9.31	90.0	8.38
06/27/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	51.72	0.00	51.72	90.0	46.55
07/29/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	18.62	0.00	18.62	90.0	16.76
07/29/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	50.05	0.00	50.05	90.0	45.05
08/30/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	19.56	0.00	19.56	90.0	17.60
08/30/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	52.60	0.00	52.60	90.0	47.34
09/29/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	19.94	0.00	19.94	90.0	17.95
09/29/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	53.60	0.00	53.60	90.0	48.24
10/27/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	19.32	0.00	19.32	90.0	17.39
10/27/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	51.93	0.00	51.93	90.0	46.74
11/28/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	19.84	0.00	19.84	90.0	17.86
11/28/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	53.32	0.00	53.32	90.0	47.99
12/21/2016	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	19.04	0.00	19.04	90.0	17.14
12/21/2016	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	51.18	0.00	51.18	90.0	46.06
04/27/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.08	0.00	0.08	90.0	0.07
04/27/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.04	0.00	0.04	90.0	0.04
05/31/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.82	0.00	0.82	90.0	0.74
05/31/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.42	0.00	0.42	90.0	0.38
06/27/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.85	0.00	0.85	90.0	0.77
06/27/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.43	0.00	0.43	90.0	0.39
07/29/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.83	0.00	0.83	90.0	0.75
07/29/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.42	0.00	0.42	90.0	0.38
08/30/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.87	0.00	0.87	90.0	0.78
08/30/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.44	0.00	0.44	90.0	0.40
09/29/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.87	0.00	0.87	90.0	0.78
09/29/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.44	0.00	0.44	90.0	0.40

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/27/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.84	0.00	0.84	90.0	0.76
10/27/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.42	0.00	0.42	90.0	0.38
11/28/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.86	0.00	0.86	90.0	0.77
11/28/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.44	0.00	0.44	90.0	0.40
12/21/2016	MILLER, SHARON	BLK TOTAL RETURN A	0.00	0.82	0.00	0.82	90.0	0.74
12/21/2016	MILLER, MICHAEL	BLK TOTAL RETURN A	0.00	0.41	0.00	0.41	90.0	0.37
05/19/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	26.68	0.00	26.68	90.0	24.01
06/16/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	30.30	0.00	30.30	90.0	27.27
07/21/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	29.47	0.00	29.47	90.0	26.52
08/19/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	30.93	0.00	30.93	90.0	27.84
09/21/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	31.51	0.00	31.51	90.0	28.36
10/21/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	30.10	0.00	30.10	90.0	27.09
11/18/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	31.06	0.00	31.06	90.0	27.95
12/20/2016	SMITH, JUDY	CALAMOS GROWTH C	0.00	29.69	0.00	29.69	90.0	26.72
07/26/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	0.78	0.00	0.78	90.0	0.70
08/25/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.21	0.00	3.21	90.0	2.89
09/26/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.31	0.00	3.31	90.0	2.98
10/27/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.19	0.00	3.19	90.0	2.87
11/23/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.26	0.00	3.26	90.0	2.93
12/20/2016	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.17	0.00	3.17	90.0	2.85
07/26/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	0.44	0.00	0.44	90.0	0.40
08/25/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.77	0.00	1.77	90.0	1.59
09/26/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.79	0.00	1.79	90.0	1.61
10/27/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.71	0.00	1.71	90.0	1.54
11/23/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.75	0.00	1.75	90.0	1.58
12/20/2016	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.70	0.00	1.70	90.0	1.53
07/26/2016	BARRON, ROBERT	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	1.11	0.00	1.11	90.0	1.00
07/26/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.02	0.00	0.02	90.0	0.02
07/26/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.02	0.00	0.02	90.0	0.02
07/26/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.44	0.00	0.44	90.0	0.40
08/25/2016	BARRON, ROBERT	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.64	0.00	3.64	90.0	3.28
08/25/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.07	0.00	0.07	90.0	0.06
08/25/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.10	0.00	0.10	90.0	0.09

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/25/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.64	0.00	3.64	90.0	3.28
09/26/2016	BARRON, ROBERT	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.80	0.00	3.80	90.0	3.42
09/26/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.07	0.00	0.07	90.0	0.06
09/26/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.11	0.00	0.11	90.0	0.10
09/26/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.80	0.00	3.80	90.0	3.42
10/27/2016	BARRON, ROBERT	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.70	0.00	3.70	90.0	3.33
10/27/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.07	0.00	0.07	90.0	0.06
10/27/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.10	0.00	0.10	90.0	0.09
10/27/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.70	0.00	3.70	90.0	3.33
11/23/2016	BARRON, ROBERT	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	2.93	0.00	2.93	90.0	2.64
11/23/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.07	0.00	0.07	90.0	0.06
11/23/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.10	0.00	0.10	90.0	0.09
11/23/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.75	0.00	3.75	90.0	3.38
12/20/2016	MILLER, SHARON	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.07	0.00	0.07	90.0	0.06
12/20/2016	MILLER, MICHAEL	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	0.10	0.00	0.10	90.0	0.09
12/20/2016	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.66	0.00	3.66	90.0	3.29
05/24/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.21	0.00	1.21	90.0	1.09
06/14/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.95	0.00	1.95	90.0	1.76
07/20/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.74	0.00	1.74	90.0	1.57
08/17/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.80	0.00	1.80	90.0	1.62
09/16/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.86	0.00	1.86	90.0	1.67
10/14/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.79	0.00	1.79	90.0	1.61
11/15/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.83	0.00	1.83	90.0	1.65
12/15/2016	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.82	0.00	1.82	90.0	1.64
05/24/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	4.53	0.00	4.53	90.0	4.08
06/14/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	7.37	0.00	7.37	90.0	6.63
07/20/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	7.14	0.00	7.14	90.0	6.43
08/17/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	7.56	0.00	7.56	90.0	6.80
09/16/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	7.76	0.00	7.76	90.0	6.98
10/14/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	7.43	0.00	7.43	90.0	6.69
11/15/2016	MCELROY, BENNETT	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	6.70	0.00	6.70	90.0	6.03
11/15/2016	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.98	0.00	0.98	90.0	0.88
12/15/2016	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	7.37	0.00	7.37	90.0	6.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	0.78	0.00	0.78	90.0	0.70
05/16/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.47	0.00	1.47	90.0	1.32
06/15/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.51	0.00	1.51	90.0	1.36
07/19/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.47	0.00	1.47	90.0	1.32
08/12/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.57	0.00	1.57	90.0	1.41
09/16/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.58	0.00	1.58	90.0	1.42
10/21/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.51	0.00	1.51	90.0	1.36
11/21/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.57	0.00	1.57	90.0	1.41
12/16/2016	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.57	0.00	1.57	90.0	1.41
04/20/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	4.26	0.00	4.26	90.0	3.83
05/16/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.07	0.00	8.07	90.0	7.26
06/15/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.26	0.00	8.26	90.0	7.43
07/19/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.09	0.00	8.09	90.0	7.28
08/12/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.59	0.00	8.59	90.0	7.73
09/16/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.69	0.00	8.69	90.0	7.82
10/21/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.35	0.00	8.35	90.0	7.52
11/21/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.62	0.00	8.62	90.0	7.76
12/16/2016	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	8.58	0.00	8.58	90.0	7.72
04/20/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	0.98	0.00	0.98	90.0	0.88
05/16/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	1.92	0.00	1.92	90.0	1.73
06/15/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	1.99	0.00	1.99	90.0	1.79
07/19/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.00	0.00	2.00	90.0	1.80
08/12/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.14	0.00	2.14	90.0	1.93
09/16/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.19	0.00	2.19	90.0	1.97
10/21/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.13	0.00	2.13	90.0	1.92
11/21/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.18	0.00	2.18	90.0	1.96
12/16/2016	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.12	0.00	2.12	90.0	1.91
04/20/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	1.31	0.00	1.31	90.0	1.18
05/16/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.46	0.00	2.46	90.0	2.21
06/15/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.44	0.00	2.44	90.0	2.20
07/19/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.37	0.00	2.37	90.0	2.13
08/12/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.52	0.00	2.52	90.0	2.27
09/16/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.62	0.00	2.62	90.0	2.36

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/21/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.54	0.00	2.54	90.0	2.29
11/21/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.61	0.00	2.61	90.0	2.35
12/16/2016	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.58	0.00	2.58	90.0	2.32
04/19/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.05	0.00	0.05	90.0	0.05
05/24/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.51	0.00	0.51	90.0	0.46
05/24/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.24	0.00	0.24	90.0	0.22
05/24/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.16	0.00	0.16	90.0	0.14
05/24/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.10	0.00	0.10	90.0	0.09
05/24/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.76	0.00	1.76	90.0	1.58
05/24/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.23	0.00	0.23	90.0	0.21
06/15/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.52	0.00	0.52	90.0	0.47
06/15/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.22	0.00	1.22	90.0	1.10
06/15/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.28	0.00	0.28	90.0	0.25
06/15/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.18	0.00	0.18	90.0	0.16
06/15/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.85	0.00	2.85	90.0	2.57
06/15/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.44	0.00	0.44	90.0	0.40
07/19/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.51	0.00	0.51	90.0	0.46
07/19/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.18	0.00	1.18	90.0	1.06
07/19/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.27	0.00	0.27	90.0	0.24
07/19/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.17	0.00	0.17	90.0	0.15
07/19/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.77	0.00	2.77	90.0	2.49
07/19/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.43	0.00	0.43	90.0	0.39
08/16/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.54	0.00	0.54	90.0	0.49
08/16/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.25	0.00	1.25	90.0	1.13
08/16/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.29	0.00	0.29	90.0	0.26
08/16/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.18	0.00	0.18	90.0	0.16
08/16/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.94	0.00	2.94	90.0	2.65
08/16/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.46	0.00	0.46	90.0	0.41
09/19/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.55	0.00	0.55	90.0	0.50
09/19/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.29	0.00	1.29	90.0	1.16
09/19/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.29	0.00	0.29	90.0	0.26
09/19/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.19	0.00	0.19	90.0	0.17
09/19/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.01	0.00	3.01	90.0	2.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/19/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.47	0.00	0.47	90.0	0.42
10/19/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.53	0.00	0.53	90.0	0.48
10/19/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.24	0.00	1.24	90.0	1.12
10/19/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.28	0.00	0.28	90.0	0.25
10/19/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.18	0.00	0.18	90.0	0.16
10/19/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.91	0.00	2.91	90.0	2.62
10/19/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.45	0.00	0.45	90.0	0.41
11/18/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.55	0.00	0.55	90.0	0.50
11/18/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.28	0.00	1.28	90.0	1.15
11/18/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.29	0.00	0.29	90.0	0.26
11/18/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.19	0.00	0.19	90.0	0.17
11/18/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.00	0.00	3.00	90.0	2.70
11/18/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.47	0.00	0.47	90.0	0.42
12/16/2016	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.53	0.00	0.53	90.0	0.48
12/16/2016	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.23	0.00	1.23	90.0	1.11
12/16/2016	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.28	0.00	0.28	90.0	0.25
12/16/2016	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.18	0.00	0.18	90.0	0.16
12/16/2016	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.88	0.00	2.88	90.0	2.59
12/16/2016	CALDWELL, KENNETH	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.45	0.00	0.45	90.0	0.41
05/24/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	2.27	0.00	2.27	90.0	2.04
06/15/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.71	0.00	3.71	90.0	3.34
07/19/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.63	0.00	3.63	90.0	3.27
08/16/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.82	0.00	3.82	90.0	3.44
09/19/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.87	0.00	3.87	90.0	3.48
10/19/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.76	0.00	3.76	90.0	3.38
11/18/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.89	0.00	3.89	90.0	3.50
12/16/2016	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.71	0.00	3.71	90.0	3.34
04/15/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.41	0.00	0.41	90.0	0.37
05/13/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.16	0.00	3.16	90.0	2.84
06/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.25	0.00	3.25	90.0	2.93
06/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	2.30	0.00	2.30	90.0	2.07
07/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.16	0.00	3.16	90.0	2.84
07/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.58	0.00	4.58	90.0	4.12

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.33	0.00	3.33	90.0	3.00
08/15/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.84	0.00	4.84	90.0	4.36
09/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.42	0.00	3.42	90.0	3.08
09/14/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.97	0.00	4.97	90.0	4.47
10/18/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.34	0.00	3.34	90.0	3.01
10/18/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.85	0.00	4.85	90.0	4.37
11/15/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.48	0.00	3.48	90.0	3.13
11/15/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.05	0.00	5.05	90.0	4.55
12/16/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.41	0.00	3.41	90.0	3.07
12/16/2016	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.95	0.00	4.95	90.0	4.46
06/14/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	2.33	0.00	2.33	90.0	2.10
07/14/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	4.67	0.00	4.67	90.0	4.20
08/15/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	4.94	0.00	4.94	90.0	4.45
09/14/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.03	0.00	5.03	90.0	4.53
10/18/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	4.89	0.00	4.89	90.0	4.40
11/15/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.08	0.00	5.08	90.0	4.57
12/16/2016	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	4.95	0.00	4.95	90.0	4.46
06/14/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	2.15	0.00	2.15	90.0	1.94
07/14/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.35	0.00	4.35	90.0	3.92
08/15/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.64	0.00	4.64	90.0	4.18
09/14/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.72	0.00	4.72	90.0	4.25
10/18/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.50	0.00	4.50	90.0	4.05
11/15/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.60	0.00	4.60	90.0	4.14
12/16/2016	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.52	0.00	4.52	90.0	4.07
06/20/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	5.49	0.00	5.49	90.0	4.94
07/15/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	7.52	0.00	7.52	90.0	6.77
08/17/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	7.99	0.00	7.99	90.0	7.19
09/21/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	8.15	0.00	8.15	90.0	7.34
10/17/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	7.79	0.00	7.79	90.0	7.01
11/21/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	8.02	0.00	8.02	90.0	7.22
12/15/2016	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	7.68	0.00	7.68	90.0	6.91
06/20/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	1.71	0.00	1.71	90.0	1.54
07/15/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.28	0.00	2.28	90.0	2.05

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/17/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.34	0.00	2.34	90.0	2.11
09/21/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.42	0.00	2.42	90.0	2.18
10/17/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.36	0.00	2.36	90.0	2.12
11/21/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.38	0.00	2.38	90.0	2.14
12/15/2016	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.25	0.00	2.25	90.0	2.03
04/18/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.17	0.00	0.17	90.0	0.15
05/12/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.49	0.00	0.49	90.0	0.44
06/20/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.51	0.00	0.51	90.0	0.46
07/15/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.50	0.00	0.50	90.0	0.45
08/17/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.54	0.00	0.54	90.0	0.49
09/21/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.55	0.00	0.55	90.0	0.50
10/17/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.54	0.00	0.54	90.0	0.49
11/21/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.55	0.00	0.55	90.0	0.50
12/15/2016	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.56	0.00	0.56	90.0	0.50
04/18/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.92	0.00	0.92	90.0	0.83
05/12/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	2.80	0.00	2.80	90.0	2.52
05/12/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.15	0.00	1.15	90.0	1.04
06/20/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	2.89	0.00	2.89	90.0	2.60
06/20/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.32	0.00	1.32	90.0	1.19
07/15/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	2.82	0.00	2.82	90.0	2.54
07/15/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.28	0.00	1.28	90.0	1.15
08/17/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	2.11	0.00	2.11	90.0	1.90
08/17/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.37	0.00	1.37	90.0	1.23
09/21/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.66	0.00	1.66	90.0	1.49
09/21/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.39	0.00	1.39	90.0	1.25
10/17/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.59	0.00	1.59	90.0	1.43
10/17/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.33	0.00	1.33	90.0	1.20
11/21/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.64	0.00	1.64	90.0	1.48
11/21/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.37	0.00	1.37	90.0	1.23
12/15/2016	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.62	0.00	1.62	90.0	1.46
12/15/2016	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.36	0.00	1.36	90.0	1.22
08/01/2016	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.43	0.00	2.43	90.0	2.19
08/01/2016	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.48	0.00	3.48	90.0	3.13

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.46	0.00	0.46	90.0	0.41
10/17/2016	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.17	0.00	0.17	90.0	0.15
10/17/2016	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.59	0.00	8.59	90.0	7.73
10/17/2016	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.70	0.00	8.70	90.0	7.83
10/17/2016	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.93	0.00	3.93	90.0	3.54
10/17/2016	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.02	0.00	8.02	90.0	7.22
10/17/2016	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	20.54	0.00	20.54	90.0	18.49
10/17/2016	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.22	0.00	2.22	90.0	2.00
10/17/2016	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	29.43	0.00	29.43	90.0	26.49
04/18/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
04/18/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	0.61	0.00	0.61	90.0	0.55
05/24/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.79	0.00	0.79	90.0	0.71
05/24/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.32	0.00	1.32	90.0	1.19
06/21/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.81	0.00	0.81	90.0	0.73
06/21/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
07/18/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.79	0.00	0.79	90.0	0.71
07/18/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.33	0.00	1.33	90.0	1.20
08/16/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
08/16/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.41	0.00	1.41	90.0	1.27
09/19/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.84	0.00	0.84	90.0	0.76
09/19/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.42	0.00	1.42	90.0	1.28
10/17/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.81	0.00	0.81	90.0	0.73
10/17/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
11/16/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
11/16/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
12/19/2016	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.80	0.00	0.80	90.0	0.72
12/19/2016	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.34	0.00	1.34	90.0	1.21
04/18/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	0.22	0.00	0.22	90.0	0.20
04/18/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	0.13	0.00	0.13	90.0	0.12
05/24/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.39	0.00	3.39	90.0	3.05
05/24/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.97	0.00	1.97	90.0	1.77
06/21/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.50	0.00	3.50	90.0	3.15
06/21/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.04	0.00	2.04	90.0	1.84

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.41	0.00	3.41	90.0	3.07
07/18/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.99	0.00	1.99	90.0	1.79
08/16/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.59	0.00	3.59	90.0	3.23
08/16/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.09	0.00	2.09	90.0	1.88
09/19/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.64	0.00	3.64	90.0	3.28
09/19/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.92	0.00	1.92	90.0	1.73
10/17/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.51	0.00	3.51	90.0	3.16
10/17/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.84	0.00	1.84	90.0	1.66
11/16/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.61	0.00	3.61	90.0	3.25
11/16/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.89	0.00	1.89	90.0	1.70
12/19/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.48	0.00	3.48	90.0	3.13
12/19/2016	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.82	0.00	1.82	90.0	1.64
04/18/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	0.50	0.00	0.50	90.0	0.45
04/18/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.03	0.00	0.03	90.0	0.03
04/18/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	0.86	0.00	0.86	90.0	0.77
05/24/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.38	0.00	1.38	90.0	1.24
05/24/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.94	0.00	0.94	90.0	0.85
05/24/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	13.08	0.00	13.08	90.0	11.77
06/21/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.42	0.00	1.42	90.0	1.28
06/21/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.97	0.00	0.97	90.0	0.87
06/21/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	13.42	0.00	13.42	90.0	12.08
07/18/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.38	0.00	1.38	90.0	1.24
07/18/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.94	0.00	0.94	90.0	0.85
07/18/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	13.05	0.00	13.05	90.0	11.75
08/16/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.46	0.00	1.46	90.0	1.31
08/16/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.00	0.00	1.00	90.0	0.90
08/16/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	13.79	0.00	13.79	90.0	12.41
09/19/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.49	0.00	1.49	90.0	1.34
09/19/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.02	0.00	1.02	90.0	0.92
09/19/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	14.10	0.00	14.10	90.0	12.69
10/17/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.45	0.00	1.45	90.0	1.31
10/17/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.99	0.00	0.99	90.0	0.89
10/17/2016	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	13.65	0.00	13.65	90.0	12.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/16/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.49	0.00	1.49	90.0	1.34
11/16/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.01	0.00	1.01	90.0	0.91
11/16/2016	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	14.04	0.00	14.04	90.0	12.64
12/19/2016	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.42	0.00	1.42	90.0	1.28
12/19/2016	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	0.97	0.00	0.97	90.0	0.87
12/19/2016	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	13.42	0.00	13.42	90.0	12.08
04/18/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	4.12	0.00	4.12	90.0	3.71
04/18/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	1.21	0.00	1.21	90.0	1.09
04/18/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.28	0.00	5.28	90.0	4.75
04/18/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	1.38	0.00	1.38	90.0	1.24
04/18/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	2.16	0.00	2.16	90.0	1.94
04/18/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	0.55	0.00	0.55	90.0	0.50
05/24/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	7.90	0.00	7.90	90.0	7.11
05/24/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.26	0.00	9.26	90.0	8.33
05/24/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	14.72	0.00	14.72	90.0	13.25
05/24/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	10.52	0.00	10.52	90.0	9.47
05/24/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	1.03	0.00	1.03	90.0	0.93
05/24/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.72	0.00	4.72	90.0	4.25
05/24/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.53	0.00	1.53	90.0	1.38
06/21/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.10	0.00	8.10	90.0	7.29
06/21/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.50	0.00	9.50	90.0	8.55
06/21/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.10	0.00	15.10	90.0	13.59
06/21/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	10.79	0.00	10.79	90.0	9.71
06/21/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	7.91	0.00	7.91	90.0	7.12
06/21/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.84	0.00	4.84	90.0	4.36
06/21/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.57	0.00	1.57	90.0	1.41
07/18/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	7.88	0.00	7.88	90.0	7.09
07/18/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.24	0.00	9.24	90.0	8.32
07/18/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	14.68	0.00	14.68	90.0	13.21
07/18/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	10.49	0.00	10.49	90.0	9.44
07/18/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	7.69	0.00	7.69	90.0	6.92
07/18/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.70	0.00	4.70	90.0	4.23
07/18/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.53	0.00	1.53	90.0	1.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/16/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.36	0.00	8.36	90.0	7.52
08/16/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.80	0.00	9.80	90.0	8.82
08/16/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.57	0.00	15.57	90.0	14.01
08/16/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	11.13	0.00	11.13	90.0	10.02
08/16/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	8.15	0.00	8.15	90.0	7.34
08/16/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.99	0.00	4.99	90.0	4.49
08/16/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.62	0.00	1.62	90.0	1.46
09/19/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.48	0.00	8.48	90.0	7.63
09/19/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.94	0.00	9.94	90.0	8.95
09/19/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.79	0.00	15.79	90.0	14.21
09/19/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	11.28	0.00	11.28	90.0	10.15
09/19/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	8.27	0.00	8.27	90.0	7.44
09/19/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.06	0.00	5.06	90.0	4.55
09/19/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.64	0.00	1.64	90.0	1.48
10/17/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.18	0.00	8.18	90.0	7.36
10/17/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.58	0.00	9.58	90.0	8.62
10/17/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.23	0.00	15.23	90.0	13.71
10/17/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	10.88	0.00	10.88	90.0	9.79
10/17/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	7.98	0.00	7.98	90.0	7.18
10/17/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.88	0.00	4.88	90.0	4.39
10/17/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.58	0.00	1.58	90.0	1.42
11/16/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.45	0.00	8.45	90.0	7.61
11/16/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.90	0.00	9.90	90.0	8.91
11/16/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.74	0.00	15.74	90.0	14.17
11/16/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	11.24	0.00	11.24	90.0	10.12
11/16/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	8.24	0.00	8.24	90.0	7.42
11/16/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.04	0.00	5.04	90.0	4.54
11/16/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.64	0.00	1.64	90.0	1.48
12/19/2016	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	8.19	0.00	8.19	90.0	7.37
12/19/2016	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	9.60	0.00	9.60	90.0	8.64
12/19/2016	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	15.25	0.00	15.25	90.0	13.73
12/19/2016	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	10.90	0.00	10.90	90.0	9.81
12/19/2016	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	7.99	0.00	7.99	90.0	7.19

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/19/2016	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	4.89	0.00	4.89	90.0	4.40
12/19/2016	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.59	0.00	1.59	90.0	1.43
10/17/2016	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	7.61	0.00	7.61	90.0	6.85
11/16/2016	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	21.39	0.00	21.39	90.0	19.25
12/19/2016	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	20.71	0.00	20.71	90.0	18.64
04/18/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	1.52	0.00	1.52	90.0	1.37
05/24/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.19	0.00	4.19	90.0	3.77
06/21/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.34	0.00	4.34	90.0	3.91
07/18/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.24	0.00	4.24	90.0	3.82
08/16/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.50	0.00	4.50	90.0	4.05
09/19/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.54	0.00	4.54	90.0	4.09
10/17/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.32	0.00	4.32	90.0	3.89
11/16/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.43	0.00	4.43	90.0	3.99
12/19/2016	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.29	0.00	4.29	90.0	3.86
04/18/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	2.01	0.00	2.01	90.0	1.81
04/18/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	0.58	0.00	0.58	90.0	0.52
04/18/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	2.23	0.00	2.23	90.0	2.01
04/18/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	0.55	0.00	0.55	90.0	0.50
05/24/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	3.82	0.00	3.82	90.0	3.44
05/24/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.40	0.00	4.40	90.0	3.96
05/24/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	0.45	0.00	0.45	90.0	0.41
05/24/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.85	0.00	4.85	90.0	4.37
05/24/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.53	0.00	1.53	90.0	1.38
06/21/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	3.95	0.00	3.95	90.0	3.56
06/21/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.55	0.00	4.55	90.0	4.10
06/21/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.45	0.00	3.45	90.0	3.11
06/21/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.01	0.00	5.01	90.0	4.51
06/21/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.58	0.00	1.58	90.0	1.42
07/18/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	3.84	0.00	3.84	90.0	3.46
07/18/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.43	0.00	4.43	90.0	3.99
07/18/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.35	0.00	3.35	90.0	3.02
07/18/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.88	0.00	4.88	90.0	4.39
07/18/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.54	0.00	1.54	90.0	1.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/16/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.08	0.00	4.08	90.0	3.67
08/16/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.70	0.00	4.70	90.0	4.23
08/16/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.56	0.00	3.56	90.0	3.20
08/16/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.18	0.00	5.18	90.0	4.66
08/16/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.63	0.00	1.63	90.0	1.47
09/19/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.13	0.00	4.13	90.0	3.72
09/19/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.76	0.00	4.76	90.0	4.28
09/19/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.61	0.00	3.61	90.0	3.25
09/19/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.25	0.00	5.25	90.0	4.73
09/19/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.65	0.00	1.65	90.0	1.49
10/17/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	3.98	0.00	3.98	90.0	3.58
10/17/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.58	0.00	4.58	90.0	4.12
10/17/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.47	0.00	3.47	90.0	3.12
10/17/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.05	0.00	5.05	90.0	4.55
10/17/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.59	0.00	1.59	90.0	1.43
11/16/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.11	0.00	4.11	90.0	3.70
11/16/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.73	0.00	4.73	90.0	4.26
11/16/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.59	0.00	3.59	90.0	3.23
11/16/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.22	0.00	5.22	90.0	4.70
11/16/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.64	0.00	1.64	90.0	1.48
12/19/2016	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.07	0.00	4.07	90.0	3.66
12/19/2016	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	4.68	0.00	4.68	90.0	4.21
12/19/2016	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.55	0.00	3.55	90.0	3.20
12/19/2016	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.16	0.00	5.16	90.0	4.64
12/19/2016	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.63	0.00	1.63	90.0	1.47
04/18/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	0.25	0.00	0.25	90.0	0.23
04/18/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	0.12	0.00	0.12	90.0	0.11
04/18/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.09	0.00	0.09	90.0	0.08
05/24/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.80	0.00	3.80	90.0	3.42
05/24/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.77	0.00	1.77	90.0	1.59
05/24/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.71	0.00	0.71	90.0	0.64
06/21/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.92	0.00	3.92	90.0	3.53
06/21/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.82	0.00	1.82	90.0	1.64

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.73	0.00	0.73	90.0	0.66
07/18/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.82	0.00	3.82	90.0	3.44
07/18/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.78	0.00	1.78	90.0	1.60
07/18/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.71	0.00	0.71	90.0	0.64
08/16/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.02	0.00	4.02	90.0	3.62
08/16/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.87	0.00	1.87	90.0	1.68
08/16/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.75	0.00	0.75	90.0	0.68
09/19/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.09	0.00	4.09	90.0	3.68
09/19/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.90	0.00	1.90	90.0	1.71
09/19/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.76	0.00	0.76	90.0	0.68
10/17/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.95	0.00	3.95	90.0	3.56
10/17/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.84	0.00	1.84	90.0	1.66
10/17/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.74	0.00	0.74	90.0	0.67
10/17/2016	BOHLS, LANIER	HARTFORD GROWTH ALLOCATION A	0.00	4.60	0.00	4.60	90.0	4.14
10/17/2016	BOHLS, JANET	HARTFORD GROWTH ALLOCATION A	0.00	3.35	0.00	3.35	90.0	3.02
11/16/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.05	0.00	4.05	90.0	3.65
11/16/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.89	0.00	1.89	90.0	1.70
11/16/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.76	0.00	0.76	90.0	0.68
11/16/2016	BOHLS, LANIER	HARTFORD GROWTH ALLOCATION A	0.00	2.10	0.00	2.10	90.0	1.89
11/16/2016	BOHLS, JANET	HARTFORD GROWTH ALLOCATION A	0.00	1.53	0.00	1.53	90.0	1.38
12/19/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.91	0.00	3.91	90.0	3.52
12/19/2016	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.82	0.00	1.82	90.0	1.64
12/19/2016	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.73	0.00	0.73	90.0	0.66
04/18/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	1.12	0.00	1.12	90.0	1.01
04/18/2016	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	0.98	0.00	0.98	90.0	0.88
05/24/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	8.57	0.00	8.57	90.0	7.71
05/24/2016	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	14.93	0.00	14.93	90.0	13.44
06/21/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	8.89	0.00	8.89	90.0	8.00
06/21/2016	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	15.48	0.00	15.48	90.0	13.93
07/18/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	8.73	0.00	8.73	90.0	7.86
07/18/2016	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	15.20	0.00	15.20	90.0	13.68
08/16/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	9.28	0.00	9.28	90.0	8.35
08/16/2016	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	16.16	0.00	16.16	90.0	14.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/19/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	9.52	0.00	9.52	90.0	8.57
09/19/2016	SCOTT, MONYEAN	HARTFORD GROWTH OPP A	0.00	16.57	0.00	16.57	90.0	14.91
10/17/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	9.17	0.00	9.17	90.0	8.25
10/17/2016	SCOTT, MONYEAN	HARTFORD GROWTH OPP A	0.00	15.97	0.00	15.97	90.0	14.37
11/16/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	9.45	0.00	9.45	90.0	8.51
11/16/2016	SCOTT, MONYEAN	HARTFORD GROWTH OPP A	0.00	16.46	0.00	16.46	90.0	14.81
12/19/2016	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	8.92	0.00	8.92	90.0	8.03
12/19/2016	SCOTT, MONYEAN	HARTFORD GROWTH OPP A	0.00	15.54	0.00	15.54	90.0	13.99
04/18/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	0.76	0.00	0.76	90.0	0.68
05/24/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	5.73	0.00	5.73	90.0	5.16
06/21/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	5.90	0.00	5.90	90.0	5.31
07/18/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	5.72	0.00	5.72	90.0	5.15
08/16/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.01	0.00	6.01	90.0	5.41
09/19/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.16	0.00	6.16	90.0	5.54
10/17/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.01	0.00	6.01	90.0	5.41
11/16/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.15	0.00	6.15	90.0	5.54
12/19/2016	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	5.65	0.00	5.65	90.0	5.09
04/18/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.37	0.00	6.37	90.0	5.73
04/18/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	7.77	0.00	7.77	90.0	6.99
04/18/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	2.20	0.00	2.20	90.0	1.98
05/24/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	12.25	0.00	12.25	90.0	11.03
05/24/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	21.72	0.00	21.72	90.0	19.55
05/24/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	4.83	0.00	4.83	90.0	4.35
06/21/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.83	0.00	10.83	90.0	9.75
06/21/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	22.45	0.00	22.45	90.0	20.21
06/21/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	4.99	0.00	4.99	90.0	4.49
07/18/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.11	0.00	10.11	90.0	9.10
07/18/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	22.03	0.00	22.03	90.0	19.83
07/18/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	4.90	0.00	4.90	90.0	4.41
08/16/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.70	0.00	10.70	90.0	9.63
08/16/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	23.29	0.00	23.29	90.0	20.96
08/16/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.18	0.00	5.18	90.0	4.66
09/19/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.80	0.00	10.80	90.0	9.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/19/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	23.51	0.00	23.51	90.0	21.16
09/19/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.23	0.00	5.23	90.0	4.71
10/17/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.43	0.00	10.43	90.0	9.39
10/17/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	22.72	0.00	22.72	90.0	20.45
10/17/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.05	0.00	5.05	90.0	4.55
11/16/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.70	0.00	10.70	90.0	9.63
11/16/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	17.46	0.00	17.46	90.0	15.71
11/16/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.18	0.00	5.18	90.0	4.66
12/19/2016	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	10.62	0.00	10.62	90.0	9.56
12/19/2016	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	16.93	0.00	16.93	90.0	15.24
12/19/2016	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.15	0.00	5.15	90.0	4.64
04/18/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	1.37	0.00	1.37	90.0	1.23
04/18/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.02	0.00	0.02	90.0	0.02
05/24/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	10.40	0.00	10.40	90.0	9.36
05/24/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.63	0.00	0.63	90.0	0.57
06/21/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	10.74	0.00	10.74	90.0	9.67
06/21/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.65	0.00	0.65	90.0	0.59
07/18/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	10.52	0.00	10.52	90.0	9.47
07/18/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.63	0.00	0.63	90.0	0.57
08/16/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	11.12	0.00	11.12	90.0	10.01
08/16/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.67	0.00	0.67	90.0	0.60
09/19/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	11.34	0.00	11.34	90.0	10.21
09/19/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.68	0.00	0.68	90.0	0.61
10/17/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	10.94	0.00	10.94	90.0	9.85
10/17/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.66	0.00	0.66	90.0	0.59
11/16/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	11.20	0.00	11.20	90.0	10.08
11/16/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.68	0.00	0.68	90.0	0.61
12/19/2016	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	11.17	0.00	11.17	90.0	10.05
12/19/2016	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.67	0.00	0.67	90.0	0.60
04/18/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	3.53	0.00	3.53	90.0	3.18
04/18/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	0.55	0.00	0.55	90.0	0.50
05/24/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	9.88	0.00	9.88	90.0	8.89
05/24/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.23	0.00	4.23	90.0	3.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.09	0.00	10.09	90.0	9.08
06/21/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.32	0.00	4.32	90.0	3.89
07/18/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.09	0.00	10.09	90.0	9.08
07/18/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.32	0.00	4.32	90.0	3.89
08/16/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.82	0.00	10.82	90.0	9.74
08/16/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.63	0.00	4.63	90.0	4.17
09/19/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	11.18	0.00	11.18	90.0	10.06
09/19/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.79	0.00	4.79	90.0	4.31
10/17/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.91	0.00	10.91	90.0	9.82
10/17/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.67	0.00	4.67	90.0	4.20
11/16/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.99	0.00	10.99	90.0	9.89
11/16/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.71	0.00	4.71	90.0	4.24
12/19/2016	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	10.84	0.00	10.84	90.0	9.76
12/19/2016	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	4.64	0.00	4.64	90.0	4.18
04/18/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	0.55	0.00	0.55	90.0	0.50
05/24/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.53	0.00	1.53	90.0	1.38
06/21/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.58	0.00	1.58	90.0	1.42
07/18/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.56	0.00	1.56	90.0	1.40
08/16/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.66	0.00	1.66	90.0	1.49
09/19/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.70	0.00	1.70	90.0	1.53
10/17/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.65	0.00	1.65	90.0	1.49
11/16/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.70	0.00	1.70	90.0	1.53
12/19/2016	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.69	0.00	1.69	90.0	1.52
04/18/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.02	0.00	0.02	90.0	0.02
05/24/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.53	0.00	0.53	90.0	0.48
06/21/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.55	0.00	0.55	90.0	0.50
07/18/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.54	0.00	0.54	90.0	0.49
08/16/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.58	0.00	0.58	90.0	0.52
09/19/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.59	0.00	0.59	90.0	0.53
10/17/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.56	0.00	0.56	90.0	0.50
11/16/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.58	0.00	0.58	90.0	0.52
12/19/2016	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.57	0.00	0.57	90.0	0.51
04/20/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.07	0.00	0.07	90.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/26/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.53	0.00	0.53	90.0	0.48
06/22/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.56	0.00	0.56	90.0	0.50
07/20/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.55	0.00	0.55	90.0	0.50
08/17/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.57	0.00	0.57	90.0	0.51
09/14/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.58	0.00	0.58	90.0	0.52
10/19/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.56	0.00	0.56	90.0	0.50
11/16/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.59	0.00	0.59	90.0	0.53
12/23/2016	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.57	0.00	0.57	90.0	0.51
04/20/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.02	0.00	0.02	90.0	0.02
04/20/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.03	0.00	0.03	90.0	0.03
05/16/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.24	0.00	0.24	90.0	0.22
05/16/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.35	0.00	0.35	90.0	0.32
06/15/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.25	0.00	0.25	90.0	0.23
06/15/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.36	0.00	0.36	90.0	0.32
07/18/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.24	0.00	0.24	90.0	0.22
07/18/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.35	0.00	0.35	90.0	0.32
08/15/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.25	0.00	0.25	90.0	0.23
08/15/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.36	0.00	0.36	90.0	0.32
09/16/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.26	0.00	0.26	90.0	0.23
09/16/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.38	0.00	0.38	90.0	0.34
10/17/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.25	0.00	0.25	90.0	0.23
10/17/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.37	0.00	0.37	90.0	0.33
11/18/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.25	0.00	0.25	90.0	0.23
11/18/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.37	0.00	0.37	90.0	0.33
12/15/2016	MILLER, SHARON	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.24	0.00	0.24	90.0	0.22
12/15/2016	MILLER, MICHAEL	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.35	0.00	0.35	90.0	0.32
07/19/2016	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	3.44	0.00	3.44	90.0	3.10
10/17/2016	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	6.40	0.00	6.40	90.0	5.76
04/14/2016	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	0.19	0.00	0.19	90.0	0.17
07/19/2016	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	17.77	0.00	17.77	90.0	15.99
10/17/2016	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	19.34	0.00	19.34	90.0	17.41
07/19/2016	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	4.48	0.00	4.48	90.0	4.03
07/19/2016	WILSON, MARY	INVESCO CHARTER FUND A	0.00	43.12	0.00	43.12	90.0	38.81

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	8.28	0.00	8.28	90.0	7.45
10/17/2016	WILSON, MARY	INVESCO CHARTER FUND A	0.00	45.63	0.00	45.63	90.0	41.07
04/14/2016	LESCHBER, PAMELA	INVESCO COMSTOCK A	0.00	0.05	0.00	0.05	90.0	0.05
07/19/2016	LESCHBER, PAMELA	INVESCO COMSTOCK A	0.00	1.13	0.00	1.13	90.0	1.02
10/17/2016	LESCHBER, PAMELA	INVESCO COMSTOCK A	0.00	1.20	0.00	1.20	90.0	1.08
07/19/2016	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.08	0.00	1.08	90.0	0.97
10/17/2016	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.14	0.00	1.14	90.0	1.03
04/14/2016	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	0.16	0.00	0.16	90.0	0.14
07/19/2016	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	14.73	0.00	14.73	90.0	13.26
10/17/2016	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	16.27	0.00	16.27	90.0	14.64
04/14/2016	LESCHBER, PAMELA	INVESCO EQUITY AND INCOME A	0.00	0.04	0.00	0.04	90.0	0.04
07/19/2016	LESCHBER, PAMELA	INVESCO EQUITY AND INCOME A	0.00	0.83	0.00	0.83	90.0	0.75
10/17/2016	LESCHBER, PAMELA	INVESCO EQUITY AND INCOME A	0.00	0.88	0.00	0.88	90.0	0.79
04/15/2016	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.06	0.00	0.06	90.0	0.05
04/15/2016	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.03	0.00	0.03	90.0	0.03
04/15/2016	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.21	0.00	0.21	90.0	0.19
04/15/2016	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.61	0.00	0.61	90.0	0.55
04/15/2016	MILLER, SHARON	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.03	0.00	0.03	90.0	0.03
04/15/2016	MILLER, MICHAEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.02	0.00	0.02	90.0	0.02
07/13/2016	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.80	0.00	1.80	90.0	1.62
07/13/2016	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.77	0.00	0.77	90.0	0.69
07/13/2016	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.13	0.00	1.13	90.0	1.02
07/13/2016	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.73	0.00	0.73	90.0	0.66
07/13/2016	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.26	0.00	0.26	90.0	0.23
07/13/2016	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	3.74	0.00	3.74	90.0	3.37
07/13/2016	KETTLE, MARVIN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.97	0.00	0.97	90.0	0.87
07/13/2016	CALDWELL, KENNETH	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.81	0.00	0.81	90.0	0.73
07/13/2016	MILLER, SHARON	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.78	0.00	0.78	90.0	0.70
07/13/2016	MILLER, MICHAEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.54	0.00	0.54	90.0	0.49
10/14/2016	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.89	0.00	1.89	90.0	1.70
10/14/2016	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.81	0.00	0.81	90.0	0.73
10/14/2016	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.18	0.00	1.18	90.0	1.06
10/14/2016	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.88	0.00	0.88	90.0	0.79

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/14/2016	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.32	0.00	0.32	90.0	0.29
10/14/2016	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	3.93	0.00	3.93	90.0	3.54
10/14/2016	KETTLE, MARVIN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.16	0.00	1.16	90.0	1.04
10/14/2016	CALDWELL, KENNETH	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.00	0.00	1.00	90.0	0.90
10/14/2016	MILLER, SHARON	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.82	0.00	0.82	90.0	0.74
10/14/2016	MILLER, MICHAEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.56	0.00	0.56	90.0	0.50
04/15/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	0.10	0.00	0.10	90.0	0.09
04/15/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.06	0.00	0.06	90.0	0.05
04/15/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.43	0.00	0.43	90.0	0.39
04/15/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.04	0.00	0.04	90.0	0.04
04/15/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.04	0.00	0.04	90.0	0.04
04/15/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	0.94	0.00	0.94	90.0	0.85
05/23/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	0.98	0.00	0.98	90.0	0.88
05/23/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.49	0.00	0.49	90.0	0.44
05/23/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.77	0.00	0.77	90.0	0.69
05/23/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	0.48	0.00	0.48	90.0	0.43
05/23/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.27	0.00	0.27	90.0	0.24
05/23/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.19	0.00	0.19	90.0	0.17
05/23/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.37	0.00	0.37	90.0	0.33
05/23/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.38	0.00	0.38	90.0	0.34
05/23/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	1.91	0.00	1.91	90.0	1.72
05/23/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.54	0.00	0.54	90.0	0.49
05/23/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.30	0.00	0.30	90.0	0.27
06/27/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.01	0.00	1.01	90.0	0.91
06/27/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.51	0.00	0.51	90.0	0.46
06/27/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.80	0.00	0.80	90.0	0.72
06/27/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.46	0.00	2.46	90.0	2.21
06/27/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.46	0.00	0.46	90.0	0.41
06/27/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.34	0.00	0.34	90.0	0.31
06/27/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.38	0.00	0.38	90.0	0.34
06/27/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
06/27/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	1.97	0.00	1.97	90.0	1.77
06/27/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.87	0.00	0.87	90.0	0.78

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/27/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.57	0.00	0.57	90.0	0.51
07/15/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	0.98	0.00	0.98	90.0	0.88
07/15/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.49	0.00	0.49	90.0	0.44
07/15/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.77	0.00	0.77	90.0	0.69
07/15/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.38	0.00	2.38	90.0	2.14
07/15/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.45	0.00	0.45	90.0	0.41
07/15/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.33	0.00	0.33	90.0	0.30
07/15/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.37	0.00	0.37	90.0	0.33
07/15/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.38	0.00	0.38	90.0	0.34
07/15/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	1.91	0.00	1.91	90.0	1.72
07/15/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.84	0.00	0.84	90.0	0.76
07/15/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.55	0.00	0.55	90.0	0.50
08/16/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.03	0.00	1.03	90.0	0.93
08/16/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.52	0.00	0.52	90.0	0.47
08/16/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.81	0.00	0.81	90.0	0.73
08/16/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.51	0.00	2.51	90.0	2.26
08/16/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.47	0.00	0.47	90.0	0.42
08/16/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.34	0.00	0.34	90.0	0.31
08/16/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
08/16/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
08/16/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.01	0.00	2.01	90.0	1.81
08/16/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.89	0.00	0.89	90.0	0.80
08/16/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.58	0.00	0.58	90.0	0.52
09/16/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.05	0.00	1.05	90.0	0.95
09/16/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.53	0.00	0.53	90.0	0.48
09/16/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.83	0.00	0.83	90.0	0.75
09/16/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.56	0.00	2.56	90.0	2.30
09/16/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.48	0.00	0.48	90.0	0.43
09/16/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.35	0.00	0.35	90.0	0.32
09/16/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
09/16/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.41	0.00	0.41	90.0	0.37
09/16/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.05	0.00	2.05	90.0	1.85
09/16/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.90	0.00	0.90	90.0	0.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.59	0.00	0.59	90.0	0.53
10/24/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.01	0.00	1.01	90.0	0.91
10/24/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.51	0.00	0.51	90.0	0.46
10/24/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.80	0.00	0.80	90.0	0.72
10/24/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.47	0.00	2.47	90.0	2.22
10/24/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.47	0.00	0.47	90.0	0.42
10/24/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.34	0.00	0.34	90.0	0.31
10/24/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.38	0.00	0.38	90.0	0.34
10/24/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
10/24/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	1.98	0.00	1.98	90.0	1.78
10/24/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.87	0.00	0.87	90.0	0.78
10/24/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.57	0.00	0.57	90.0	0.51
11/18/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.04	0.00	1.04	90.0	0.94
11/18/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.53	0.00	0.53	90.0	0.48
11/18/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.82	0.00	0.82	90.0	0.74
11/18/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.54	0.00	2.54	90.0	2.29
11/18/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.48	0.00	0.48	90.0	0.43
11/18/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.35	0.00	0.35	90.0	0.32
11/18/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
11/18/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
11/18/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.04	0.00	2.04	90.0	1.84
11/18/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.90	0.00	0.90	90.0	0.81
11/18/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.59	0.00	0.59	90.0	0.53
12/16/2016	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.05	0.00	1.05	90.0	0.95
12/16/2016	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.53	0.00	0.53	90.0	0.48
12/16/2016	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.83	0.00	0.83	90.0	0.75
12/16/2016	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.55	0.00	2.55	90.0	2.30
12/16/2016	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.48	0.00	0.48	90.0	0.43
12/16/2016	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.35	0.00	0.35	90.0	0.32
12/16/2016	MILLER, SHARON	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
12/16/2016	MILLER, MICHAEL	JH DISCIPLINED VALUE A	0.00	0.41	0.00	0.41	90.0	0.37
12/16/2016	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.05	0.00	2.05	90.0	1.85
12/16/2016	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.90	0.00	0.90	90.0	0.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/16/2016	CALDWELL, KENNETH	JH DISCIPLINED VALUE A	0.00	0.59	0.00	0.59	90.0	0.53
05/23/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	2.41	0.00	2.41	90.0	2.17
06/27/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.95	0.00	3.95	90.0	3.56
07/15/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.84	0.00	3.84	90.0	3.46
08/16/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.02	0.00	4.02	90.0	3.62
09/16/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.03	0.00	4.03	90.0	3.63
10/24/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.89	0.00	3.89	90.0	3.50
11/18/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.02	0.00	4.02	90.0	3.62
12/16/2016	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.84	0.00	3.84	90.0	3.46
04/15/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.07	0.00	0.07	90.0	0.06
04/15/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.02	0.00	0.02	90.0	0.02
04/15/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.39	0.00	0.39	90.0	0.35
04/15/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.26	0.00	0.26	90.0	0.23
04/15/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
05/23/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.73	0.00	0.73	90.0	0.66
05/23/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
05/23/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.68	0.00	0.68	90.0	0.61
05/23/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
05/23/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.05	0.00	0.05	90.0	0.05
05/23/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
05/23/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.52	0.00	0.52	90.0	0.47
05/23/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.76	0.00	5.76	90.0	5.18
05/23/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.21	0.00	0.21	90.0	0.19
05/23/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.16	0.00	0.16	90.0	0.14
06/27/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.76	0.00	0.76	90.0	0.68
06/27/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
06/27/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.71	0.00	0.71	90.0	0.64
06/27/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.75	0.00	1.75	90.0	1.58
06/27/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
06/27/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
06/27/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.54	0.00	0.54	90.0	0.49
06/27/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.00	0.00	6.00	90.0	5.40
06/27/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.35	0.00	0.35	90.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/27/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.31	0.00	0.31	90.0	0.28
07/15/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.72	0.00	0.72	90.0	0.65
07/15/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
07/15/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.68	0.00	0.68	90.0	0.61
07/15/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.67	0.00	1.67	90.0	1.50
07/15/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
07/15/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.17	0.00	0.17	90.0	0.15
07/15/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.52	0.00	0.52	90.0	0.47
07/15/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.73	0.00	5.73	90.0	5.16
07/15/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.33	0.00	0.33	90.0	0.30
07/15/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.30	0.00	0.30	90.0	0.27
08/16/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.74	0.00	0.74	90.0	0.67
08/16/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
08/16/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
08/16/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.72	0.00	1.72	90.0	1.55
08/16/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
08/16/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
08/16/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.53	0.00	0.53	90.0	0.48
08/16/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.89	0.00	5.89	90.0	5.30
08/16/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
08/16/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.31	0.00	0.31	90.0	0.28
09/16/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.74	0.00	0.74	90.0	0.67
09/16/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
09/16/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
09/16/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.72	0.00	1.72	90.0	1.55
09/16/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
09/16/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
09/16/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.53	0.00	0.53	90.0	0.48
09/16/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.90	0.00	5.90	90.0	5.31
09/16/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
09/16/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.31	0.00	0.31	90.0	0.28
10/24/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.72	0.00	0.72	90.0	0.65
10/24/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/24/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.68	0.00	0.68	90.0	0.61
10/24/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.66	0.00	1.66	90.0	1.49
10/24/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
10/24/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.17	0.00	0.17	90.0	0.15
10/24/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.51	0.00	0.51	90.0	0.46
10/24/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.69	0.00	5.69	90.0	5.12
10/24/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.33	0.00	0.33	90.0	0.30
10/24/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.30	0.00	0.30	90.0	0.27
11/18/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.74	0.00	0.74	90.0	0.67
11/18/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
11/18/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
11/18/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.72	0.00	1.72	90.0	1.55
11/18/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
11/18/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
11/18/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.53	0.00	0.53	90.0	0.48
11/18/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.89	0.00	5.89	90.0	5.30
11/18/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
11/18/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.31	0.00	0.31	90.0	0.28
12/16/2016	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.72	0.00	0.72	90.0	0.65
12/16/2016	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
12/16/2016	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.67	0.00	0.67	90.0	0.60
12/16/2016	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.65	0.00	1.65	90.0	1.49
12/16/2016	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
12/16/2016	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.17	0.00	0.17	90.0	0.15
12/16/2016	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.51	0.00	0.51	90.0	0.46
12/16/2016	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.67	0.00	5.67	90.0	5.10
12/16/2016	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.33	0.00	0.33	90.0	0.30
12/16/2016	CALDWELL, KENNETH	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.30	0.00	0.30	90.0	0.27
04/25/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.01	0.00	0.01	90.0	0.01
04/25/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.02	0.00	0.02	90.0	0.02
05/16/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.13	0.00	0.13	90.0	0.12
05/16/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.19	0.00	0.19	90.0	0.17
06/20/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.13	0.00	0.13	90.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/20/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.20	0.00	0.20	90.0	0.18
07/25/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.13	0.00	0.13	90.0	0.12
07/25/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.19	0.00	0.19	90.0	0.17
08/15/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.14	0.00	0.14	90.0	0.13
08/15/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.20	0.00	0.20	90.0	0.18
09/15/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.14	0.00	0.14	90.0	0.13
09/15/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.21	0.00	0.21	90.0	0.19
10/14/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.13	0.00	0.13	90.0	0.12
10/14/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.20	0.00	0.20	90.0	0.18
11/21/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.14	0.00	0.14	90.0	0.13
11/21/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.21	0.00	0.21	90.0	0.19
12/16/2016	MILLER, SHARON	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.14	0.00	0.14	90.0	0.13
12/16/2016	MILLER, MICHAEL	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.21	0.00	0.21	90.0	0.19
07/26/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	0.64	0.00	0.64	90.0	0.58
08/25/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.62	0.00	2.62	90.0	2.36
09/26/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.69	0.00	2.69	90.0	2.42
10/27/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.60	0.00	2.60	90.0	2.34
11/23/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.69	0.00	2.69	90.0	2.42
12/20/2016	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.69	0.00	2.69	90.0	2.42
02/14/2018	LINDELL, HOWARD	LORD ABBETT & CO 543916530	0.00	173.88	0.00	173.88	90.0	156.49
02/14/2018	EVANS, DAVID	LORD ABBETT & CO 543916530	0.00	1.67	0.00	1.67	90.0	1.50
02/14/2018	BUTLER, SHELLY	LORD ABBETT & CO 543916589	0.00	0.01	0.00	0.01	90.0	0.01
02/14/2018	LINDELL, HOWARD	LORD ABBETT & CO 543916589	0.00	113.51	0.00	113.51	90.0	102.16
02/14/2018	EVANS, DAVID	LORD ABBETT & CO 543916589	0.00	1.67	0.00	1.67	90.0	1.50
02/14/2018	MEYER, KATHY	LORD ABBETT & CO 543916605	0.00	77.13	0.00	77.13	90.0	69.42
02/14/2018	BUTLER, SHELLY	LORD ABBETT & CO 543916605	0.00	0.01	0.00	0.01	90.0	0.01
02/14/2018	LINDELL, HOWARD	LORD ABBETT & CO 543916605	0.00	108.41	0.00	108.41	90.0	97.57
02/14/2018	EVANS, DAVID	LORD ABBETT & CO 543916605	0.00	1.61	0.00	1.61	90.0	1.45
04/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	0.76	0.00	0.76	90.0	0.68
04/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.22	0.00	0.22	90.0	0.20
05/23/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.44	0.00	1.44	90.0	1.30
05/23/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.62	0.00	0.62	90.0	0.56
06/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.49	0.00	1.49	90.0	1.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.64	0.00	0.64	90.0	0.58
07/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.46	0.00	1.46	90.0	1.31
07/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.63	0.00	0.63	90.0	0.57
08/22/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.55	0.00	1.55	90.0	1.40
08/22/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.67	0.00	0.67	90.0	0.60
09/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.57	0.00	1.57	90.0	1.41
09/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.68	0.00	0.68	90.0	0.61
10/20/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.52	0.00	1.52	90.0	1.37
10/20/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.65	0.00	0.65	90.0	0.59
11/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.56	0.00	1.56	90.0	1.40
11/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.67	0.00	0.67	90.0	0.60
12/21/2016	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.56	0.00	1.56	90.0	1.40
12/21/2016	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.67	0.00	0.67	90.0	0.60
04/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	1.57	0.00	1.57	90.0	1.41
05/23/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.01	0.00	3.01	90.0	2.71
06/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.11	0.00	3.11	90.0	2.80
07/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.06	0.00	3.06	90.0	2.75
08/22/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.26	0.00	3.26	90.0	2.93
09/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.36	0.00	3.36	90.0	3.02
10/20/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.26	0.00	3.26	90.0	2.93
11/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.33	0.00	3.33	90.0	3.00
12/21/2016	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.27	0.00	3.27	90.0	2.94
02/14/2018	LINDELL, HOWARD	LORD ABBETT ALPHA STRATEGY C	0.00	188.00	0.00	188.00	90.0	169.20
02/14/2018	EVANS, DAVID	LORD ABBETT ALPHA STRATEGY C	0.00	1.74	0.00	1.74	90.0	1.57
05/23/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	0.70	0.00	0.70	90.0	0.63
06/21/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.38	0.00	5.38	90.0	4.84
07/21/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.27	0.00	5.27	90.0	4.74
08/22/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.59	0.00	5.59	90.0	5.03
09/21/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.68	0.00	5.68	90.0	5.11
10/20/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.52	0.00	5.52	90.0	4.97
11/21/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.75	0.00	5.75	90.0	5.18
12/21/2016	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.52	0.00	5.52	90.0	4.97
04/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.97	0.00	0.97	90.0	0.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.86	0.00	0.86	90.0	0.77
04/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.28	0.00	0.28	90.0	0.25
05/23/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.84	0.00	1.84	90.0	1.66
05/23/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	3.39	0.00	3.39	90.0	3.05
05/23/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.50	0.00	6.50	90.0	5.85
05/23/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.78	0.00	0.78	90.0	0.70
06/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.92	0.00	1.92	90.0	1.73
06/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	10.55	0.00	10.55	90.0	9.50
06/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.77	0.00	6.77	90.0	6.09
06/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.81	0.00	0.81	90.0	0.73
07/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.89	0.00	1.89	90.0	1.70
07/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	10.38	0.00	10.38	90.0	9.34
07/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.65	0.00	6.65	90.0	5.99
07/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.80	0.00	0.80	90.0	0.72
08/22/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.01	0.00	2.01	90.0	1.81
08/22/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.02	0.00	11.02	90.0	9.92
08/22/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.10	0.00	7.10	90.0	6.39
08/22/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.85	0.00	0.85	90.0	0.77
09/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.02	0.00	2.02	90.0	1.82
09/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.05	0.00	11.05	90.0	9.95
09/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.11	0.00	7.11	90.0	6.40
09/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.85	0.00	0.85	90.0	0.77
10/20/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.92	0.00	1.92	90.0	1.73
10/20/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	10.53	0.00	10.53	90.0	9.48
10/20/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.78	0.00	6.78	90.0	6.10
10/20/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.81	0.00	0.81	90.0	0.73
11/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.96	0.00	1.96	90.0	1.76
11/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	10.69	0.00	10.69	90.0	9.62
11/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.91	0.00	6.91	90.0	6.22
11/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.83	0.00	0.83	90.0	0.75
12/21/2016	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.93	0.00	1.93	90.0	1.74
12/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	10.50	0.00	10.50	90.0	9.45
12/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	6.79	0.00	6.79	90.0	6.11

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2016	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.82	0.00	0.82	90.0	0.74
04/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	1.51	0.00	1.51	90.0	1.36
05/23/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	2.92	0.00	2.92	90.0	2.63
05/23/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	3.56	0.00	3.56	90.0	3.20
06/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	2.95	0.00	2.95	90.0	2.66
06/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	10.76	0.00	10.76	90.0	9.68
07/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	2.95	0.00	2.95	90.0	2.66
07/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	10.75	0.00	10.75	90.0	9.68
08/22/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.19	0.00	3.19	90.0	2.87
08/22/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	11.63	0.00	11.63	90.0	10.47
09/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.33	0.00	3.33	90.0	3.00
09/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	12.15	0.00	12.15	90.0	10.94
10/20/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.26	0.00	3.26	90.0	2.93
10/20/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	11.87	0.00	11.87	90.0	10.68
11/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.29	0.00	3.29	90.0	2.96
11/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	11.99	0.00	11.99	90.0	10.79
12/21/2016	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.16	0.00	3.16	90.0	2.84
12/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	11.53	0.00	11.53	90.0	10.38
04/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.09	0.00	1.09	90.0	0.98
04/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.22	0.00	0.22	90.0	0.20
05/23/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.34	0.00	8.34	90.0	7.51
05/23/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.62	0.00	0.62	90.0	0.56
06/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.70	0.00	8.70	90.0	7.83
06/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.65	0.00	0.65	90.0	0.59
07/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.52	0.00	8.52	90.0	7.67
07/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.64	0.00	0.64	90.0	0.58
08/22/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.02	0.00	9.02	90.0	8.12
08/22/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.67	0.00	0.67	90.0	0.60
09/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.15	0.00	9.15	90.0	8.24
09/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.68	0.00	0.68	90.0	0.61
10/20/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.81	0.00	8.81	90.0	7.93
10/20/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.66	0.00	0.66	90.0	0.59
11/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.11	0.00	9.11	90.0	8.20

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.68	0.00	0.68	90.0	0.61
12/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.04	0.00	9.04	90.0	8.14
12/21/2016	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.67	0.00	0.67	90.0	0.60
04/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.18	0.00	0.18	90.0	0.16
05/23/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.49	0.00	0.49	90.0	0.44
06/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.51	0.00	0.51	90.0	0.46
07/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.50	0.00	0.50	90.0	0.45
08/22/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.53	0.00	0.53	90.0	0.48
09/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.54	0.00	0.54	90.0	0.49
10/20/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.51	0.00	0.51	90.0	0.46
11/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.52	0.00	0.52	90.0	0.47
12/21/2016	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.51	0.00	0.51	90.0	0.46
06/21/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.06	0.00	6.06	90.0	5.45
07/21/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.77	0.00	6.77	90.0	6.09
08/22/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.59	0.00	6.59	90.0	5.93
09/21/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.35	0.00	6.35	90.0	5.72
10/20/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.19	0.00	6.19	90.0	5.57
11/21/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.45	0.00	6.45	90.0	5.81
12/21/2016	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.25	0.00	6.25	90.0	5.63
04/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	3.14	0.00	3.14	90.0	2.83
04/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	1.12	0.00	1.12	90.0	1.01
05/23/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.01	0.00	6.01	90.0	5.41
05/23/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	4.83	0.00	4.83	90.0	4.35
05/23/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	8.50	0.00	8.50	90.0	7.65
06/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.30	0.00	6.30	90.0	5.67
06/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.04	0.00	15.04	90.0	13.54
06/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	8.91	0.00	8.91	90.0	8.02
07/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.17	0.00	6.17	90.0	5.55
07/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	14.73	0.00	14.73	90.0	13.26
07/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	8.73	0.00	8.73	90.0	7.86
08/22/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.50	0.00	6.50	90.0	5.85
08/22/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.51	0.00	15.51	90.0	13.96
08/22/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.19	0.00	9.19	90.0	8.27

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.61	0.00	6.61	90.0	5.95
09/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.79	0.00	15.79	90.0	14.21
09/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.36	0.00	9.36	90.0	8.42
10/20/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.37	0.00	6.37	90.0	5.73
10/20/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.20	0.00	15.20	90.0	13.68
10/20/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.01	0.00	9.01	90.0	8.11
11/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.59	0.00	6.59	90.0	5.93
11/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.72	0.00	15.72	90.0	14.15
11/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.32	0.00	9.32	90.0	8.39
12/21/2016	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	6.53	0.00	6.53	90.0	5.88
12/21/2016	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	15.58	0.00	15.58	90.0	14.02
12/21/2016	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.23	0.00	9.23	90.0	8.31
04/20/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.61	0.00	0.61	90.0	0.55
05/16/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.63	0.00	4.63	90.0	4.17
06/15/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.80	0.00	4.80	90.0	4.32
07/18/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.66	0.00	4.66	90.0	4.19
08/15/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.83	0.00	4.83	90.0	4.35
09/16/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.83	0.00	4.83	90.0	4.35
10/17/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.66	0.00	4.66	90.0	4.19
11/18/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.80	0.00	4.80	90.0	4.32
12/15/2016	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.60	0.00	4.60	90.0	4.14
05/17/2016	MCELROY, BENNETT	MFS VALUE A	0.00	5.18	0.00	5.18	90.0	4.66
06/16/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.46	0.00	8.46	90.0	7.61
07/20/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.25	0.00	8.25	90.0	7.43
08/16/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.74	0.00	8.74	90.0	7.87
09/15/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.86	0.00	8.86	90.0	7.97
10/20/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.47	0.00	8.47	90.0	7.62
11/14/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.63	0.00	8.63	90.0	7.77
12/19/2016	MCELROY, BENNETT	MFS VALUE A	0.00	8.54	0.00	8.54	90.0	7.69
04/21/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	0.15	0.00	0.15	90.0	0.14
05/23/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.57	0.00	4.57	90.0	4.11
06/23/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.58	0.00	4.58	90.0	4.12
07/25/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.59	0.00	4.59	90.0	4.13

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/26/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.63	0.00	4.63	90.0	4.17
09/23/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.61	0.00	4.61	90.0	4.15
10/19/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.60	0.00	4.60	90.0	4.14
11/17/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.59	0.00	4.59	90.0	4.13
12/21/2016	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.60	0.00	4.60	90.0	4.14
04/21/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.02	0.00	0.02	90.0	0.02
04/21/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.03	0.00	0.03	90.0	0.03
05/19/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.24	0.00	0.24	90.0	0.22
05/19/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.30	0.00	0.30	90.0	0.27
06/30/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.24	0.00	0.24	90.0	0.22
06/30/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.30	0.00	0.30	90.0	0.27
07/18/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.24	0.00	0.24	90.0	0.22
07/18/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.30	0.00	0.30	90.0	0.27
08/24/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.25	0.00	0.25	90.0	0.23
08/24/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.32	0.00	0.32	90.0	0.29
09/22/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.26	0.00	0.26	90.0	0.23
09/22/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.33	0.00	0.33	90.0	0.30
10/21/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.26	0.00	0.26	90.0	0.23
10/21/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.33	0.00	0.33	90.0	0.30
11/21/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.27	0.00	0.27	90.0	0.24
11/21/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.34	0.00	0.34	90.0	0.31
12/19/2016	MILLER, SHARON	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.25	0.00	0.25	90.0	0.23
12/19/2016	MILLER, MICHAEL	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.31	0.00	0.31	90.0	0.28
05/19/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.91	0.00	0.91	90.0	0.82
06/30/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.48	0.00	1.48	90.0	1.33
07/18/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.45	0.00	1.45	90.0	1.31
08/24/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.52	0.00	1.52	90.0	1.37
09/22/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.53	0.00	1.53	90.0	1.38
10/21/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.49	0.00	1.49	90.0	1.34
11/21/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.54	0.00	1.54	90.0	1.39
12/19/2016	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.47	0.00	1.47	90.0	1.32
04/21/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.02	0.00	0.02	90.0	0.02
04/21/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.02	0.00	0.02	90.0	0.02

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/19/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.15	0.00	0.15	90.0	0.14
05/19/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.21	0.00	0.21	90.0	0.19
06/30/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.16	0.00	0.16	90.0	0.14
06/30/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.22	0.00	0.22	90.0	0.20
07/18/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.16	0.00	0.16	90.0	0.14
07/18/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.21	0.00	0.21	90.0	0.19
08/24/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.16	0.00	0.16	90.0	0.14
08/24/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.22	0.00	0.22	90.0	0.20
09/22/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.17	0.00	0.17	90.0	0.15
09/22/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.23	0.00	0.23	90.0	0.21
10/21/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.16	0.00	0.16	90.0	0.14
10/21/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.22	0.00	0.22	90.0	0.20
11/21/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.17	0.00	0.17	90.0	0.15
11/21/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.23	0.00	0.23	90.0	0.21
12/19/2016	MILLER, SHARON	OPPENHEIMER INTL SMALL CO A	0.00	0.16	0.00	0.16	90.0	0.14
12/19/2016	MILLER, MICHAEL	OPPENHEIMER INTL SMALL CO A	0.00	0.21	0.00	0.21	90.0	0.19
05/26/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	4.67	0.00	4.67	90.0	4.20
06/23/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	14.29	0.00	14.29	90.0	12.86
07/26/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	13.92	0.00	13.92	90.0	12.53
08/19/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	14.76	0.00	14.76	90.0	13.28
09/20/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	15.03	0.00	15.03	90.0	13.53
10/25/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	14.50	0.00	14.50	90.0	13.05
11/23/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	14.92	0.00	14.92	90.0	13.43
12/23/2016	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	14.50	0.00	14.50	90.0	13.05
07/26/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.13	0.00	0.13	90.0	0.12
08/25/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.53	0.00	0.53	90.0	0.48
09/26/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.54	0.00	0.54	90.0	0.49
10/27/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.52	0.00	0.52	90.0	0.47
11/23/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.54	0.00	0.54	90.0	0.49
12/20/2016	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.52	0.00	0.52	90.0	0.47
08/15/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.80	0.00	5.80	90.0	5.22
08/15/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.27	0.00	4.27	90.0	3.84
09/15/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.29	0.00	10.29	90.0	9.26

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.99	0.00	9.99	90.0	8.99
11/17/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.27	0.00	10.27	90.0	9.24
12/14/2016	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.81	0.00	9.81	90.0	8.83
04/15/2016	MILLER, SHARON	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.01	0.00	0.01	90.0	0.01
04/15/2016	MILLER, MICHAEL	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.01	0.00	0.01	90.0	0.01
05/10/2016	MILLER, SHARON	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.12	0.00	0.12	90.0	0.11
05/10/2016	MILLER, MICHAEL	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.09	0.00	0.09	90.0	0.08
06/09/2016	MILLER, SHARON	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.12	0.00	0.12	90.0	0.11
06/09/2016	MILLER, MICHAEL	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.09	0.00	0.09	90.0	0.08
07/13/2016	MILLER, SHARON	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.12	0.00	0.12	90.0	0.11
07/13/2016	MILLER, MICHAEL	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.09	0.00	0.09	90.0	0.08
08/12/2016	MILLER, SHARON	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.13	0.00	0.13	90.0	0.12
08/12/2016	MILLER, MICHAEL	RS SMALL CAP GROWTH FUND CLASS A	0.00	0.09	0.00	0.09	90.0	0.08
04/15/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.03	0.00	0.03	90.0	0.03
04/15/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.03	0.00	0.03	90.0	0.03
05/13/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
05/13/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
06/14/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
06/14/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.27	0.00	0.27	90.0	0.24
07/14/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
07/14/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
08/15/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.27	0.00	0.27	90.0	0.24
08/15/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
09/14/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
09/14/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.29	0.00	0.29	90.0	0.26
10/18/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
10/18/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
11/15/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.29	0.00	0.29	90.0	0.26
11/15/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.29	0.00	0.29	90.0	0.26
12/16/2016	MILLER, SHARON	TEMPLETON FOREIGN FUND A	0.00	0.27	0.00	0.27	90.0	0.24
12/16/2016	MILLER, MICHAEL	TEMPLETON FOREIGN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
04/18/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	2.57	0.00	2.57	90.0	2.31
05/24/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.15	0.00	7.15	90.0	6.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.39	0.00	7.39	90.0	6.65
07/18/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.17	0.00	7.17	90.0	6.45
08/16/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.56	0.00	7.56	90.0	6.80
09/19/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.75	0.00	7.75	90.0	6.98
10/17/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.53	0.00	7.53	90.0	6.78
11/16/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.67	0.00	7.67	90.0	6.90
12/19/2016	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	7.32	0.00	7.32	90.0	6.59
05/16/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	8.54	0.00	8.54	90.0	7.69
05/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	11.38	0.00	11.38	90.0	10.24
05/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	6.03	0.00	6.03	90.0	5.43
05/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	0.27	0.00	0.27	90.0	0.24
05/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	0.21	0.00	0.21	90.0	0.19
06/16/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	29.29	0.00	29.29	90.0	26.36
06/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	38.68	0.00	38.68	90.0	34.81
06/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	20.74	0.00	20.74	90.0	18.67
06/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.64	0.00	1.64	90.0	1.48
06/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.64	0.00	1.64	90.0	1.48
07/18/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	28.77	0.00	28.77	90.0	25.89
07/18/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	37.71	0.00	37.71	90.0	33.94
07/18/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	20.43	0.00	20.43	90.0	18.39
07/18/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.60	0.00	1.60	90.0	1.44
07/18/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.60	0.00	1.60	90.0	1.44
08/17/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	30.71	0.00	30.71	90.0	27.64
08/17/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	39.89	0.00	39.89	90.0	35.90
08/17/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	21.89	0.00	21.89	90.0	19.70
08/17/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.69	0.00	1.69	90.0	1.52
08/17/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.69	0.00	1.69	90.0	1.52
09/15/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	31.76	0.00	31.76	90.0	28.58
09/15/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	40.90	0.00	40.90	90.0	36.81
09/15/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	22.71	0.00	22.71	90.0	20.44
09/15/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.74	0.00	1.74	90.0	1.57
09/15/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.74	0.00	1.74	90.0	1.57
10/20/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	30.98	0.00	30.98	90.0	27.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	39.59	0.00	39.59	90.0	35.63
10/20/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	22.23	0.00	22.23	90.0	20.01
10/20/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.68	0.00	1.68	90.0	1.51
10/20/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.68	0.00	1.68	90.0	1.51
11/16/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	32.12	0.00	32.12	90.0	28.91
11/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	40.67	0.00	40.67	90.0	36.60
11/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	23.13	0.00	23.13	90.0	20.82
11/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.73	0.00	1.73	90.0	1.56
11/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.73	0.00	1.73	90.0	1.56
12/16/2016	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	31.15	0.00	31.15	90.0	28.04
12/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	39.09	0.00	39.09	90.0	35.18
12/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	22.50	0.00	22.50	90.0	20.25
12/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.66	0.00	1.66	90.0	1.49
12/16/2016	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.66	0.00	1.66	90.0	1.49
05/16/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.26	0.00	3.26	90.0	2.93
05/16/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	0.73	0.00	0.73	90.0	0.66
06/16/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.73	0.00	3.73	90.0	3.36
06/16/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.64	0.00	5.64	90.0	5.08
07/18/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.64	0.00	3.64	90.0	3.28
07/18/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.49	0.00	5.49	90.0	4.94
08/17/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.83	0.00	3.83	90.0	3.45
08/17/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.79	0.00	5.79	90.0	5.21
09/15/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.91	0.00	3.91	90.0	3.52
09/15/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.91	0.00	5.91	90.0	5.32
10/20/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.78	0.00	3.78	90.0	3.40
10/20/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.71	0.00	5.71	90.0	5.14
11/16/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.89	0.00	3.89	90.0	3.50
11/16/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.88	0.00	5.88	90.0	5.29
12/16/2016	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.73	0.00	3.73	90.0	3.36
12/16/2016	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	5.64	0.00	5.64	90.0	5.08
09/15/2016	MILLER, SHARON	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.13	0.00	0.13	90.0	0.12
09/15/2016	MILLER, MICHAEL	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.10	0.00	0.10	90.0	0.09
10/20/2016	MILLER, SHARON	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.13	0.00	0.13	90.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2016	MILLER, MICHAEL	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.09	0.00	0.09	90.0	0.08
11/22/2016	MILLER, SHARON	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.13	0.00	0.13	90.0	0.12
11/22/2016	MILLER, MICHAEL	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.10	0.00	0.10	90.0	0.09
12/29/2016	MILLER, SHARON	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.13	0.00	0.13	90.0	0.12
12/29/2016	MILLER, MICHAEL	VICTORY RS SMALL CAP GROWTH FUND CL	0.00	0.10	0.00	0.10	90.0	0.09
04/15/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.02	0.00	0.02	90.0	0.02
04/15/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.02	0.00	0.02	90.0	0.02
05/16/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.23	0.00	0.23	90.0	0.21
05/16/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.17	0.00	0.17	90.0	0.15
06/14/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.24	0.00	0.24	90.0	0.22
06/14/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.18	0.00	0.18	90.0	0.16
07/18/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.24	0.00	0.24	90.0	0.22
07/18/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.18	0.00	0.18	90.0	0.16
08/15/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.23
08/15/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.19	0.00	0.19	90.0	0.17
09/15/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.26	0.00	0.26	90.0	0.23
09/15/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.19	0.00	0.19	90.0	0.17
10/12/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.23
10/12/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.19	0.00	0.19	90.0	0.17
11/16/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.23
11/16/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.19	0.00	0.19	90.0	0.17
12/14/2016	MILLER, SHARON	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.24	0.00	0.24	90.0	0.22
12/14/2016	MILLER, MICHAEL	WELLS FARGO ADVANTAGE GROWTH FUND A	0.00	0.18	0.00	0.18	90.0	0.16
07/26/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.34	0.00	0.34	90.0	0.31
07/26/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.23	0.00	0.23	90.0	0.21
08/25/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	1.32	0.00	1.32	90.0	1.19
08/25/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.89	0.00	0.89	90.0	0.80
09/26/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	1.32	0.00	1.32	90.0	1.19
09/26/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.89	0.00	0.89	90.0	0.80
10/27/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	1.27	0.00	1.27	90.0	1.14
10/27/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.86	0.00	0.86	90.0	0.77
11/23/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	1.31	0.00	1.31	90.0	1.18
11/23/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.88	0.00	0.88	90.0	0.79

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/20/2016	MILLER, SHARON	WESTERN ASSET CORE PLUS BOND FUND C	0.00	1.24	0.00	1.24	90.0	1.12
12/20/2016	MILLER, MICHAEL	WESTERN ASSET CORE PLUS BOND FUND C	0.00	0.84	0.00	0.84	90.0	0.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$16,273.98	\$0.00	\$16,273.98		\$14,647.81
*** DIRECT TRANSACTIONS TOTAL ***			\$327,928.21	\$17,056.69	\$0.00	\$17,056.69		\$15,352.25

BROKER COMMISSION TOTALS

Broker Transactions	\$15,352.25
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$15,352.25
Year-to-date Gross	\$109,048.63
Year-to-date Earnings	\$98,033.79

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