



Concorde Investment Services, LLC

09/28/2017
Page No. 1

COMMISSION STATEMENT **September 30, 2017**

STAN WEBB
300 N. Main Street
Suite 309
Wichita, KS 67202

BROKER #: W121
BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/15/2017	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
09/15/2017	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
09/15/2017	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
09/01/2017	MILLER, WARREN	AM FUNDS AMCAP A	0.00	21.87	0.00	21.87	92.0	20.12
09/01/2017	SCHMIDT, SYLVIA	AM FUNDS AMCAP A	0.00	46.14	0.00	46.14	92.0	42.45
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMCAP A	0.00	9.19	0.00	9.19	92.0	8.45
09/01/2017	BOWMAN, DANIEL	AM FUNDS AMCAP A	0.00	0.80	0.00	0.80	92.0	0.74
09/01/2017	JENKINS, MARTY	AM FUNDS AMCAP A	0.00	10.51	0.00	10.51	92.0	9.67
09/01/2017	REED, MARK	AM FUNDS AMCAP A	0.00	124.09	0.00	124.09	92.0	114.16
09/01/2017	BOWMAN, JAMES	AM FUNDS AMCAP A	0.00	0.76	0.00	0.76	92.0	0.70
09/01/2017	BOWMAN, ROBIN	AM FUNDS AMCAP A	0.00	0.68	0.00	0.68	92.0	0.63
09/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMCAP A	0.00	4.87	0.00	4.87	92.0	4.48
09/01/2017	STROOT, SANDRA	AM FUNDS AMCAP A	0.00	4.67	0.00	4.67	92.0	4.30
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMCAP A	0.00	7.26	0.00	7.26	92.0	6.68
09/01/2017	HAMPTON, ANNDRE	AM FUNDS AMCAP A	0.00	2.68	0.00	2.68	92.0	2.47
09/01/2017	GALLARDO, KAREN	AM FUNDS AMCAP A	0.00	8.77	0.00	8.77	92.0	8.07
09/11/2017	MILLER, WARREN	AM FUNDS AMCAP A	100.00	3.75	0.00	3.75	92.0	3.45
09/01/2017	RACER, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	15.34	0.00	15.34	92.0	14.11
09/01/2017	RHEA, JONNIE	AM FUNDS AMERICAN BALANCED A	0.00	167.51	0.00	167.51	92.0	154.11
09/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	55.62	0.00	55.62	92.0	51.17
09/01/2017	MILLER, ELAINE	AM FUNDS AMERICAN BALANCED A	0.00	28.66	0.00	28.66	92.0	26.37
09/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN BALANCED A	0.00	33.70	0.00	33.70	92.0	31.00
09/01/2017	BOWMAN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.82	0.00	0.82	92.0	0.75
09/01/2017	DANDURAND, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	35.47	0.00	35.47	92.0	32.63
09/01/2017	PETERSEN, RAYMOND	AM FUNDS AMERICAN BALANCED A	0.00	13.63	0.00	13.63	92.0	12.54
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	72.75	0.00	72.75	92.0	66.93

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMERICAN BALANCED A	0.00	13.11	0.00	13.11	92.0	12.06
09/01/2017	PRACHT, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	3.06	0.00	3.06	92.0	2.82
09/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	86.84	0.00	86.84	92.0	79.89
09/01/2017	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	0.00	3.42	0.00	3.42	92.0	3.15
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	8.14	0.00	8.14	92.0	7.49
09/01/2017	LAWSON, SYLVIA	AM FUNDS AMERICAN BALANCED A	0.00	11.48	0.00	11.48	92.0	10.56
09/01/2017	DELPH TRUST, NORMA	AM FUNDS AMERICAN BALANCED A	0.00	131.26	0.00	131.26	92.0	120.76
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	92.0	0.20
09/01/2017	CLEMENS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	7.27	0.00	7.27	92.0	6.69
09/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.57	0.00	1.57	92.0	1.44
09/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	3.85	0.00	3.85	92.0	3.54
09/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	92.0	0.57
09/01/2017	SNELLENBERGER, ELFRIEDA	AM FUNDS AMERICAN BALANCED A	0.00	24.59	0.00	24.59	92.0	22.62
09/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	76.34	0.00	76.34	92.0	70.23
09/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS AMERICAN BALANCED A	0.00	15.71	0.00	15.71	92.0	14.45
09/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	125.69	0.00	125.69	92.0	115.63
09/01/2017	HIEGER, KIM	AM FUNDS AMERICAN BALANCED A	0.00	4.61	0.00	4.61	92.0	4.24
09/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	4.18	0.00	4.18	92.0	3.85
09/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	SMITH, SHARRILYN	AM FUNDS AMERICAN BALANCED A	0.00	10.22	0.00	10.22	92.0	9.40
09/01/2017	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.65	0.00	1.65	92.0	1.52
09/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.31	0.00	1.31	92.0	1.21
09/01/2017	GOODMAN, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	21.04	0.00	21.04	92.0	19.36
09/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	JENKINS, MARTY	AM FUNDS AMERICAN BALANCED A	0.00	2.20	0.00	2.20	92.0	2.02
09/01/2017	HIEGER, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	11.37	0.00	11.37	92.0	10.46
09/01/2017	HEIMERMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.75	0.00	4.75	92.0	4.37
09/01/2017	BROWN, MERRI	AM FUNDS AMERICAN BALANCED A	0.00	9.40	0.00	9.40	92.0	8.65
09/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN BALANCED A	0.00	11.92	0.00	11.92	92.0	10.97
09/01/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	4.76	0.00	4.76	92.0	4.38
09/01/2017	KELLEY, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	59.59	0.00	59.59	92.0	54.82

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	2.97	0.00	2.97	92.0	2.73
09/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.78	0.00	1.78	92.0	1.64
09/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	11.90	0.00	11.90	92.0	10.95
09/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	1.57	0.00	1.57	92.0	1.44
09/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	4.02	0.00	4.02	92.0	3.70
09/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS AMERICAN BALANCED A	0.00	6.89	0.00	6.89	92.0	6.34
09/01/2017	BOHANNON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	6.07	0.00	6.07	92.0	5.58
09/01/2017	CRANE, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	34.61	0.00	34.61	92.0	31.84
09/01/2017	MCADAM, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	5.06	0.00	5.06	92.0	4.66
09/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	3.61	0.00	3.61	92.0	3.32
09/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	28.18	0.00	28.18	92.0	25.93
09/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	21.17	0.00	21.17	92.0	19.48
09/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMERICAN BALANCED A	0.00	5.65	0.00	5.65	92.0	5.20
09/01/2017	HAVERFIELD, KARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.31	0.00	3.31	92.0	3.05
09/01/2017	STROOT, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	5.52	0.00	5.52	92.0	5.08
09/01/2017	GOULD, HILARY	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	MCLAIN, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	4.85	0.00	4.85	92.0	4.46
09/01/2017	SMITH, PHILLIP	AM FUNDS AMERICAN BALANCED A	0.00	9.49	0.00	9.49	92.0	8.73
09/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	31.03	0.00	31.03	92.0	28.55
09/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	33.05	0.00	33.05	92.0	30.41
09/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	30.11	0.00	30.11	92.0	27.70
09/01/2017	SANDERS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	92.0	0.11
09/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS AMERICAN BALANCED A	0.00	5.23	0.00	5.23	92.0	4.81
09/01/2017	HAMPTON, ANNDRE	AM FUNDS AMERICAN BALANCED A	0.00	10.76	0.00	10.76	92.0	9.90
09/01/2017	SPONSEL, VICKY	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	92.0	0.52
09/01/2017	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	17.31	0.00	17.31	92.0	15.93
09/01/2017	KS/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	92.0	0.11
09/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	92.0	0.02
09/01/2017	JONES-CLARK, DORETHEA	AM FUNDS AMERICAN BALANCED A	0.00	0.14	0.00	0.14	92.0	0.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	92.0	0.14
09/01/2017	MULLINIX, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	92.0	0.06
09/11/2017	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	92.0	1.96
09/18/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	150.00	6.38	0.00	6.38	92.0	5.87
09/01/2017	WILLIAMS, JAIME	AM FUNDS AMERICAN BALANCED C	0.00	18.49	0.00	18.49	92.0	17.01
09/01/2017	KS/TOD	AM FUNDS AMERICAN BALANCED C	0.00	59.75	0.00	59.75	92.0	54.97
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.81	0.00	13.81	92.0	12.71
09/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.54	0.00	8.54	92.0	7.86
09/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	25.28	0.00	25.28	92.0	23.26
09/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	36.76	0.00	36.76	92.0	33.82
09/01/2017	REED, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	50.97	0.00	50.97	92.0	46.89
09/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.72	0.00	7.72	92.0	7.10
09/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.25	0.00	23.25	92.0	21.39
09/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.60	0.00	22.60	92.0	20.79
09/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.60	0.00	22.60	92.0	20.79
09/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	92.0	0.01
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	128.57	0.00	128.57	92.0	118.28
09/01/2017	THOMPSON, JESSICA	AM FUNDS AMERICAN MUTUAL A	0.00	2.86	0.00	2.86	92.0	2.63
09/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN MUTUAL A	0.00	45.42	0.00	45.42	92.0	41.79
09/01/2017	BAZIL, RALPH	AM FUNDS AMERICAN MUTUAL A	0.00	7.29	0.00	7.29	92.0	6.71
09/01/2017	BAZIL, REBECCA	AM FUNDS AMERICAN MUTUAL A	0.00	9.06	0.00	9.06	92.0	8.34
09/01/2017	SCHMIDT, MARSHALL	AM FUNDS AMERICAN MUTUAL A	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.58	0.00	9.58	92.0	8.81
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS BOND FUND OF AMERICA A	0.00	7.13	0.00	7.13	92.0	6.56
09/01/2017	KELLEY, RUTH	AM FUNDS BOND FUND OF AMERICA A	0.00	21.20	0.00	21.20	92.0	19.50
09/01/2017	HART, WALLACE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.40	0.00	2.40	92.0	2.21
09/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.96	0.00	1.96	92.0	1.80
09/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.96	0.00	1.96	92.0	1.80
09/11/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.13	0.00	2.13	92.0	1.96
09/11/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	SCHMIDT, ALAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.59	0.00	9.59	92.0	8.82
09/01/2017	WERNER TRUST, WANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.61	0.00	18.61	92.0	17.12
09/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.10	0.00	11.10	92.0	10.21

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.01	0.00	11.01	92.0	10.13
09/01/2017	PRACHT, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.06	0.00	5.06	92.0	4.66
09/01/2017	LAWSON, SYLVIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.75	0.00	2.75	92.0	2.53
09/01/2017	IORIO, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	92.0	1.42
09/01/2017	IORIO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
09/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.11	0.00	14.11	92.0	12.98
09/01/2017	STOCKHAM, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	92.0	0.53
09/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	81.69	0.00	81.69	92.0	75.15
09/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.44	0.00	24.44	92.0	22.48
09/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	BELL, GRIFFIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	92.0	0.52
09/01/2017	DUSH, THERESA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.43	0.00	9.43	92.0	8.68
09/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.66	0.00	21.66	92.0	19.93
09/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	40.47	0.00	40.47	92.0	37.23
09/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.50	0.00	11.50	92.0	10.58
09/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.31	0.00	22.31	92.0	20.53
09/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	GOODMAN, KEITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.48	0.00	19.48	92.0	17.92
09/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.53	0.00	11.53	92.0	10.61
09/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	92.0	0.83
09/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.89	0.00	4.89	92.0	4.50
09/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.70	0.00	20.70	92.0	19.04
09/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.69	0.00	4.69	92.0	4.31
09/01/2017	IORIO, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	REED, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	44.58	0.00	44.58	92.0	41.01
09/01/2017	BROWN, MERRI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.41	0.00	5.41	92.0	4.98
09/01/2017	KELLEY, RUTH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	36.06	0.00	36.06	92.0	33.18
09/01/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.93	0.00	10.93	92.0	10.06
09/01/2017	KELLEY, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.18	0.00	17.18	92.0	15.81
09/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.04	0.00	2.04	92.0	1.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.71	0.00	9.71	92.0	8.93
09/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.41	0.00	8.41	92.0	7.74
09/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
09/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.11	0.00	21.11	92.0	19.42
09/01/2017	SCHMIDT, MARSHALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	92.0	0.36
09/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.82	0.00	5.82	92.0	5.35
09/01/2017	CRANE, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.65	0.00	14.65	92.0	13.48
09/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.94	0.00	7.94	92.0	7.30
09/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.76	0.00	12.76	92.0	11.74
09/01/2017	THOMAS, IAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.03	0.00	6.03	92.0	5.55
09/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.07	0.00	3.07	92.0	2.82
09/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	92.0	1.13
09/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.12	0.00	19.12	92.0	17.59
09/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.77	0.00	12.77	92.0	11.75
09/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.94	0.00	21.94	92.0	20.18
09/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	GOULD, HILARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	92.0	1.50
09/01/2017	MCLAIN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	92.0	0.30
09/01/2017	HOUSTON, JACOB	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.12	0.00	1.12	92.0	1.03
09/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.29	0.00	3.29	92.0	3.03
09/01/2017	SMITH, PHILLIP	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	FLATTERY, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.87	0.00	15.87	92.0	14.60
09/01/2017	OTTAWAY, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.87	0.00	8.87	92.0	8.16
09/01/2017	OTTAWAY, DANNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.19	0.00	8.19	92.0	7.53
09/01/2017	SANDERS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.14	0.00	0.14	92.0	0.13
09/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.89	0.00	4.89	92.0	4.50
09/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	92.0	0.23
09/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.96	0.00	4.96	92.0	4.56
09/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.45	0.00	1.45	92.0	1.33

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	92.0	0.57
09/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.30	0.00	3.30	92.0	3.04
09/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.10	0.00	8.10	92.0	7.45
09/01/2017	STUPASKY, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	92.0	0.02
09/01/2017	JONES-CLARK, DORETHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.09	0.00	0.09	92.0	0.08
09/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	0.00	0.10	92.0	0.09
09/01/2017	MULLINIX, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	92.0	0.06
09/18/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	150.00	6.38	0.00	6.38	92.0	5.87
09/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98
09/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.22	0.00	3.22	92.0	2.96
09/01/2017	PYRON, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	78.87	0.00	78.87	92.0	72.56
09/01/2017	WILLIAMS, JAIMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	15.85	0.00	15.85	92.0	14.58
09/01/2017	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.99	0.00	38.99	92.0	35.87
09/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD BOND A	0.00	9.01	0.00	9.01	92.0	8.29
09/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	92.0	2.73
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.41	0.00	27.41	92.0	25.22
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.98	0.00	0.98	92.0	0.90
09/01/2017	ROGERS, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.25	0.00	6.25	92.0	5.75
09/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.81	0.00	9.81	92.0	9.03
09/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	56.75	0.00	56.75	92.0	52.21
09/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.25	0.00	28.25	92.0	25.99
09/01/2017	DUSH, THERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.84	0.00	7.84	92.0	7.21
09/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.52	0.00	11.52	92.0	10.60
09/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.08	0.00	14.08	92.0	12.95
09/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.13	0.00	21.13	92.0	19.44
09/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	37.52	0.00	37.52	92.0	34.52
09/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.24	0.00	17.24	92.0	15.86
09/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	92.0	0.97
09/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.55	0.00	10.55	92.0	9.71

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	92.0	0.89
09/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.93	0.00	3.93	92.0	3.62
09/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.14	0.00	6.14	92.0	5.65
09/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.00	0.00	2.00	92.0	1.84
09/01/2017	REED, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.61	0.00	33.61	92.0	30.92
09/01/2017	BROWN, MERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	92.0	2.41
09/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	92.0	0.24
09/01/2017	CARPENTER JR, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.44	0.00	1.44	92.0	1.32
09/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.56	0.00	1.56	92.0	1.44
09/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.72	0.00	1.72	92.0	1.58
09/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	92.0	1.45
09/01/2017	JENDEL, TERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	BAZIL, RALPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.15	0.00	3.15	92.0	2.90
09/01/2017	BAZIL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.08	0.00	6.08	92.0	5.59
09/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	92.0	2.41
09/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.66	0.00	5.66	92.0	5.21
09/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.37	0.00	3.37	92.0	3.10
09/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.31	0.00	1.31	92.0	1.21
09/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.29	0.00	2.29	92.0	2.11
09/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.57	0.00	9.57	92.0	8.80
09/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	92.0	0.30
09/01/2017	THOMAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	92.0	0.23
09/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.02	0.00	3.02	92.0	2.78
09/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	92.0	2.36
09/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	92.0	1.28
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	35.89	0.00	35.89	92.0	33.02
09/01/2017	CLEMENS, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.54	0.00	3.54	92.0	3.26

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	DUSH, THERESA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.04	0.00	11.04	92.0	10.16
09/01/2017	HOFFMAN, FRANCIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.72	0.00	8.72	92.0	8.02
09/01/2017	LANDGREN, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	92.0	0.69
09/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	RAYMER, DEBRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.52	0.00	2.52	92.0	2.32
09/01/2017	KOSANKE, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	HIEGER, STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.09	0.00	8.09	92.0	7.44
09/01/2017	CARPENTER, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.84	0.00	0.84	92.0	0.77
09/01/2017	BAZIL, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.45	0.00	1.45	92.0	1.33
09/01/2017	BAZIL, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	92.0	1.21
09/01/2017	CRANE, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.53	0.00	3.53	92.0	3.25
09/01/2017	SCHMIDT, ALAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.31	0.00	12.31	92.0	11.33
09/01/2017	SCHMIDT, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	43.27	0.00	43.27	92.0	39.81
09/01/2017	DANDURAND, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.39	0.00	5.39	92.0	4.96
09/01/2017	LAWSON, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.52	0.00	3.52	92.0	3.24
09/01/2017	ROGERS, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.54	0.00	7.54	92.0	6.94
09/01/2017	STOCKHAM, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	SPRAGUE, KRISTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.72	0.00	25.72	92.0	23.66
09/01/2017	DUSH, THERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.90	0.00	5.90	92.0	5.43
09/01/2017	SMITH, SHARRILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.15	0.00	14.15	92.0	13.02
09/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.11	0.00	0.11	92.0	0.10
09/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.48	0.00	1.48	92.0	1.36
09/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.11	0.00	0.11	92.0	0.10
09/01/2017	GOODMAN, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.57	0.00	3.57	92.0	3.28
09/01/2017	REED, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	52.44	0.00	52.44	92.0	48.24
09/01/2017	BROWN, MERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.48	0.00	5.48	92.0	5.04
09/01/2017	KELLEY, LUCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.64	0.00	7.64	92.0	7.03
09/01/2017	DAVIS, ELISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	CARPENTER JR, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.78	0.00	4.78	92.0	4.40
09/01/2017	CARPENTER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.86	0.00	2.86	92.0	2.63
09/01/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.57	0.00	13.57	92.0	12.48
09/01/2017	GAUNA, DOMINIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.77	0.00	6.77	92.0	6.23

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	JENDEL, TERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	0.00	1.18	92.0	1.09
09/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	36.73	0.00	36.73	92.0	33.79
09/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.05	0.00	13.05	92.0	12.01
09/01/2017	RACER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.15	0.00	4.15	92.0	3.82
09/01/2017	CRANE, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.41	0.00	14.41	92.0	13.26
09/01/2017	LOTT TRUST, EDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.54	0.00	8.54	92.0	7.86
09/01/2017	HOUSTON, CAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.11	0.00	18.11	92.0	16.66
09/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.57	0.00	1.57	92.0	1.44
09/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.66	0.00	7.66	92.0	7.05
09/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.52	0.00	15.52	92.0	14.28
09/01/2017	HEIMERMAN, DOYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.16	0.00	7.16	92.0	6.59
09/01/2017	HAVERFIELD, KARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.10	0.00	7.10	92.0	6.53
09/01/2017	STROOT, SANDRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.16	0.00	7.16	92.0	6.59
09/01/2017	GOULD, HILARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	MCLAIN, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	92.0	0.51
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.76	0.00	8.76	92.0	8.06
09/01/2017	OTTAWAY, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.62	0.00	9.62	92.0	8.85
09/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.46	0.00	3.46	92.0	3.18
09/01/2017	HAMPTON, ANNDRE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.83	0.00	5.83	92.0	5.36
09/01/2017	SPONSEL, ERNEST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.23	0.00	1.23	92.0	1.13
09/01/2017	KERSTING, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.45	0.00	13.45	92.0	12.37
09/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.45	0.00	9.45	92.0	8.69
09/01/2017	KS/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.11	0.00	0.11	92.0	0.10
09/01/2017	SCHMITT, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.02	0.00	0.02	92.0	0.02
09/01/2017	STUPASKY, BRIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.04	0.00	0.04	92.0	0.04
09/01/2017	JONES-CLARK, DORETHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.09	0.00	0.09	92.0	0.08
09/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.10	0.00	0.10	92.0	0.09
09/01/2017	MULLINIX, JAMES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	92.0	0.06
09/01/2017	WILLIAMS, JAIMIE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	15.84	0.00	15.84	92.0	14.57
09/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH AND INCOME A	0.00	4.45	0.00	4.45	92.0	4.09
09/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	92.0	0.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SCHMIDT, SYLVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	52.34	0.00	52.34	92.0	48.15
09/01/2017	BOWMAN, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	92.0	0.83
09/01/2017	REED, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.01	0.00	17.01	92.0	15.65
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.68	0.00	6.68	92.0	6.15
09/01/2017	PRACHT, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.75	0.00	8.75	92.0	8.05
09/01/2017	THOMPSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	92.0	3.33
09/01/2017	SMITH, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.03	0.00	1.03	92.0	0.95
09/01/2017	IORIO, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.95	0.00	4.95	92.0	4.55
09/01/2017	THOMAS, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.88	0.00	1.88	92.0	1.73
09/01/2017	CLEMENS, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.07	0.00	10.07	92.0	9.26
09/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	92.0	1.82
09/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.85	0.00	4.85	92.0	4.46
09/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	92.0	1.42
09/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS GROWTH FUND OF AMERICA A	0.00	13.67	0.00	13.67	92.0	12.58
09/01/2017	SMITH, BAILEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	92.0	0.79
09/01/2017	SMITH, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	92.0	0.79
09/01/2017	HIEGER, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.27	0.00	5.27	92.0	4.85
09/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	BELL, GRIFFIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	DUSH, THERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.59	0.00	4.59	92.0	4.22
09/01/2017	HOFFMAN, FRANCIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.39	0.00	16.39	92.0	15.08
09/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.99	0.00	11.99	92.0	11.03
09/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.56	0.00	22.56	92.0	20.76
09/01/2017	WIRTH, MARJORIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.41	0.00	46.41	92.0	42.70
09/01/2017	SMITH, SHARRILYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.97	0.00	14.97	92.0	13.77
09/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	92.0	1.22
09/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.13	0.00	1.13	92.0	1.04
09/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	92.0	0.77
09/01/2017	GOODMAN, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.03	0.00	6.03	92.0	5.55
09/01/2017	JENKINS, MARTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.09	0.00	5.09	92.0	4.68
09/01/2017	HIEGER, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.01	0.00	8.01	92.0	7.37
09/01/2017	HEIMERMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.81	0.00	1.81	92.0	1.67
09/01/2017	KELLEY, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.25	0.00	3.25	92.0	2.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	DAVIS, ELISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	CARPENTER JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.87	0.00	1.87	92.0	1.72
09/01/2017	CARPENTER, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	92.0	1.65
09/01/2017	ROTHS, GLEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.73	0.00	4.73	92.0	4.35
09/01/2017	GAUNA, DOMINIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.19	0.00	2.19	92.0	2.01
09/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	92.0	0.94
09/01/2017	BAZIL, RALPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.19	0.00	6.19	92.0	5.69
09/01/2017	BAZIL, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.72	0.00	3.72	92.0	3.42
09/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.00	0.00	6.00	92.0	5.52
09/01/2017	SCHMIDT, MARSHALL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.14	0.00	4.14	92.0	3.81
09/01/2017	CRANE, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.59	0.00	12.59	92.0	11.58
09/01/2017	HOUSTON, CAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.46	0.00	4.46	92.0	4.10
09/01/2017	MCADAM, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.86	0.00	5.86	92.0	5.39
09/01/2017	CROSBY, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.14	0.00	3.14	92.0	2.89
09/01/2017	MCLAIN, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	92.0	0.21
09/01/2017	HOUSTON, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.93	0.00	3.93	92.0	3.62
09/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.35	0.00	6.35	92.0	5.84
09/01/2017	WILLIAMS, JAIMIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	KERSTING, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	92.0	1.41
09/01/2017	SCHMITT, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
09/01/2017	JONES-CLARK, DORETHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	92.0	0.05
09/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	92.0	0.05
09/11/2017	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	92.0	1.73
09/20/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	DUSH, THERESA	AM FUNDS GROWTH PORT A	0.00	9.19	0.00	9.19	92.0	8.45
09/01/2017	HEIMERMAN, DOYLE	AM FUNDS GROWTH PORT A	0.00	4.79	0.00	4.79	92.0	4.41
09/01/2017	HAVERFIELD, KARLA	AM FUNDS GROWTH PORT A	0.00	4.77	0.00	4.77	92.0	4.39
09/01/2017	STROOT, SANDRA	AM FUNDS GROWTH PORT A	0.00	4.72	0.00	4.72	92.0	4.34
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS ICA A	0.00	140.81	0.00	140.81	92.0	129.55
09/01/2017	SCHMIDT, ALAN	AM FUNDS ICA A	0.00	6.27	0.00	6.27	92.0	5.77

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	CLEMENS, SUSAN	AM FUNDS ICA A	0.00	17.35	0.00	17.35	92.0	15.96
09/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS ICA A	0.00	29.38	0.00	29.38	92.0	27.03
09/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	26.48	0.00	26.48	92.0	24.36
09/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	27.65	0.00	27.65	92.0	25.44
09/01/2017	WIRTH, MARJORIE	AM FUNDS ICA A	0.00	84.01	0.00	84.01	92.0	77.29
09/01/2017	SMITH, SHARRILYN	AM FUNDS ICA A	0.00	11.78	0.00	11.78	92.0	10.84
09/01/2017	HIEGER, STEVEN	AM FUNDS ICA A	0.00	10.94	0.00	10.94	92.0	10.06
09/01/2017	HEIMERMAN, JANET	AM FUNDS ICA A	0.00	8.14	0.00	8.14	92.0	7.49
09/01/2017	IORIO, ISABELLA	AM FUNDS ICA A	0.00	1.66	0.00	1.66	92.0	1.53
09/01/2017	REED, MARK	AM FUNDS ICA A	0.00	11.00	0.00	11.00	92.0	10.12
09/01/2017	BROWN, MERRI	AM FUNDS ICA A	0.00	6.76	0.00	6.76	92.0	6.22
09/01/2017	KELLEY, RUTH	AM FUNDS ICA A	0.00	63.17	0.00	63.17	92.0	58.12
09/01/2017	GALLARDO, KAREN	AM FUNDS ICA A	0.00	8.23	0.00	8.23	92.0	7.57
09/01/2017	BOHANNON, RONALD	AM FUNDS ICA A	0.00	3.72	0.00	3.72	92.0	3.42
09/01/2017	MCADAM, DANIEL	AM FUNDS ICA A	0.00	4.64	0.00	4.64	92.0	4.27
09/01/2017	MCADAM, JEANNETTE	AM FUNDS ICA A	0.00	11.02	0.00	11.02	92.0	10.14
09/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	HEIMERMAN, DOYLE	AM FUNDS ICA A	0.00	7.82	0.00	7.82	92.0	7.19
09/01/2017	HAVERFIELD, KARLA	AM FUNDS ICA A	0.00	3.67	0.00	3.67	92.0	3.38
09/01/2017	STROOT, SANDRA	AM FUNDS ICA A	0.00	7.62	0.00	7.62	92.0	7.01
09/01/2017	LAWSON, THOMAS	AM FUNDS ICA A	0.00	0.64	0.00	0.64	92.0	0.59
09/01/2017	HILGER, GERALD	AM FUNDS ICA A	0.00	4.73	0.00	4.73	92.0	4.35
09/01/2017	MCLAIN, MICHAEL	AM FUNDS ICA A	0.00	0.53	0.00	0.53	92.0	0.49
09/01/2017	SMITH, PHILLIP	AM FUNDS ICA A	0.00	9.18	0.00	9.18	92.0	8.45
09/01/2017	STUPASKY, BRIAN	AM FUNDS ICA A	0.00	0.01	0.00	0.01	92.0	0.01
09/20/2017	HILGER, GERALD	AM FUNDS ICA A	50.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	RAYMER, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	47.55	0.00	47.55	92.0	43.75
09/01/2017	SALISBURY, CLEOTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	39.27	0.00	39.27	92.0	36.13
09/01/2017	WERNER TRUST, WANDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.83	0.00	24.83	92.0	22.84
09/01/2017	SPRAGUE, KRISTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	88.39	0.00	88.39	92.0	81.32
09/01/2017	HIEGER, KIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.54	0.00	3.54	92.0	3.26
09/01/2017	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	92.0	0.63

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	MCADAM, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.99	0.00	9.99	92.0	9.19
09/01/2017	MULLINIX, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.62	0.00	19.62	92.0	18.05
09/01/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.69	0.00	2.69	92.0	2.47
09/01/2017	HOUSTON, GARRETT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.23	0.00	1.23	92.0	1.13
09/15/2017	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	100.00	5.00	0.00	5.00	92.0	4.60
09/15/2017	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	100.00	5.00	0.00	5.00	92.0	4.60
09/20/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	25.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	REED, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	25.26	0.00	25.26	92.0	23.24
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW ECONOMY A	0.00	39.99	0.00	39.99	92.0	36.79
09/01/2017	GOODMAN, KEITH	AM FUNDS NEW ECONOMY A	0.00	9.12	0.00	9.12	92.0	8.39
09/01/2017	SCHMIDT, SYLVIA	AM FUNDS NEW PERSPECTIVE A	0.00	41.14	0.00	41.14	92.0	37.85
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	41.52	0.00	41.52	92.0	38.20
09/01/2017	PRACHT, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.89	0.00	1.89	92.0	1.74
09/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS NEW PERSPECTIVE A	0.00	18.54	0.00	18.54	92.0	17.06
09/01/2017	HIEGER, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	HOFFMAN, VERLA	AM FUNDS NEW PERSPECTIVE A	0.00	12.80	0.00	12.80	92.0	11.78
09/01/2017	SMITH, SHARRILYN	AM FUNDS NEW PERSPECTIVE A	0.00	9.63	0.00	9.63	92.0	8.86
09/01/2017	LANDGREN, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	BUCKO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	6.12	0.00	6.12	92.0	5.63
09/01/2017	REED, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	129.74	0.00	129.74	92.0	119.36
09/01/2017	BUCKO, ETHAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.39	0.00	2.39	92.0	2.20
09/01/2017	THOMAS, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.61	0.00	0.61	92.0	0.56
09/01/2017	CLEMENS, SUSAN	AM FUNDS NEW WORLD A	0.00	4.35	0.00	4.35	92.0	4.00
09/01/2017	BELL, BRAYDEN	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	BELL, GRIFFIN	AM FUNDS NEW WORLD A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	DUSH, THERESA	AM FUNDS NEW WORLD A	0.00	3.69	0.00	3.69	92.0	3.39
09/01/2017	GOODMAN, KEITH	AM FUNDS NEW WORLD A	0.00	5.64	0.00	5.64	92.0	5.19
09/01/2017	SCHMIDT, MARSHALL	AM FUNDS NEW WORLD A	0.00	0.72	0.00	0.72	92.0	0.66
09/01/2017	LOTT TRUST, EDITH	AM FUNDS NEW WORLD A	0.00	3.67	0.00	3.67	92.0	3.38
09/01/2017	MULLINIX, JANICE	AM FUNDS NEW WORLD A	0.00	3.60	0.00	3.60	92.0	3.31
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS NEW WORLD A	0.00	2.84	0.00	2.84	92.0	2.61
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	72.21	0.00	72.21	92.0	66.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	163.32	0.00	163.32	92.0	150.25
09/01/2017	SCHMIDT, ALAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	54.91	0.00	54.91	92.0	50.52
09/01/2017	REED, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	100.70	0.00	100.70	92.0	92.64
09/01/2017	BOWMAN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	DANDURAND, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.36	0.00	17.36	92.0	15.97
09/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.14	0.00	21.14	92.0	19.45
09/01/2017	SPRAGUE, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	55.20	0.00	55.20	92.0	50.78
09/01/2017	PRACHT, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.03	0.00	15.03	92.0	13.83
09/01/2017	PRACHT, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.19	0.00	6.19	92.0	5.69
09/01/2017	THOMPSON, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	92.0	2.80
09/01/2017	BELL, CONNOR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.12	0.00	13.12	92.0	12.07
09/01/2017	SMITH, KATELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.02	0.00	1.02	92.0	0.94
09/01/2017	IORIO, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.11	0.00	4.11	92.0	3.78
09/01/2017	IORIO, NICHOLAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.07	0.00	3.07	92.0	2.82
09/01/2017	ROGERS, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.23	0.00	26.23	92.0	24.13
09/01/2017	CLEMENS, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.68	0.00	21.68	92.0	19.95
09/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.06	0.00	2.06	92.0	1.90
09/01/2017	STOCKHAM, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.31	0.00	5.31	92.0	4.89
09/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	92.0	1.05
09/01/2017	MCGUIRE, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.71	0.00	10.71	92.0	9.85
09/01/2017	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.70	0.00	7.70	92.0	7.08
09/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.42	0.00	18.42	92.0	16.95
09/01/2017	HIEGER, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	92.0	3.47
09/01/2017	MCLEAN, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	92.0	0.32
09/01/2017	MCLEAN, GAVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.48	0.00	1.48	92.0	1.36
09/01/2017	DUSH, THERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.02	0.00	8.02	92.0	7.38
09/01/2017	SMITH, SHARRILYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.05	0.00	5.05	92.0	4.65
09/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	92.0	1.08
09/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	92.0	1.44
09/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	92.0	1.05
09/01/2017	JENKINS, MARTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.04	0.00	6.04	92.0	5.56
09/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.48	0.00	36.48	92.0	33.56
09/01/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.00	0.00	12.00	92.0	11.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	92.0	0.88
09/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.35	0.00	11.35	92.0	10.44
09/01/2017	CROSBY, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	GOULD, HILARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.39	0.00	1.39	92.0	1.28
09/01/2017	WILLIAMS, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.84	0.00	3.84	92.0	3.53
09/01/2017	SMITH, PHILLIP	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.15	0.00	9.15	92.0	8.42
09/01/2017	FLATTERY, VICKI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.44	0.00	15.44	92.0	14.20
09/01/2017	OTTAWAY, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.42	0.00	18.42	92.0	16.95
09/01/2017	OTTAWAY, DANNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.32	0.00	11.32	92.0	10.41
09/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.39	0.00	4.39	92.0	4.04
09/01/2017	SPONSEL, ERNEST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.37	0.00	1.37	92.0	1.26
09/01/2017	SPONSEL, VICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	92.0	0.63
09/01/2017	JONES-CLARK, DORETHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.09	0.00	0.09	92.0	0.08
09/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.10	0.00	0.10	92.0	0.09
09/01/2017	MULLINIX, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.06	0.00	0.06	92.0	0.06
09/18/2017	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	4.25	0.00	4.25	92.0	3.91
09/15/2017	HAYES, BEN	FIDELITY EQUITY GROWTH T	150.00	3.75	0.00	3.75	92.0	3.45
09/15/2017	BELL, BRAYDEN	FRANKLIN GROWTH A	50.00	1.88	0.00	1.88	92.0	1.73
/ /	RANCILIO, KENNETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	4.75	0.00	4.75	92.0	4.37
/ /	FAIRLEY, MIKE	GUGGENHEIM TOTAL RETURN BOND - A	0.00	4.07	0.00	4.07	92.0	3.74
/ /	WALMANN, JEFFREY	GUGGENHEIM US LONG SHORT MOMENTUM A	0.00	0.54	0.00	0.54	92.0	0.50
09/15/2017	BELL, JASON	INVESCO STRUCTURED CORE A	50.00	2.50	0.00	2.50	92.0	2.30
09/01/2017	HAMPTON, ANDRE	PIONEER BOND FUND A	75.00	3.00	0.00	3.00	92.0	2.76
09/15/2017	HAMPTON, ANDRE	PIONEER BOND FUND A	75.00	3.00	0.00	3.00	92.0	2.76
/ /	FRANZ, PJ	RYDEX ALPHA OPPORTUNITY A	0.00	0.51	0.00	0.51	92.0	0.47
/ /	THOMAS, MARY	RYDEX GUGG COMMODITIES STRATEGY A	0.00	0.20	0.00	0.20	92.0	0.18
/ /	LAWRENCE POLICE	RYDEX GUGG INVESTMENT GRADE BOND A	0.00	5.59	0.00	5.59	92.0	5.14
/ /	RANCILIO, KENNETH	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	1.22	0.00	1.22	92.0	1.12
/ /	THOMAS, MARY	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	0.12	0.00	0.12	92.0	0.11
/ /	RANCILIO, KENNETH	RYDEX GUGG S&P 500 PURE GROWTH A	0.00	2.90	0.00	2.90	92.0	2.67
/ /	LAWRENCE POLICE	RYDEX GUGG STYLEPLUS LARGE CORE A	0.00	8.84	0.00	8.84	92.0	8.13
/ /	ROGERS, D	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	23.64	0.00	23.64	92.0	21.75
/ /	WALMANN, JEFFREY	RYDEX MULTI HEDGE STRATEGIES A	0.00	0.43	0.00	0.43	92.0	0.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/08/2017	ERKER REV TRUST, LAWRENCE &	SUNAMERICA SENIOR FLOATING RATE CL	0.00	41.36	0.00	41.36	92.0	38.05
09/05/2017	MCADAM, JEANNETTE	TRANSAMERICA AA MOD GROWTH A	300.00	8.25	0.00	8.25	92.0	7.59
* MUTUAL FUNDS SUBTOTAL *			\$2,050.00	\$6,302.11	\$0.00	\$6,302.11		\$5,797.98
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/18/2017	GERSTENKORN, CAROLYN	MML CM LIFE PANORAMA PLUS	45,067.65	56.33	0.00	56.33	92.0	51.82
09/22/2017	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
09/22/2017	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
* VARIABLE ANNUITIES SUBTOTAL *			\$45,257.65	\$65.83	\$0.00	\$65.83		\$60.56
*** BROKER TRANSACTIONS TOTAL ***			\$47,307.65	\$6,367.94	\$0.00	\$6,367.94		\$5,858.54

BROKER COMMISSION TOTALS

Broker Transactions	\$5,858.54
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	\$5,858.54
Year-to-date Gross	\$68,268.20
Year-to-date Earnings	\$62,598.15

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