



Concorde Investment Services, LLC

12/15/2017

Page No. 1

COMMISSION STATEMENT

December 15, 2017

KEITH LAYMAN
4321 Flagstaff

BROKER #: L128
BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/30/2017	LOWDEN, KODY	FIDELITY SELECT ENERGY PORTFOLIO	-700.00	0.00	22.00	-22.00	90.0	-19.80
		* MUTUAL FUNDS SUBTOTAL *	\$-700.00	\$0.00	\$22.00	\$-22.00		\$-19.80
		*** CLEARING TRANSACTIONS TOTAL ***	\$-700.00	\$0.00	\$22.00	\$-22.00		\$-19.80

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
11/27/2017	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	22.50	1.07	0.00	1.07	90.0	0.96
11/27/2017	SLATER, JUSTIN	ASCENSUS COLLEGE SAV 194524518	25.00	1.19	0.00	1.19	90.0	1.07
11/30/2017	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	18.00	0.86	0.00	0.86	90.0	0.77
12/04/2017	GALENTINE, ASHLEY	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	90.0	2.14
12/07/2017	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	90.0	2.14
12/07/2017	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	90.0	2.14
12/08/2017	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	160.00	7.60	0.00	7.60	90.0	6.84
		* 529 PLANS SUBTOTAL *	\$375.50	\$17.86	\$0.00	\$17.86		\$16.06

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	300.00	3.60	0.00	3.60	90.0	3.24
11/24/2017	EAGLESON, AMBER	AM FUNDS AMERICAN BALANCED A	50.00	1.38	0.00	1.38	90.0	1.24
11/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	300.00	3.60	0.00	3.60	90.0	3.24
11/24/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	65.00	1.79	0.00	1.79	90.0	1.61
11/20/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
11/24/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	2.06	0.00	2.06	90.0	1.85
12/07/2017	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	90.0	1.24
11/24/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	75.00	2.06	0.00	2.06	90.0	1.85
11/24/2017	ROEMER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
12/07/2017	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	90.0	1.24

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 FUNDS								
11/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	300.00	3.60	0.00	3.60	90.0	3.24
11/24/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	55.00	1.51	0.00	1.51	90.0	1.36
11/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	300.00	3.60	0.00	3.60	90.0	3.24
11/24/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	65.00	1.79	0.00	1.79	90.0	1.61
11/24/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	65.00	1.79	0.00	1.79	90.0	1.61
11/27/2017	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	25.00	1.19	0.00	1.19	90.0	1.07
11/30/2017	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	2.50	0.12	0.00	0.12	90.0	0.11
12/08/2017	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	40.00	1.90	0.00	1.90	90.0	1.71
11/27/2017	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	22.50	1.07	0.00	1.07	90.0	0.96
11/30/2017	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	25.00	1.19	0.00	1.19	90.0	1.07
11/27/2017	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	45.00	1.46	0.00	1.46	90.0	1.31
11/30/2017	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	5.00	0.16	0.00	0.16	90.0	0.14
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	90.0	1.47
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	90.0	1.47
12/08/2017	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	40.00	1.30	0.00	1.30	90.0	1.17
11/27/2017	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	15.00	0.49	0.00	0.49	90.0	0.44
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	50.00	1.63	0.00	1.63	90.0	1.47
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	50.00	1.63	0.00	1.63	90.0	1.47
11/27/2017	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	22.50	1.07	0.00	1.07	90.0	0.96
11/27/2017	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	12.50	0.59	0.00	0.59	90.0	0.53
11/30/2017	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	8.75	0.42	0.00	0.42	90.0	0.38
12/04/2017	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	50.00	2.38	0.00	2.38	90.0	2.14
12/08/2017	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	160.00	7.60	0.00	7.60	90.0	6.84
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	50.00	1.63	0.00	1.63	90.0	1.47
12/07/2017	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	50.00	1.63	0.00	1.63	90.0	1.47
11/27/2017	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	22.50	1.07	0.00	1.07	90.0	0.96
11/27/2017	SLATER, JUSTIN	ASCENSUS-INA BLACKROCK LG CAP VALUE	12.50	0.59	0.00	0.59	90.0	0.53
11/30/2017	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	8.75	0.42	0.00	0.42	90.0	0.38
11/30/2017	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	10.00	0.33	0.00	0.33	90.0	0.30
11/30/2017	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	47.00	2.23	0.00	2.23	90.0	2.01
11/30/2017	LAYMAN, VARIOUS	DREYFUS	0.00	8.55	0.00	8.55	90.0	7.70
* MUTUAL FUNDS SUBTOTAL *			\$2,724.50	\$78.08	\$0.00	\$78.08		\$70.27

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	POSTMA, THELMA	JNL PERSPECTIVE II	20,259.07	8.44	0.00	8.44	90.0	7.60
* VARIABLE ANNUITIES SUBTOTAL *			\$20,259.07	\$8.44	\$0.00	\$8.44		\$7.60
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WALLACE, BARBARA	AM FUNDS AMCAP A	0.00	0.52	0.00	0.52	90.0	0.47
12/01/2017	SAINSBURY, DALE	AM FUNDS AMCAP A	0.00	1.65	0.00	1.65	90.0	1.49
12/01/2017	CSUHTA, JULIE	AM FUNDS AMCAP A	0.00	6.40	0.00	6.40	90.0	5.76
12/01/2017	WIGGINS, CHRISTA	AM FUNDS AMCAP A	0.00	1.61	0.00	1.61	90.0	1.45
12/01/2017	LOWDEN, KATHERINE	AM FUNDS AMCAP A	0.00	9.39	0.00	9.39	90.0	8.45
12/01/2017	IN/TOD	AM FUNDS AMCAP A	0.00	1.65	0.00	1.65	90.0	1.49
12/01/2017	SLATER, JUSTIN	AM FUNDS AMCAP F1	0.00	0.10	0.00	0.10	90.0	0.09
12/01/2017	GOODMAN, LAUREN	AM FUNDS AMERICAN BALANCED 529A	0.00	13.60	0.00	13.60	90.0	12.24
12/01/2017	GOODMAN, LAUREN	AM FUNDS AMERICAN BALANCED 529A	0.00	11.21	0.00	11.21	90.0	10.09
12/01/2017	NEWBAUER, CAMERON	AM FUNDS AMERICAN BALANCED 529A	0.00	7.60	0.00	7.60	90.0	6.84
11/20/2017	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.73	0.00	0.73	90.0	0.66
11/20/2017	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.84	0.00	0.84	90.0	0.76
11/20/2017	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	90.0	1.05
11/20/2017	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	90.0	0.41
11/20/2017	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	12.00	0.00	12.00	90.0	10.80
11/20/2017	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	90.0	0.46
11/20/2017	HOFFMAN, MARK	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	90.0	0.63
12/01/2017	PIERCE, MARILYN	AM FUNDS AMERICAN BALANCED A	0.00	5.94	0.00	5.94	90.0	5.35
12/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	0.00	10.23	0.00	10.23	90.0	9.21
12/01/2017	SHANK, DEAN	AM FUNDS AMERICAN BALANCED A	0.00	1.35	0.00	1.35	90.0	1.22
12/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	90.0	0.71
12/01/2017	BROCKMANO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	MARTZ, PHILLIS	AM FUNDS AMERICAN BALANCED A	0.00	11.96	0.00	11.96	90.0	10.76
12/01/2017	WINDSOR, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	3.81	0.00	3.81	90.0	3.43
12/01/2017	SEWARD, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.61	0.00	1.61	90.0	1.45
12/01/2017	MEIER, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	2.35	0.00	2.35	90.0	2.12
12/01/2017	BURNS, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	2.26
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS AMERICAN BALANCED A	0.00	9.75	0.00	9.75	90.0	8.78
12/01/2017	MILLER, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	8.56	0.00	8.56	90.0	7.70
12/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	0.00	17.84	0.00	17.84	90.0	16.06

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ZINN, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	6.13	0.00	6.13	90.0	5.52
12/01/2017	ISLEY, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	KAGE, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	11.36	0.00	11.36	90.0	10.22
12/01/2017	AMARO, SOPHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	90.0	0.64
12/01/2017	THOMAS, BRADFORD	AM FUNDS AMERICAN BALANCED A	0.00	7.31	0.00	7.31	90.0	6.58
12/01/2017	NICOLET, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	25.97	0.00	25.97	90.0	23.37
12/01/2017	MULDOON, MARGARET	AM FUNDS AMERICAN BALANCED A	0.00	1.48	0.00	1.48	90.0	1.33
12/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	14.77	0.00	14.77	90.0	13.29
12/01/2017	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	0.00	10.12	0.00	10.12	90.0	9.11
12/01/2017	DAVIS, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.86	0.00	2.86	90.0	2.57
12/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	3.40	0.00	3.40	90.0	3.06
12/01/2017	MURPHY, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	1.34	0.00	1.34	90.0	1.21
12/01/2017	ALLAN, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	4.49	0.00	4.49	90.0	4.04
12/01/2017	GOODMAN, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	3.60	0.00	3.60	90.0	3.24
12/01/2017	COCKROFT, EDYTHE	AM FUNDS AMERICAN BALANCED A	0.00	12.02	0.00	12.02	90.0	10.82
12/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	6.30	0.00	6.30	90.0	5.67
12/01/2017	BUSH, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	11.51	0.00	11.51	90.0	10.36
12/01/2017	MARCH, MELODY	AM FUNDS AMERICAN BALANCED A	0.00	3.27	0.00	3.27	90.0	2.94
12/01/2017	FLEEGER, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	CASEY, GISELA	AM FUNDS AMERICAN BALANCED A	0.00	9.73	0.00	9.73	90.0	8.76
12/01/2017	MCARDLE, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	53.70	0.00	53.70	90.0	48.33
12/01/2017	ALLAN, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	3.56	0.00	3.56	90.0	3.20
12/01/2017	WHEELER, MARY	AM FUNDS AMERICAN BALANCED A	0.00	2.79	0.00	2.79	90.0	2.51
12/01/2017	GALENTINE, ASHLEY	AM FUNDS AMERICAN BALANCED A	0.00	2.27	0.00	2.27	90.0	2.04
12/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	1.94	0.00	1.94	90.0	1.75
12/01/2017	AMARO, ETHAN	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	NICOLET, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	13.70	0.00	13.70	90.0	12.33
12/01/2017	KUMFER, JOSEPH	AM FUNDS AMERICAN BALANCED A	0.00	14.22	0.00	14.22	90.0	12.80
12/01/2017	HELLER, ADAM	AM FUNDS AMERICAN BALANCED A	0.00	6.78	0.00	6.78	90.0	6.10
12/01/2017	MEIER, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	0.69	0.00	0.69	90.0	0.62
12/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN BALANCED A	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	BLAIR, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	6.78	0.00	6.78	90.0	6.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	LAYMAN, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	10.23	0.00	10.23	90.0	9.21
12/01/2017	SIEGER, RODNEY	AM FUNDS AMERICAN BALANCED A	0.00	5.51	0.00	5.51	90.0	4.96
12/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	9.83	0.00	9.83	90.0	8.85
12/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	90.0	0.47
12/01/2017	KILLION, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	6.86	0.00	6.86	90.0	6.17
12/01/2017	THURSTON, TIMOTHY	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	90.0	0.19
12/01/2017	FREEZE, MONTE	AM FUNDS AMERICAN BALANCED A	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	BYRUM JR, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	2.37	0.00	2.37	90.0	2.13
12/01/2017	FEIPEL, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	90.0	0.41
12/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	90.0	0.63
12/01/2017	EAGLESON, AMBER	AM FUNDS AMERICAN BALANCED A	0.00	4.59	0.00	4.59	90.0	4.13
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	4.35	0.00	4.35	90.0	3.92
12/01/2017	VLOT, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	5.84	0.00	5.84	90.0	5.26
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	5.12	0.00	5.12	90.0	4.61
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	2.87	0.00	2.87	90.0	2.58
12/01/2017	LOWDEN, KATHERINE	AM FUNDS AMERICAN BALANCED A	0.00	36.81	0.00	36.81	90.0	33.13
12/01/2017	RICKER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	3.34	0.00	3.34	90.0	3.01
12/01/2017	RICKER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	2.28	0.00	2.28	90.0	2.05
12/01/2017	COCKROFT, EDYA	AM FUNDS AMERICAN BALANCED A	0.00	2.70	0.00	2.70	90.0	2.43
12/01/2017	RATTY, MINDY	AM FUNDS AMERICAN BALANCED A	0.00	0.58	0.00	0.58	90.0	0.52
12/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	2.35	0.00	2.35	90.0	2.12
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	CAPPLEMAN, WADE	AM FUNDS AMERICAN BALANCED A	0.00	1.59	0.00	1.59	90.0	1.43
12/01/2017	RATTY, SKYLER	AM FUNDS AMERICAN BALANCED A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	RATTY, MARY	AM FUNDS AMERICAN BALANCED A	0.00	3.62	0.00	3.62	90.0	3.26
12/01/2017	SHERBURNE, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	31.88	0.00	31.88	90.0	28.69
12/01/2017	PEPPLE, EVELYN	AM FUNDS AMERICAN BALANCED A	0.00	2.61	0.00	2.61	90.0	2.35
12/01/2017	PEPPLE, GRADEN	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	90.0	1.37
12/01/2017	MCFEETERS, VALERIE	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	90.0	0.55
12/01/2017	LINSKY, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	9.60	0.00	9.60	90.0	8.64
12/01/2017	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	1.66	0.00	1.66	90.0	1.49
12/01/2017	MATTHEWS, GAIL	AM FUNDS AMERICAN BALANCED A	0.00	2.35	0.00	2.35	90.0	2.12

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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>								
12/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	24.23	0.00	24.23	90.0	21.81
12/01/2017	ISLEY, TERRY	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	90.0	0.11
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN BALANCED A	0.00	1.20	0.00	1.20	90.0	1.08
12/01/2017	LUDWIG, KENDRA	AM FUNDS AMERICAN BALANCED A	0.00	30.28	0.00	30.28	90.0	27.25
12/01/2017	PEARSON, JOAN	AM FUNDS AMERICAN BALANCED A	0.00	7.42	0.00	7.42	90.0	6.68
12/01/2017	PEARSON, EDWIN	AM FUNDS AMERICAN BALANCED A	0.00	15.22	0.00	15.22	90.0	13.70
12/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.06	0.00	3.06	90.0	2.75
12/01/2017	CZARNECKI, DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	STEBING, ADDISON	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	3.91	0.00	3.91	90.0	3.52
12/01/2017	RHEN, JOLYN	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	GREEN, KYLE	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	90.0	1.37
12/01/2017	HINTON, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	4.22	0.00	4.22	90.0	3.80
12/01/2017	JINES, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	90.0	1.72
12/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	7.40	0.00	7.40	90.0	6.66
12/01/2017	WHITE, TAYLOR	AM FUNDS AMERICAN BALANCED A	0.00	1.14	0.00	1.14	90.0	1.03
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	1.64	0.00	1.64	90.0	1.48
12/01/2017	WEIMER, RITA	AM FUNDS AMERICAN BALANCED A	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	HOSKINS, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
12/01/2017	ABERCROMBIE, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	LOWDEN, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	3.14	0.00	3.14	90.0	2.83
12/01/2017	HERBER, MARK	AM FUNDS AMERICAN BALANCED A	0.00	12.13	0.00	12.13	90.0	10.92
12/01/2017	O'CONNELL, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	3.76	0.00	3.76	90.0	3.38
12/01/2017	DRUHOT, LESLIE	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	WILSON, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	2.09	0.00	2.09	90.0	1.88
12/01/2017	HENRY, JEANNE	AM FUNDS AMERICAN BALANCED A	0.00	4.66	0.00	4.66	90.0	4.19
12/01/2017	LYTLE, KEAN	AM FUNDS AMERICAN BALANCED A	0.00	2.76	0.00	2.76	90.0	2.48
12/01/2017	KAUFFMAN, ALLISON	AM FUNDS AMERICAN BALANCED A	0.00	0.69	0.00	0.69	90.0	0.62
12/01/2017	CAPPLEMAN, WADE	AM FUNDS AMERICAN BALANCED A	0.00	0.72	0.00	0.72	90.0	0.65
12/01/2017	HERBER, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.04	0.00	3.04	90.0	2.74
12/01/2017	MURPHY, SHARI	AM FUNDS AMERICAN BALANCED A	0.00	66.09	0.00	66.09	90.0	59.48
12/01/2017	MURPHY, SHARI	AM FUNDS AMERICAN BALANCED A	0.00	3.95	0.00	3.95	90.0	3.56
12/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	90.0	0.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MURPHY, LOU	AM FUNDS AMERICAN BALANCED A	0.00	1.35	0.00	1.35	90.0	1.22
12/01/2017	MURPHY, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	6.82	0.00	6.82	90.0	6.14
12/01/2017	HALE, AMBER	AM FUNDS AMERICAN BALANCED A	0.00	1.98	0.00	1.98	90.0	1.78
12/01/2017	RAMEY, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	1.51	0.00	1.51	90.0	1.36
12/01/2017	RAMEY, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	1.49	0.00	1.49	90.0	1.34
12/01/2017	ZEEDYK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	1.94	0.00	1.94	90.0	1.75
12/01/2017	IN/TOD	AM FUNDS AMERICAN BALANCED A	0.00	2.78	0.00	2.78	90.0	2.50
12/01/2017	FOSNAUGH, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	2.48	0.00	2.48	90.0	2.23
12/01/2017	UNTIL AGE 21, IN/UTMA	AM FUNDS AMERICAN BALANCED A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	PELFREY, KRISTEN	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	90.0	0.46
12/01/2017	PELFREY, TODD	AM FUNDS AMERICAN BALANCED A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	BENEFICIARY, ELLIOTT	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	90.0	1.32
12/01/2017	SEELY, BRENDAN	AM FUNDS AMERICAN BALANCED A	0.00	0.09	0.00	0.09	90.0	0.08
12/01/2017	BURNS-PAITAN, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
12/01/2017	MESEKE, GILBERT	AM FUNDS AMERICAN BALANCED C	0.00	12.34	0.00	12.34	90.0	11.11
12/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED C	0.00	9.02	0.00	9.02	90.0	8.12
11/20/2017	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.47	0.00	0.47	90.0	0.42
11/20/2017	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.19	0.00	5.19	90.0	4.67
12/01/2017	SHANK, DEAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.53	0.00	1.53	90.0	1.38
12/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	BROCKMANO, EDWARD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	90.0	0.17
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.08	0.00	7.08	90.0	6.37
12/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.95	0.00	8.95	90.0	8.06
12/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.16	0.00	7.16	90.0	6.44
12/01/2017	COCKROFT, EDYTHE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.29	0.00	3.29	90.0	2.96
12/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.42	0.00	7.42	90.0	6.68
12/01/2017	BUSH, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.71	0.00	4.71	90.0	4.24
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.77	0.00	5.77	90.0	5.19
12/01/2017	RATTY, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.79	0.00	3.79	90.0	3.41
12/01/2017	KUMFER, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	9.51	0.00	9.51	90.0	8.56

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HELLER, ADAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.10	0.00	4.10	90.0	3.69
12/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	90.0	0.67
12/01/2017	BLAIR, BRIAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.42	0.00	3.42	90.0	3.08
12/01/2017	LOWDEN, KATHERINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	25.68	0.00	25.68	90.0	23.11
12/01/2017	COCKROFT, EDYA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	RATTY, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.23	0.00	2.23	90.0	2.01
12/01/2017	SHADY, SCOT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.32	0.00	1.32	90.0	1.19
12/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.24	0.00	3.24	90.0	2.92
12/01/2017	COGDELL, CARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.99	0.00	4.99	90.0	4.49
12/01/2017	LOWDEN, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.87	0.00	3.87	90.0	3.48
12/01/2017	HERBER, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.72	0.00	6.72	90.0	6.05
12/01/2017	LYTLE, KEAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.92	0.00	0.92	90.0	0.83
12/01/2017	PELFREY, KRISTEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	PELFREY, TODD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.36	0.00	14.36	90.0	12.92
12/01/2017	LINSKY, MARCIA	AM FUNDS AMERICAN MUTUAL A	0.00	9.89	0.00	9.89	90.0	8.90
12/01/2017	SHADY, SCOT	AM FUNDS AMERICAN MUTUAL A	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	BAILEY, RICHARD	AM FUNDS BALANCED PORT A	0.00	158.03	0.00	158.03	90.0	142.23
11/20/2017	HOFFMAN, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	SHANK, DEAN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	SHANK, CAROLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	SIEBER, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	5.34	0.00	5.34	90.0	4.81
12/01/2017	NEACE, VICTORIA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	RATTY, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	SHANK, CAROLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.55	0.00	0.55	90.0	0.50
12/01/2017	COCKROFT, EDYA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	RATTY, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.12	0.00	2.12	90.0	1.91
12/01/2017	PEARSON, JOAN	AM FUNDS BOND FUND OF AMERICA A	0.00	5.16	0.00	5.16	90.0	4.64
12/01/2017	PEARSON, EDWIN	AM FUNDS BOND FUND OF AMERICA A	0.00	10.62	0.00	10.62	90.0	9.56
12/01/2017	CZARNECKI, DENNIS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	90.0	0.17
12/01/2017	COGDELL, CARY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	3.26
12/01/2017	LOWDEN, JAMES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.68	0.00	2.68	90.0	2.41

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	O'CONNELL, KATHLEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	HELLER, ADAM	AM FUNDS BOND FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
12/01/2017	SULLIVAN, DIAN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	1.40
12/01/2017	RAMEY, MELISSA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	IN/TOD	AM FUNDS BOND FUND OF AMERICA A	0.00	1.49	0.00	1.49	90.0	1.34
12/01/2017	PELFREY, KRISTEN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS BOND FUND OF AMERICA C	0.00	16.30	0.00	16.30	90.0	14.67
12/01/2017	GOODMAN, LAUREN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.39	0.00	2.39	90.0	2.15
12/01/2017	GOODMAN, LAUREN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.99	0.00	1.99	90.0	1.79
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	7.08	0.00	7.08	90.0	6.37
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.08	0.00	0.08	90.0	0.07
11/20/2017	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	90.0	1.11
11/20/2017	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.41
11/20/2017	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.17	0.00	9.17	90.0	8.25
12/01/2017	POORMAN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.59	0.00	2.59	90.0	2.33
12/01/2017	PIERCE, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.55	0.00	4.55	90.0	4.10
12/01/2017	TIMMS, JOAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.35	0.00	22.35	90.0	20.12
12/01/2017	PINNELL, J MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.97	0.00	0.97	90.0	0.87
12/01/2017	SIMPSON, LYLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.95	0.00	4.95	90.0	4.46
12/01/2017	SIMPSON, KATHRYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.42	0.00	6.42	90.0	5.78
12/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.80	0.00	3.80	90.0	3.42
12/01/2017	BROCKMANO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	90.0	0.71
12/01/2017	BAILEY, TERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.13	0.00	5.13	90.0	4.62
12/01/2017	MARTZ, PHILLIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.73	0.00	11.73	90.0	10.56
12/01/2017	WINDSOR, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	90.0	1.77
12/01/2017	MURPHY, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.44
12/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.05	0.00	2.05	90.0	1.85
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	90.0	0.51
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.53	0.00	3.53	90.0	3.18
12/01/2017	BURNS, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.17	0.00	3.17	90.0	2.85
12/01/2017	BURNS, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.62	0.00	2.62	90.0	2.36
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.18	0.00	1.18	90.0	1.06

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MILLER, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.63	0.00	6.63	90.0	5.97
12/01/2017	BOKHART, GORDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.54	0.00	6.54	90.0	5.89
12/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.89	0.00	7.89	90.0	7.10
12/01/2017	MARCH, MELODY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	OAKES, ERIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	90.0	0.94
12/01/2017	AMBRIOLE, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	BAILEY, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	90.0	0.53
12/01/2017	MILLER, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	90.0	1.65
12/01/2017	PATEL, GITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.42	0.00	8.42	90.0	7.58
12/01/2017	CLARK, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	90.0	0.90
12/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.18	0.00	6.18	90.0	5.56
12/01/2017	CSUHTA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	BENSON, KARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	NICOLET, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.83	0.00	25.83	90.0	23.25
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	90.0	0.59
12/01/2017	SAINSBURY, DALE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	90.0	1.49
12/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.44	0.00	7.44	90.0	6.70
12/01/2017	MCARDLE, SHAWN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	71.81	0.00	71.81	90.0	64.63
12/01/2017	MCARDLE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.03	0.00	7.03	90.0	6.33
12/01/2017	HARKELROAD, JOY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	90.0	0.53
12/01/2017	GOODMAN, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.09	0.00	1.09	90.0	0.98
12/01/2017	URICK, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.30	0.00	3.30	90.0	2.97
12/01/2017	BUSH, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	90.0	0.65
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.56	0.00	5.56	90.0	5.00
12/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.97	0.00	4.97	90.0	4.47
12/01/2017	ALLAN, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.44	0.00	2.44	90.0	2.20
12/01/2017	LAWSON TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.66	0.00	20.66	90.0	18.59
12/01/2017	KUNKEL, AMELIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	1.94
12/01/2017	DEATRICK, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.51	0.00	13.51	90.0	12.16
12/01/2017	MUSKIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.52	0.00	3.52	90.0	3.17
12/01/2017	OAKES, ERIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	0.00	0.40	90.0	0.36
12/01/2017	MULDOON, MARGARET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	90.0	1.30

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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>								
12/01/2017	COGDELL, CARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	1.90
12/01/2017	COGDELL, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	90.0	1.12
12/01/2017	NICOLET, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.17	0.00	19.17	90.0	17.25
12/01/2017	DELAGARZA, DEBRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	90.0	1.78
12/01/2017	KUMFER, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.11	0.00	5.11	90.0	4.60
12/01/2017	HERBER, TRINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.06	0.00	3.06	90.0	2.75
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.44
12/01/2017	OTIS, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	SAMELS, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	30.10	0.00	30.10	90.0	27.09
12/01/2017	STANSBERRY, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.53	0.00	0.53	90.0	0.48
12/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	OAKES, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.49	0.00	2.49	90.0	2.24
12/01/2017	ZINN, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.66	0.00	7.66	90.0	6.89
12/01/2017	HEES, TAMERA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.11	0.00	3.11	90.0	2.80
12/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.26	0.00	3.26	90.0	2.93
12/01/2017	SIEGER, RODNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.81	0.00	9.81	90.0	8.83
12/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	DURKES, DEBRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	90.0	0.83
12/01/2017	PATEL, JASWANT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.41	0.00	4.41	90.0	3.97
12/01/2017	JENTGEN, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	90.0	0.53
12/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.45	0.00	1.45	90.0	1.31
12/01/2017	FEIPEL, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	90.0	0.35
12/01/2017	EAGLESON, AMBER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.02	0.00	4.02	90.0	3.62
12/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.99	0.00	2.99	90.0	2.69
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.55	0.00	3.55	90.0	3.20
12/01/2017	VLOT, KATHRYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.84	0.00	4.84	90.0	4.36
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.21	0.00	1.21	90.0	1.09
12/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	90.0	1.76

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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>								
12/01/2017	COCKROFT, EDYA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	90.0	0.46
12/01/2017	EAGLESON, MYSTEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.77	0.00	0.77	90.0	0.69
12/01/2017	JONES, TIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	90.0	1.27
12/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.28	0.00	9.28	90.0	8.35
12/01/2017	HOEFFEL, GREGGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.87	0.00	0.87	90.0	0.78
12/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	90.0	0.63
12/01/2017	CACCAMO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	90.0	1.78
12/01/2017	HINTON, EMILY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	90.0	1.51
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	90.0	6.24
12/01/2017	HERBER, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.58	0.00	4.58	90.0	4.12
12/01/2017	HELLER, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	90.0	0.51
12/01/2017	RAMEY, MELISSA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	90.0	0.67
12/01/2017	IN/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	PELFREY, TODD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	WEAVER, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.51	0.00	1.51	90.0	1.36
12/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.49	0.00	0.49	90.0	0.44
12/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	2.18	0.00	2.18	90.0	1.96
12/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.07	0.00	0.07	90.0	0.06
11/20/2017	REMENSCHNEIDER, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	SHANK, DEAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.71	0.00	0.71	90.0	0.64
12/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.41	0.00	0.41	90.0	0.37
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS CAPITAL WORLD BOND A	0.00	2.15	0.00	2.15	90.0	1.94
12/01/2017	COCKROFT, EDYTHE	AM FUNDS CAPITAL WORLD BOND A	0.00	4.57	0.00	4.57	90.0	4.11
12/01/2017	SIEBER, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	3.41	0.00	3.41	90.0	3.07
12/01/2017	RATTY, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	1.22	0.00	1.22	90.0	1.10
12/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.11	0.00	1.11	90.0	1.00
12/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	COCKROFT, EDYA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.40	0.00	0.40	90.0	0.36
12/01/2017	RATTY, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	2.02	0.00	2.02	90.0	1.82
12/01/2017	CZARNECKI, DENNIS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.14	0.00	0.14	90.0	0.13
12/01/2017	COGDELL, CARY	AM FUNDS CAPITAL WORLD BOND A	0.00	2.72	0.00	2.72	90.0	2.45
12/01/2017	LOWDEN, JAMES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.77	0.00	1.77	90.0	1.59

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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>								
12/01/2017	PELFREY, KRISTEN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.30	0.00	0.30	90.0	0.27
11/20/2017	TYGER, CATHIE	AM FUNDS CAPITAL WORLD BOND C	0.00	2.17	0.00	2.17	90.0	1.95
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD BOND C	0.00	11.55	0.00	11.55	90.0	10.40
12/01/2017	GOODMAN, LAUREN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.49	0.00	2.49	90.0	2.24
12/01/2017	GOODMAN, LAUREN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.08	0.00	2.08	90.0	1.87
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.79	0.00	3.79	90.0	3.41
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.16	0.00	0.16	90.0	0.14
11/20/2017	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	90.0	0.73
11/20/2017	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.54	0.00	6.54	90.0	5.89
11/20/2017	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	POORMAN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.73	0.00	2.73	90.0	2.46
12/01/2017	PIERCE, MARILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.91	0.00	2.91	90.0	2.62
12/01/2017	TIMMS, JOAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.11	0.00	23.11	90.0	20.80
12/01/2017	PINNELL, J MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.96
12/01/2017	SIMPSON, LYLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.84	0.00	7.84	90.0	7.06
12/01/2017	SIMPSON, KATHRYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.84	0.00	7.84	90.0	7.06
12/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.01	0.00	4.01	90.0	3.61
12/01/2017	SHANK, DEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	BROCKMANO, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.83	0.00	0.83	90.0	0.75
12/01/2017	BAILEY, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.09	0.00	8.09	90.0	7.28
12/01/2017	WINDSOR, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.35	0.00	2.35	90.0	2.12
12/01/2017	MURPHY, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	90.0	0.40
12/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.88	0.00	0.88	90.0	0.79
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.85	0.00	3.85	90.0	3.47
12/01/2017	BURNS, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.45	0.00	2.45	90.0	2.21
12/01/2017	FRANKS, PATRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	90.0	1.21
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
12/01/2017	MILLER, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.49	0.00	3.49	90.0	3.14
12/01/2017	BOKHART, GORDON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.38	0.00	7.38	90.0	6.64
12/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.11	0.00	8.11	90.0	7.30
12/01/2017	OAKES, ERIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
12/01/2017	AMBRIOLE, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	90.0	0.65

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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>								
12/01/2017	PATEL, GITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.12	0.00	16.12	90.0	14.51
12/01/2017	CLARK, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	90.0	0.95
12/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.01	0.00	5.01	90.0	4.51
12/01/2017	CSUHTA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.23	0.00	2.23	90.0	2.01
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.64	0.00	4.64	90.0	4.18
12/01/2017	BENSON, KARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.36	0.00	0.36	90.0	0.32
12/01/2017	THOMAS, BRADFORD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.78	0.00	6.78	90.0	6.10
12/01/2017	NICOLET, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.96	0.00	30.96	90.0	27.86
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.73	0.00	3.73	90.0	3.36
12/01/2017	SAINSBURY, DALE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.93	0.00	1.93	90.0	1.74
12/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.83	0.00	7.83	90.0	7.05
12/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.11	0.00	2.11	90.0	1.90
12/01/2017	MURPHY, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	90.0	1.10
12/01/2017	MCARDLE, SHAWN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.07	0.00	35.07	90.0	31.56
12/01/2017	MCARDLE, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.37	0.00	5.37	90.0	4.83
12/01/2017	HARKELROAD, JOY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	GOODMAN, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	90.0	1.02
12/01/2017	URICK, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	SIEBER, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.06	0.00	2.06	90.0	1.85
12/01/2017	WIGGINS, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	BIDDLE, DENESE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	90.0	0.83
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.89	0.00	5.89	90.0	5.30
12/01/2017	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.46	0.00	6.46	90.0	5.81
12/01/2017	RATTY, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	TRESSLER, KENT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.98	0.00	9.98	90.0	8.98
12/01/2017	CASEY, GISELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.69	0.00	7.69	90.0	6.92
12/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.76	0.00	11.76	90.0	10.58
12/01/2017	LAWSON TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.79	0.00	22.79	90.0	20.51
12/01/2017	ROEMER, SHERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.13	0.00	3.13	90.0	2.82
12/01/2017	ZINN, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	90.0	2.19
12/01/2017	KUNKEL, AMELIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	90.0	2.14
12/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	DEATRICK, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.30	0.00	15.30	90.0	13.77

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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>								
12/01/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.14	0.00	6.14	90.0	5.53
12/01/2017	OAKES, ERIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	MULDOON, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.55	0.00	1.55	90.0	1.40
12/01/2017	COGDELL, CARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.45	0.00	6.45	90.0	5.81
12/01/2017	COGDELL, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.53	0.00	2.53	90.0	2.28
12/01/2017	NICOLET, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.16	0.00	7.16	90.0	6.44
12/01/2017	DELAGARZA, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.07	0.00	2.07	90.0	1.86
12/01/2017	BROOKS, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	90.0	0.32
12/01/2017	KUMFER, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.52	0.00	5.52	90.0	4.97
12/01/2017	HERBER, TRINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.25	0.00	5.25	90.0	4.73
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	90.0	0.49
12/01/2017	OTIS, JASON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	SAMELS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	62.06	0.00	62.06	90.0	55.85
12/01/2017	STANSBERRY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	90.0	2.25
12/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	OAKES, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	90.0	0.19
12/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.60	0.00	2.60	90.0	2.34
12/01/2017	ZINN, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.11	0.00	8.11	90.0	7.30
12/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.87	0.00	4.87	90.0	4.38
12/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	HEES, TAMERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.35	0.00	3.35	90.0	3.02
12/01/2017	RHEN, DRAKE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.11	0.00	2.11	90.0	1.90
12/01/2017	DAVID, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	90.0	0.34
12/01/2017	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	LEGAULT, RACHEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.53	0.00	5.53	90.0	4.98
12/01/2017	SIEGER, RODNEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	90.0	0.85
12/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.14	0.00	1.14	90.0	1.03
12/01/2017	PATEL, JASWANT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.32	0.00	6.32	90.0	5.69
12/01/2017	JENTGEN, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	90.0	0.60

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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>								
12/01/2017	KILLION, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.80	0.00	5.80	90.0	5.22
12/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.68	0.00	4.68	90.0	4.21
12/01/2017	THURSTON, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	90.0	0.19
12/01/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.21	0.00	3.21	90.0	2.89
12/01/2017	FREEZE, MONTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	2.12
12/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	90.0	1.42
12/01/2017	FEIPEL, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	90.0	0.85
12/01/2017	EAGLESON, AMBER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.15	0.00	5.15	90.0	4.64
12/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.41	0.00	3.41	90.0	3.07
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	VLOT, KATHRYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.64	0.00	2.64	90.0	2.38
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.60	0.00	3.60	90.0	3.24
12/01/2017	WEAVER, JACOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.83	0.00	0.83	90.0	0.75
12/01/2017	LOWDEN, KATHERINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.10	0.00	14.10	90.0	12.69
12/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	90.0	0.82
12/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	90.0	0.77
12/01/2017	EAGLESON, MYSTEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	RATTY, MINDY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.96
12/01/2017	JONES, TIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.60	0.00	5.60	90.0	5.04
12/01/2017	RATTY, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.33	0.00	10.33	90.0	9.30
12/01/2017	GETTYS, JARRAD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	SHADY, SCOT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.46	0.00	3.46	90.0	3.11
12/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.76	0.00	0.76	90.0	0.68
12/01/2017	HINTON, EMILY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.79	0.00	0.79	90.0	0.71
12/01/2017	HOSKINS, AUSTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.71	0.00	6.71	90.0	6.04
12/01/2017	LOWDEN, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.04	0.00	1.04	90.0	0.94
12/01/2017	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.63	0.00	5.63	90.0	5.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HELLER, ADAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	RAMEY, MELISSA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	90.0	0.69
12/01/2017	PELFREY, KRISTEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	PELFREY, TODD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	MESEKE, GILBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.87	0.00	8.87	90.0	7.98
12/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.60	0.00	2.60	90.0	2.34
12/01/2017	MESEKE, GILBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.93	0.00	3.93	90.0	3.54
12/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.11	0.00	1.11	90.0	1.00
12/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	FREER, TYLER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.20	0.00	1.20	90.0	1.08
12/01/2017	BURNS, MARCIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.41	0.00	1.41	90.0	1.27
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	90.0	0.66
12/01/2017	BAILEY, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.52	0.00	15.52	90.0	13.97
12/01/2017	MURPHY, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.65	0.00	1.65	90.0	1.49
12/01/2017	CASTLEMAN, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.63	0.00	5.63	90.0	5.07
12/01/2017	MILUM, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.18	0.00	3.18	90.0	2.86
12/01/2017	MCARDLE, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.10	0.00	16.10	90.0	14.49
12/01/2017	MCARDLE, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.48	0.00	2.48	90.0	2.23
12/01/2017	HARKELROAD, JOY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.52
12/01/2017	NEACE, VICTORIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	FLEEGER, JANICE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.66	0.00	1.66	90.0	1.49
12/01/2017	LAWSON TRUST	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.22	0.00	19.22	90.0	17.30
12/01/2017	GOODMAN, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.51	0.00	7.51	90.0	6.76
12/01/2017	ZINN, DIANE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.06	0.00	2.06	90.0	1.85
12/01/2017	KUNKEL, AMELIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	DEATRICK, AMANDA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.64	0.00	13.64	90.0	12.28
12/01/2017	BROOKS, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	SHERIDAN, BROOKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	SIEGER, RODNEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	PATEL, JASWANT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.81	0.00	5.81	90.0	5.23
12/01/2017	THURSTON, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	90.0	0.19
12/01/2017	RATTY, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.36	0.00	1.36	90.0	1.22

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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>								
12/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.35	0.00	3.35	90.0	3.02
12/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.58	0.00	0.58	90.0	0.52
12/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	NEWBAUER, CAMERON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.12	0.00	3.12	90.0	2.81
11/20/2017	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.24	0.00	5.24	90.0	4.72
12/01/2017	POORMAN, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.63	0.00	3.63	90.0	3.27
12/01/2017	PIERCE, MARILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.72	0.00	3.72	90.0	3.35
12/01/2017	TIMMS, JOAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.99	0.00	29.99	90.0	26.99
12/01/2017	PINNELL, J MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.17	0.00	1.17	90.0	1.05
12/01/2017	SIMPSON, LYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.14	0.00	9.14	90.0	8.23
12/01/2017	SIMPSON, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.75	0.00	11.75	90.0	10.58
12/01/2017	BAILEY, TERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.80	0.00	4.80	90.0	4.32
12/01/2017	MARTZ, PHILLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.05	0.00	11.05	90.0	9.95
12/01/2017	WINDSOR, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.81	0.00	2.81	90.0	2.53
12/01/2017	MURPHY, DANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.52	0.00	0.52	90.0	0.47
12/01/2017	MEIER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.77	0.00	4.77	90.0	4.29
12/01/2017	BURNS, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.76	0.00	0.76	90.0	0.68
12/01/2017	BURNS, MARCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.71	0.00	9.71	90.0	8.74
12/01/2017	MILLER, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.60	0.00	4.60	90.0	4.14
12/01/2017	BOKHART, GORDON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.16	0.00	9.16	90.0	8.24
12/01/2017	OAKES, ERIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	90.0	1.32
12/01/2017	AMBRIOLE, JANICE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.92	0.00	0.92	90.0	0.83
12/01/2017	BAILEY, TERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.73	0.00	3.73	90.0	3.36
12/01/2017	BAILEY, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	90.0	1.13
12/01/2017	MILLER, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.72	0.00	2.72	90.0	2.45
12/01/2017	PATEL, GITA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.04	0.00	8.04	90.0	7.24
12/01/2017	NICOLET, CHERYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.82	0.00	8.82	90.0	7.94
12/01/2017	CLARK, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.31	0.00	2.31	90.0	2.08
12/01/2017	MURPHY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.69	0.00	0.69	90.0	0.62
12/01/2017	HUNTER, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.02	0.00	6.02	90.0	5.42
12/01/2017	CSUHTA, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.91	0.00	2.91	90.0	2.62
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.74	0.00	5.74	90.0	5.17

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BENSON, KARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	NICOLET, CHERYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	34.56	0.00	34.56	90.0	31.10
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.18	0.00	3.18	90.0	2.86
12/01/2017	SAINSBURY, DALE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.48	0.00	3.48	90.0	3.13
12/01/2017	COCKROFT, EDYTHE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.54	0.00	4.54	90.0	4.09
12/01/2017	URICK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	90.0	1.32
12/01/2017	NEACE, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.87	0.00	1.87	90.0	1.68
12/01/2017	ROEMER, SHERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.34	0.00	3.34	90.0	3.01
12/01/2017	MUSKIN, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	90.0	0.32
12/01/2017	MUSKIN, VERONICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.09	0.00	3.09	90.0	2.78
12/01/2017	OAKES, ERIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	MULDOON, MARGARET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	90.0	1.80
12/01/2017	COGDELL, CARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.61	0.00	4.61	90.0	4.15
12/01/2017	COGDELL, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.02	0.00	2.02	90.0	1.82
12/01/2017	NICOLET, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.38	0.00	8.38	90.0	7.54
12/01/2017	DELAGARZA, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.70	0.00	2.70	90.0	2.43
12/01/2017	HERBER, TRINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.27	0.00	6.27	90.0	5.64
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	OTIS, JASON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.64	0.00	0.64	90.0	0.58
12/01/2017	SAMELS, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	STANSBERRY, NANCY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.23	0.00	3.23	90.0	2.91
12/01/2017	MEIER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	NEWBAUER, COLSTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	OAKES, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.37	0.00	0.37	90.0	0.33
12/01/2017	ZINN, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.28	0.00	9.28	90.0	8.35
12/01/2017	HEES, TAMERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.41	0.00	4.41	90.0	3.97
12/01/2017	HERRIMAN, JANET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.49	0.00	1.49	90.0	1.34
12/01/2017	BYRUM JR, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	FEIPEL, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	EAGLESON, AMBER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	90.0	0.50
12/01/2017	EAGLESON, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.37	0.00	4.37	90.0	3.93
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.07	0.00	2.07	90.0	1.86
12/01/2017	VLOT, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.44	0.00	3.44	90.0	3.10

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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>								
12/01/2017	LOWDEN, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	22.93	0.00	22.93	90.0	20.64
12/01/2017	RICKER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	90.0	0.99
12/01/2017	RICKER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.04	0.00	1.04	90.0	0.94
12/01/2017	EAGLESON, MYSTEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	JONES, TIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.93	0.00	1.93	90.0	1.74
12/01/2017	RATTY, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	HOEFFEL, GREGGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	90.0	1.32
12/01/2017	MURPHY, SHARI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	71.63	0.00	71.63	90.0	64.47
12/01/2017	MURPHY, SHARI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.29	0.00	4.29	90.0	3.86
12/01/2017	MURPHY, LOU	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.39	0.00	2.39	90.0	2.15
12/01/2017	MURPHY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.46	0.00	8.46	90.0	7.61
12/01/2017	NEWBAUER, SARAH	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	15.45	0.00	15.45	90.0	13.91
12/01/2017	LAYMAN, VICKI	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	1.21	0.00	1.21	90.0	1.09
12/01/2017	SLATER, JUSTIN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	GOODMAN, LAUREN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	GOODMAN, LAUREN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.06	0.00	2.06	90.0	1.85
12/01/2017	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.16	0.00	0.16	90.0	0.14
11/20/2017	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.60	0.00	0.60	90.0	0.54
11/20/2017	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.70	0.00	6.70	90.0	6.03
11/20/2017	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	POORMAN, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.90	0.00	1.90	90.0	1.71
12/01/2017	TIMMS, JOAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.75	0.00	20.75	90.0	18.68
12/01/2017	PINNELL, J MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.84	0.00	3.84	90.0	3.46
12/01/2017	FISCHER, HELEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.59	0.00	4.59	90.0	4.13
12/01/2017	SIMPSON, LYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.78	0.00	10.78	90.0	9.70
12/01/2017	SIMPSON, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.77	0.00	9.77	90.0	8.79
12/01/2017	PATTERSON, JANITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.56	0.00	4.56	90.0	4.10
12/01/2017	SHANK, DEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	SHANK, CAROLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	BAILEY, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	90.0	4.96
12/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.95	0.00	2.95	90.0	2.66
12/01/2017	DISBRO, JON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	90.0	2.37
12/01/2017	MARTZ, PHILLIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.82	0.00	6.82	90.0	6.14

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MURPHY, DANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	MORHART, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
12/01/2017	SWAIDNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	MCDUGAL, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
12/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.74	0.00	0.74	90.0	0.67
12/01/2017	MURPHY, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.83	0.00	6.83	90.0	6.15
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.31	0.00	3.31	90.0	2.98
12/01/2017	BURNS, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.64	0.00	1.64	90.0	1.48
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.26	0.00	3.26	90.0	2.93
12/01/2017	FRANKS, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.00	0.00	5.00	90.0	4.50
12/01/2017	NEWBAUER, GINGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07
12/01/2017	MILLER, JULIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.37	0.00	2.37	90.0	2.13
12/01/2017	BOKHART, GORDON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.40	0.00	6.40	90.0	5.76
12/01/2017	WALLACE, FREDERICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.85	0.00	2.85	90.0	2.57
12/01/2017	PATTERSON, JANITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.88	0.00	7.88	90.0	7.09
12/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
12/01/2017	BAILEY, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.81	0.00	18.81	90.0	16.93
12/01/2017	AMBRIOLE, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.55
12/01/2017	MURPHY, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	MAY, ZACHARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	PEPPLE, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.13	0.00	1.13	90.0	1.02
12/01/2017	WUKASCH, ZACHARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	2.76
12/01/2017	PATEL, GITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.64	0.00	15.64	90.0	14.08
12/01/2017	NICOLET, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.01	0.00	8.01	90.0	7.21
12/01/2017	SWAIDNER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.22	0.00	5.22	90.0	4.70
12/01/2017	CLARK, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.70	0.00	3.70	90.0	3.33
12/01/2017	MURPHY, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	WEEKS, VAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	HUNTER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.90	0.00	7.90	90.0	7.11
12/01/2017	ZINN, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.75	0.00	4.75	90.0	4.28
12/01/2017	ISLEY, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ZINN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.73	0.00	10.73	90.0	9.66
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.90	0.00	37.90	90.0	34.11
12/01/2017	KAGE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.06	0.00	6.06	90.0	5.45
12/01/2017	BENSON, KARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	CASTLEMAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.99	0.00	4.99	90.0	4.49
12/01/2017	WINFIELD, APRIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.92	0.00	3.92	90.0	3.53
12/01/2017	MAHONY, KAMI LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.92	0.00	3.92	90.0	3.53
12/01/2017	NICOLET, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.05	0.00	35.05	90.0	31.55
12/01/2017	MULDOON, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.73	0.00	1.73	90.0	1.56
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	90.0	2.15
12/01/2017	SAMUDIO, SHERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.33	0.00	8.33	90.0	7.50
12/01/2017	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.61	0.00	14.61	90.0	13.15
12/01/2017	PEARSON, SHIRLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	90.0	2.14
12/01/2017	MILUM, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.76	0.00	9.76	90.0	8.78
12/01/2017	MCARDLE, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.91	0.00	41.91	90.0	37.72
12/01/2017	MCARDLE, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.34	0.00	6.34	90.0	5.71
12/01/2017	GOODMAN, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
12/01/2017	GOODMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.58	0.00	25.58	90.0	23.02
12/01/2017	URICK, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	3.20
12/01/2017	SIEBER, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	90.0	2.09
12/01/2017	HECKLER, MARTHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.48	0.00	3.48	90.0	3.13
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.38	0.00	6.38	90.0	5.74
12/01/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	FLEEGER, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.18	0.00	2.18	90.0	1.96
12/01/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.81	0.00	7.81	90.0	7.03
12/01/2017	RATTY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
12/01/2017	MCARDLE, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.49	0.00	27.49	90.0	24.74
12/01/2017	LAWSON TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.71	0.00	21.71	90.0	19.54
12/01/2017	ROEMER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.89	0.00	7.89	90.0	7.10
12/01/2017	WHEELER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	2.76
12/01/2017	KUNKEL, AMELIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.73	0.00	2.73	90.0	2.46
12/01/2017	GALENTINE, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	COCKROFT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.88	0.00	1.88	90.0	1.69

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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>								
12/01/2017	MUSKIN, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.76	0.00	5.76	90.0	5.18
12/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	HOEFFEL, GREGGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
12/01/2017	MULDOON, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	COGDELL, CARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	COGDELL, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.17	0.00	2.17	90.0	1.95
12/01/2017	NICOLET, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.03	0.00	20.03	90.0	18.03
12/01/2017	DELAGARZA, DEBRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67
12/01/2017	KUMFER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.50	0.00	6.50	90.0	5.85
12/01/2017	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.61	0.00	7.61	90.0	6.85
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	OTIS, JASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.32
12/01/2017	HELLER, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.43	0.00	2.43	90.0	2.19
12/01/2017	SAMELS, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	LINSKY, MARCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.90	0.00	41.90	90.0	37.71
12/01/2017	WUKASCH, LILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
12/01/2017	STANSBERRY, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.26	0.00	3.26	90.0	2.93
12/01/2017	OAKES, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
12/01/2017	SHANK, CAROLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	BLAIR, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.93	0.00	2.93	90.0	2.64
12/01/2017	ZINN, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.22	0.00	6.22	90.0	5.60
12/01/2017	NEWBAUER, COLSTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.31	0.00	0.31	90.0	0.28
12/01/2017	HEES, TAMERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	RHEN, MASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.79	0.00	2.79	90.0	2.51
12/01/2017	SIEGER, RODNEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.60	0.00	13.60	90.0	12.24
12/01/2017	LIPSCOMB, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.17	0.00	4.17	90.0	3.75
12/01/2017	HERRIMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	PATEL, JASWANT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.20	0.00	9.20	90.0	8.28
12/01/2017	JENTGEN, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.79
12/01/2017	NEWBAUER, COLSTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	HERRIMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.35	0.00	2.35	90.0	2.12
12/01/2017	THURSTON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36

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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>								
12/01/2017	FREEZE, MONTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	2.66
12/01/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.02	0.00	6.02	90.0	5.42
12/01/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.98	0.00	2.98	90.0	2.68
12/01/2017	VLOT, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
12/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
12/01/2017	EAGLESON, MYSTEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
12/01/2017	RATTY, MINDY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
12/01/2017	JONES, TIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	1.20
12/01/2017	LIPSCOMB, SOPHIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.65	0.00	2.65	90.0	2.39
12/01/2017	GETTYS, JARRAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.61	0.00	1.61	90.0	1.45
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	SHADY, SCOT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	90.0	1.87
12/01/2017	MCARDLE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	COCKROFT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.75
12/01/2017	LAPHAM, DARRELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	HINTON, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	1.77
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	HOSKINS, AUSTIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
12/01/2017	NEWBAUER, CHLOE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.09	0.00	1.09	90.0	0.98
12/01/2017	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.84	0.00	6.84	90.0	6.16
12/01/2017	TRACEY, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22
12/01/2017	HAVERT, CHANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.81	0.00	2.81	90.0	2.53
12/01/2017	LOWDEN, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	1.04
12/01/2017	HERBER, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.23	0.00	5.23	90.0	4.71
12/01/2017	HELLER, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.79
12/01/2017	MURPHY, SHARI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	70.91	0.00	70.91	90.0	63.82
12/01/2017	MURPHY, SHARI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.24	0.00	4.24	90.0	3.82
12/01/2017	MURPHY, LOU	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.52	0.00	2.52	90.0	2.27
12/01/2017	MURPHY, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.70	0.00	8.70	90.0	7.83
12/01/2017	LEGUALT, OLIVER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	RAMEY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	PELFREY, KRISTEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15

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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>								
12/01/2017	PELFREY, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	BURNS-PAITAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
12/01/2017	RAMEY, TRAVIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	DRUHOT, SCOTT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.94	0.00	0.94	90.0	0.85
12/01/2017	DRUHOT, LESLIE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.03	0.00	19.03	90.0	17.13
12/01/2017	NEWBAUER, SARAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.10	0.00	13.10	90.0	11.79
12/01/2017	DRUHOT, LESLIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.34	0.00	1.34	90.0	1.21
12/01/2017	BAILEY, RICHARD	AM FUNDS GROWTH PORT A	0.00	63.39	0.00	63.39	90.0	57.05
12/01/2017	GOODMAN, LAUREN	AM FUNDS ICA 529A	0.00	2.38	0.00	2.38	90.0	2.14
12/01/2017	NEWBAUER, CAMERON	AM FUNDS ICA 529A	0.00	3.84	0.00	3.84	90.0	3.46
11/20/2017	ZINN, ROBERT	AM FUNDS ICA A	0.00	4.74	0.00	4.74	90.0	4.27
12/01/2017	TUCKER, CHARLOTTE	AM FUNDS ICA A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	TUCKER, SEAN	AM FUNDS ICA A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	FREER, TYLER	AM FUNDS ICA A	0.00	1.44	0.00	1.44	90.0	1.30
12/01/2017	TIMMS, JOAN	AM FUNDS ICA A	0.00	29.97	0.00	29.97	90.0	26.97
12/01/2017	WINDSOR, WILLIAM	AM FUNDS ICA A	0.00	2.83	0.00	2.83	90.0	2.55
12/01/2017	DISBRO, JON	AM FUNDS ICA A	0.00	1.72	0.00	1.72	90.0	1.55
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS ICA A	0.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	BURNS, THOMAS	AM FUNDS ICA A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	MILLER, JULIE	AM FUNDS ICA A	0.00	2.91	0.00	2.91	90.0	2.62
12/01/2017	PATEL, GITA	AM FUNDS ICA A	0.00	14.16	0.00	14.16	90.0	12.74
12/01/2017	MIZNER, FREDRIC	AM FUNDS ICA A	0.00	1.78	0.00	1.78	90.0	1.60
12/01/2017	KAGE, JENNIFER	AM FUNDS ICA A	0.00	4.95	0.00	4.95	90.0	4.46
12/01/2017	THOMAS, BRADFORD	AM FUNDS ICA A	0.00	7.92	0.00	7.92	90.0	7.13
12/01/2017	SHIPLEY, SANDRA	AM FUNDS ICA A	0.00	9.44	0.00	9.44	90.0	8.50
12/01/2017	GRIME, STEPHEN	AM FUNDS ICA A	0.00	21.07	0.00	21.07	90.0	18.96
12/01/2017	PEARSON, SHIRLEY	AM FUNDS ICA A	0.00	2.75	0.00	2.75	90.0	2.48
12/01/2017	MILUM, JUDITH	AM FUNDS ICA A	0.00	4.21	0.00	4.21	90.0	3.79
12/01/2017	MCARDLE, SHAWN	AM FUNDS ICA A	0.00	38.86	0.00	38.86	90.0	34.97
12/01/2017	MCARDLE, LINDA	AM FUNDS ICA A	0.00	5.79	0.00	5.79	90.0	5.21
12/01/2017	HARKELROAD, JOY	AM FUNDS ICA A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	MCARDLE, DANIEL	AM FUNDS ICA A	0.00	14.37	0.00	14.37	90.0	12.93
12/01/2017	LAWSON TRUST	AM FUNDS ICA A	0.00	25.65	0.00	25.65	90.0	23.09

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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>								
12/01/2017	KUNKEL, AMELIA	AM FUNDS ICA A	0.00	2.23	0.00	2.23	90.0	2.01
12/01/2017	DEATRICK, AMANDA	AM FUNDS ICA A	0.00	17.31	0.00	17.31	90.0	15.58
12/01/2017	MULDOON, MARGARET	AM FUNDS ICA A	0.00	0.98	0.00	0.98	90.0	0.88
12/01/2017	COGDELL, JENNIFER	AM FUNDS ICA A	0.00	2.98	0.00	2.98	90.0	2.68
12/01/2017	BROOKS, SHARON	AM FUNDS ICA A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	SHERIDAN, BROOKE	AM FUNDS ICA A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	GRIME, STEPHEN	AM FUNDS ICA A	0.00	5.35	0.00	5.35	90.0	4.82
12/01/2017	HERRIMAN, JANET	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	PATEL, JASWANT	AM FUNDS ICA A	0.00	8.41	0.00	8.41	90.0	7.57
12/01/2017	JENTGEN, STEPHANIE	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.66
12/01/2017	THURSTON, TIMOTHY	AM FUNDS ICA A	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	BYRUM JR, GERALD	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	1.16
12/01/2017	FEIPEL, EDWARD	AM FUNDS ICA A	0.00	1.41	0.00	1.41	90.0	1.27
12/01/2017	EAGLESON, AMBER	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.41
12/01/2017	EAGLESON, JOSEPH	AM FUNDS ICA A	0.00	4.04	0.00	4.04	90.0	3.64
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS ICA A	0.00	1.89	0.00	1.89	90.0	1.70
12/01/2017	VLOT, KATHRYN	AM FUNDS ICA A	0.00	3.29	0.00	3.29	90.0	2.96
12/01/2017	RICKER, REBECCA	AM FUNDS ICA A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	RICKER, REBECCA	AM FUNDS ICA A	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	EAGLESON, MYSTEE	AM FUNDS ICA A	0.00	1.53	0.00	1.53	90.0	1.38
12/01/2017	JONES, TIM	AM FUNDS ICA A	0.00	1.82	0.00	1.82	90.0	1.64
12/01/2017	DEJOHN, SHARLEEN	AM FUNDS ICA A	0.00	11.62	0.00	11.62	90.0	10.46
12/01/2017	MESEKE, GILBERT	AM FUNDS ICA C	0.00	9.71	0.00	9.71	90.0	8.74
12/01/2017	MESEKE, GILBERT	AM FUNDS ICA F1	0.00	2.98	0.00	2.98	90.0	2.68
12/01/2017	LAYMAN, VICKI	AM FUNDS ICA F1	0.00	1.11	0.00	1.11	90.0	1.00
11/20/2017	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.54	0.00	0.54	90.0	0.49
11/20/2017	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.00	0.00	6.00	90.0	5.40
12/01/2017	POORMAN, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
12/01/2017	PIERCE, MARILYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.05	0.00	4.05	90.0	3.65
12/01/2017	TIMMS, JOAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.22	0.00	17.22	90.0	15.50
12/01/2017	PINNELL, J MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.08	0.00	3.08	90.0	2.77
12/01/2017	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.95	0.00	3.95	90.0	3.56
12/01/2017	BROCKMANO, EDWARD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BAILEY, TERRY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.54	0.00	3.54	90.0	3.19
12/01/2017	MARTZ, PHILLIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.34	0.00	13.34	90.0	12.01
12/01/2017	WINDSOR, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.15	0.00	2.15	90.0	1.94
12/01/2017	DISBRO, JON	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.72	0.00	6.72	90.0	6.05
12/01/2017	MEIER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.69	0.00	2.69	90.0	2.42
12/01/2017	BURNS, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.47	0.00	3.47	90.0	3.12
12/01/2017	MILLER, JULIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.88	0.00	5.88	90.0	5.29
12/01/2017	BOKHART, GORDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.00	0.00	5.00	90.0	4.50
12/01/2017	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.95	0.00	6.95	90.0	6.26
12/01/2017	OAKES, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	AMBRIOLE, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	PATEL, GITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.71	0.00	6.71	90.0	6.04
12/01/2017	CLARK, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.09	0.00	3.09	90.0	2.78
12/01/2017	HUNTER, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07
12/01/2017	CSUHTA, JULIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.52	0.00	1.52	90.0	1.37
12/01/2017	BENSON, KARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	NICOLET, CHERYL	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.85	0.00	25.85	90.0	23.27
12/01/2017	MULDOON, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
12/01/2017	SAINSBURY, DALE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	URICK, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.37	0.00	4.37	90.0	3.93
12/01/2017	HARRIS, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	ALLAN, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.62	0.00	2.62	90.0	2.36
12/01/2017	MUSKIN, VERONICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.64	0.00	3.64	90.0	3.28
12/01/2017	MULDOON, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	COGDELL, CARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	COGDELL, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.66	0.00	1.66	90.0	1.49
12/01/2017	NICOLET, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.08	0.00	17.08	90.0	15.37
12/01/2017	DELAGARZA, DEBRA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
12/01/2017	KUMFER, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.42	0.00	5.42	90.0	4.88

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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>								
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.33
12/01/2017	OTIS, JASON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	MEIER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	BLAIR, BRIAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.60	0.00	2.60	90.0	2.34
12/01/2017	ZINN, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.46	0.00	5.46	90.0	4.91
12/01/2017	HEES, TAMERA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	LAYMAN, VICKI	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.57	0.00	3.57	90.0	3.21
12/01/2017	DURKES, DEBRA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
12/01/2017	HERRIMAN, JANET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.90	0.00	1.90	90.0	1.71
12/01/2017	BYRUM JR, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.15	0.00	1.15	90.0	1.04
12/01/2017	FEIPEL, EDWARD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	EAGLESON, AMBER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.85	0.00	0.85	90.0	0.77
12/01/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.63	0.00	3.63	90.0	3.27
12/01/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.24	0.00	2.24	90.0	2.02
12/01/2017	MCGUIRE, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.20	0.00	3.20	90.0	2.88
12/01/2017	VLOT, KATHRYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.08	0.00	4.08	90.0	3.67
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	1.21
12/01/2017	POORMAN, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.40	0.00	2.40	90.0	2.16
12/01/2017	LOWDEN, KATHERINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.96	0.00	23.96	90.0	21.56
12/01/2017	RICKER, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	RICKER, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.71	0.00	1.71	90.0	1.54
12/01/2017	JONES, TIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.03	0.00	1.03	90.0	0.93
12/01/2017	RATTY, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
12/01/2017	LINSKY, MARCIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.52	0.00	9.52	90.0	8.57
12/01/2017	HOEFFEL, GREGGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	COCKROFT, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
12/01/2017	CACCAMO, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	HERBER, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.72	0.00	4.72	90.0	4.25
12/01/2017	MURPHY, SHARI	AM FUNDS INCOME FUND OF AMERICA A	0.00	66.77	0.00	66.77	90.0	60.09
12/01/2017	MURPHY, SHARI	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.98	0.00	3.98	90.0	3.58
12/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	RAMEY, MELISSA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.74	0.00	0.74	90.0	0.67
12/01/2017	PELFREY, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.33	0.00	0.33	90.0	0.30

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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>								
12/01/2017	BURNS-PAITAN, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
12/01/2017	WALLACE, FREDERICK	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	LAYMAN, VICKI	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	2.26	0.00	2.26	90.0	2.03
12/01/2017	GOODMAN, LAUREN	AM FUNDS INCOME FUND OF AMERICA-529	0.00	1.97	0.00	1.97	90.0	1.77
12/01/2017	NEWBAUER, CAMERON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	5.80	0.00	5.80	90.0	5.22
11/20/2017	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.53	0.00	0.53	90.0	0.48
11/20/2017	REMENSCHNEIDER, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.42	0.00	0.42	90.0	0.38
11/20/2017	HOFFMAN, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.23	0.00	3.23	90.0	2.91
12/01/2017	SHANK, DEAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.07	0.00	1.07	90.0	0.96
12/01/2017	SHANK, CAROLE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.63	0.00	0.63	90.0	0.57
12/01/2017	BROCKMANO, EDWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.73	0.00	5.73	90.0	5.16
12/01/2017	WILKIN, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.97	0.00	6.97	90.0	6.27
12/01/2017	COCKROFT, EDYTHE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.51	0.00	4.51	90.0	4.06
12/01/2017	SIEBER, PAUL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.15	0.00	5.15	90.0	4.64
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.75	0.00	3.75	90.0	3.38
12/01/2017	RATTY, MICHAEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	COCKROFT, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.18	0.00	1.18	90.0	1.06
12/01/2017	KUMFER, JOSEPH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.30	0.00	6.30	90.0	5.67
12/01/2017	HELLER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.25	0.00	7.25	90.0	6.53
12/01/2017	PER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	SHANK, CAROLE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.52	0.00	0.52	90.0	0.47
12/01/2017	BLAIR, BRIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.12	0.00	2.12	90.0	1.91
12/01/2017	SIEBER, PAUL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.82	0.00	4.82	90.0	4.34
12/01/2017	COCKROFT, EDYA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.79	0.00	0.79	90.0	0.71
12/01/2017	RATTY, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.99	0.00	1.99	90.0	1.79
12/01/2017	LINSKY, MARCIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	8.39	0.00	8.39	90.0	7.55
12/01/2017	COCKROFT, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.63	0.00	0.63	90.0	0.57
12/01/2017	CZARNECKI, DENNIS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	CACCAMO, MICHAEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.95	0.00	1.95	90.0	1.76
12/01/2017	HINTON, EMILY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.94	0.00	1.94	90.0	1.75

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	DURKES, DEBRA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.24	0.00	3.24	90.0	2.92
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	COGDELL, CARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.71	0.00	2.71	90.0	2.44
12/01/2017	LOWDEN, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.62	0.00	2.62	90.0	2.36
12/01/2017	HERBER, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.17	0.00	4.17	90.0	3.75
12/01/2017	LYTLE, KEAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	HELLER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.67	0.00	2.67	90.0	2.40
12/01/2017	SULLIVAN, DIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.65	0.00	0.65	90.0	0.59
12/01/2017	SULLIVAN, DIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.58	0.00	1.58	90.0	1.42
12/01/2017	IN/TOD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	PELFREY, KRISTEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	PELFREY, TODD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.31	0.00	0.31	90.0	0.28
11/20/2017	HOFFMAN, MARK	AM FUNDS MORTGAGE A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	WILKIN, CYNTHIA	AM FUNDS MORTGAGE A	0.00	6.98	0.00	6.98	90.0	6.28
12/01/2017	RATTY, MICHAEL	AM FUNDS MORTGAGE A	0.00	1.26	0.00	1.26	90.0	1.13
12/01/2017	CACCAMO, MICHAEL	AM FUNDS MORTGAGE A	0.00	1.95	0.00	1.95	90.0	1.76
12/01/2017	O'CONNELL, KATHLEEN	AM FUNDS MORTGAGE A	0.00	1.59	0.00	1.59	90.0	1.43
11/20/2017	TYGER, CATHIE	AM FUNDS MORTGAGE C	0.00	2.14	0.00	2.14	90.0	1.93
12/01/2017	MARTZ, PHILLIS	AM FUNDS NEW ECONOMY A	0.00	10.36	0.00	10.36	90.0	9.32
12/01/2017	SWAIDNER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.60	0.00	2.60	90.0	2.34
12/01/2017	SWAIDNER, DAVID	AM FUNDS NEW ECONOMY A	0.00	2.61	0.00	2.61	90.0	2.35
12/01/2017	MURPHY, DAVID	AM FUNDS NEW ECONOMY A	0.00	4.58	0.00	4.58	90.0	4.12
12/01/2017	MORHART, JAMES	AM FUNDS NEW ECONOMY A	0.00	4.22	0.00	4.22	90.0	3.80
12/01/2017	WOEHNKER, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS NEW ECONOMY A	0.00	1.25	0.00	1.25	90.0	1.13
12/01/2017	WALLACE, BARBARA	AM FUNDS NEW ECONOMY A	0.00	4.40	0.00	4.40	90.0	3.96
12/01/2017	FLEEGER, JANICE	AM FUNDS NEW ECONOMY A	0.00	1.70	0.00	1.70	90.0	1.53
12/01/2017	MCARDLE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	3.31	0.00	3.31	90.0	2.98
12/01/2017	LAWSON TRUST	AM FUNDS NEW ECONOMY A	0.00	21.73	0.00	21.73	90.0	19.56
12/01/2017	DAGER, DONNA	AM FUNDS NEW ECONOMY A	0.00	6.08	0.00	6.08	90.0	5.47
12/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	0.87	0.00	0.87	90.0	0.78
11/20/2017	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	6.39	0.00	6.39	90.0	5.75
12/01/2017	POORMAN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.82	0.00	1.82	90.0	1.64

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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>								
12/01/2017	TIMMS, JOAN	AM FUNDS NEW PERSPECTIVE A	0.00	18.88	0.00	18.88	90.0	16.99
12/01/2017	PINNELL, J MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	3.69	0.00	3.69	90.0	3.32
12/01/2017	FISCHER, HELEN	AM FUNDS NEW PERSPECTIVE A	0.00	5.22	0.00	5.22	90.0	4.70
12/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	61.42	0.00	61.42	90.0	55.28
12/01/2017	SIMPSON, LYLE	AM FUNDS NEW PERSPECTIVE A	0.00	10.24	0.00	10.24	90.0	9.22
12/01/2017	SIMPSON, KATHRYN	AM FUNDS NEW PERSPECTIVE A	0.00	9.18	0.00	9.18	90.0	8.26
12/01/2017	BAILEY, TERRY	AM FUNDS NEW PERSPECTIVE A	0.00	3.71	0.00	3.71	90.0	3.34
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	MURPHY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	5.50	0.00	5.50	90.0	4.95
12/01/2017	WILLING, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	5.89	0.00	5.89	90.0	5.30
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	3.03	0.00	3.03	90.0	2.73
12/01/2017	AMARO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	3.48	0.00	3.48	90.0	3.13
12/01/2017	SAINSBURY, DALE	AM FUNDS NEW PERSPECTIVE A	0.00	2.03	0.00	2.03	90.0	1.83
12/01/2017	BURNS, MARCIA	AM FUNDS NEW PERSPECTIVE A	0.00	8.74	0.00	8.74	90.0	7.87
12/01/2017	WOEHNKER, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	2.03	0.00	2.03	90.0	1.83
12/01/2017	NEWBAUER, GINGER	AM FUNDS NEW PERSPECTIVE A	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	MILLER, JULIE	AM FUNDS NEW PERSPECTIVE A	0.00	2.19	0.00	2.19	90.0	1.97
12/01/2017	BOKHART, GORDON	AM FUNDS NEW PERSPECTIVE A	0.00	5.90	0.00	5.90	90.0	5.31
12/01/2017	OAKES, ERIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	90.0	0.85
12/01/2017	AMBRIOLE, JANICE	AM FUNDS NEW PERSPECTIVE A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	BAILEY, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	1.08	0.00	1.08	90.0	0.97
12/01/2017	PATEL, GITA	AM FUNDS NEW PERSPECTIVE A	0.00	10.68	0.00	10.68	90.0	9.61
12/01/2017	HUNTER, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	1.53	0.00	1.53	90.0	1.38
12/01/2017	BENSON, KARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	NICOLET, CHERYL	AM FUNDS NEW PERSPECTIVE A	0.00	35.67	0.00	35.67	90.0	32.10
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW PERSPECTIVE A	0.00	3.78	0.00	3.78	90.0	3.40
12/01/2017	URICK, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	3.11	0.00	3.11	90.0	2.80
12/01/2017	LAWSON TRUST	AM FUNDS NEW PERSPECTIVE A	0.00	19.37	0.00	19.37	90.0	17.43
12/01/2017	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	0.00	5.24	0.00	5.24	90.0	4.72
12/01/2017	OAKES, ERIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	MULDOON, MARGARET	AM FUNDS NEW PERSPECTIVE A	0.00	1.25	0.00	1.25	90.0	1.13
12/01/2017	COGDELL, CARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.72	0.00	0.72	90.0	0.65
12/01/2017	COGDELL, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	1.98	0.00	1.98	90.0	1.78

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	NICOLET, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	18.88	0.00	18.88	90.0	16.99
12/01/2017	DELAGARZA, DEBRA	AM FUNDS NEW PERSPECTIVE A	0.00	1.67	0.00	1.67	90.0	1.50
12/01/2017	HERBER, TRINA	AM FUNDS NEW PERSPECTIVE A	0.00	6.31	0.00	6.31	90.0	5.68
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW PERSPECTIVE A	0.00	0.44	0.00	0.44	90.0	0.40
12/01/2017	SAMELS, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	STANSBERRY, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	3.02	0.00	3.02	90.0	2.72
12/01/2017	OAKES, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	ZINN, JEANNETTE	AM FUNDS NEW PERSPECTIVE A	0.00	5.96	0.00	5.96	90.0	5.36
12/01/2017	HEES, TAMERA	AM FUNDS NEW PERSPECTIVE A	0.00	2.67	0.00	2.67	90.0	2.40
12/01/2017	HERRIMAN, JANET	AM FUNDS NEW PERSPECTIVE A	0.00	1.32	0.00	1.32	90.0	1.19
12/01/2017	PATEL, JASWANT	AM FUNDS NEW PERSPECTIVE A	0.00	6.78	0.00	6.78	90.0	6.10
12/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	4.82	0.00	4.82	90.0	4.34
12/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	2.56	0.00	2.56	90.0	2.30
12/01/2017	VLOT, KATHRYN	AM FUNDS NEW PERSPECTIVE A	0.00	1.49	0.00	1.49	90.0	1.34
12/01/2017	EAGLESON, MYSTEE	AM FUNDS NEW PERSPECTIVE A	0.00	1.44	0.00	1.44	90.0	1.30
12/01/2017	JONES, TIM	AM FUNDS NEW PERSPECTIVE A	0.00	1.15	0.00	1.15	90.0	1.04
12/01/2017	HOEFFEL, GREGGORY	AM FUNDS NEW PERSPECTIVE A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	NEWBAUER, CAMERON	AM FUNDS NEW PERSPECTIVE A	0.00	9.00	0.00	9.00	90.0	8.10
12/01/2017	IN/TOD	AM FUNDS NEW PERSPECTIVE A	0.00	2.03	0.00	2.03	90.0	1.83
12/01/2017	DRUHOT, SCOTT	AM FUNDS NEW PERSPECTIVE C	0.00	0.64	0.00	0.64	90.0	0.58
11/20/2017	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	5.62	0.00	5.62	90.0	5.06
12/01/2017	TUCKER, CHARLOTTE	AM FUNDS NEW WORLD A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	TUCKER, SEAN	AM FUNDS NEW WORLD A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	FREER, TYLER	AM FUNDS NEW WORLD A	0.00	1.13	0.00	1.13	90.0	1.02
12/01/2017	POORMAN, MICHAEL	AM FUNDS NEW WORLD A	0.00	1.38	0.00	1.38	90.0	1.24
12/01/2017	TIMMS, JOAN	AM FUNDS NEW WORLD A	0.00	12.65	0.00	12.65	90.0	11.39
12/01/2017	PINNELL, J MICHAEL	AM FUNDS NEW WORLD A	0.00	3.04	0.00	3.04	90.0	2.74
12/01/2017	SIMPSON, LYLE	AM FUNDS NEW WORLD A	0.00	7.64	0.00	7.64	90.0	6.88
12/01/2017	SIMPSON, KATHRYN	AM FUNDS NEW WORLD A	0.00	7.34	0.00	7.34	90.0	6.61
12/01/2017	BAILEY, TERRY	AM FUNDS NEW WORLD A	0.00	5.94	0.00	5.94	90.0	5.35
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS NEW WORLD A	0.00	2.31	0.00	2.31	90.0	2.08
12/01/2017	DERBYSHIRE, JAMES	AM FUNDS NEW WORLD A	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	MILLER, JULIE	AM FUNDS NEW WORLD A	0.00	1.47	0.00	1.47	90.0	1.32

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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>								
12/01/2017	BOKHART, GORDON	AM FUNDS NEW WORLD A	0.00	4.62	0.00	4.62	90.0	4.16
12/01/2017	OAKES, ERIN	AM FUNDS NEW WORLD A	0.00	0.72	0.00	0.72	90.0	0.65
12/01/2017	MUSSEY, LORI	AM FUNDS NEW WORLD A	0.00	2.42	0.00	2.42	90.0	2.18
12/01/2017	AMBRIOLE, JANICE	AM FUNDS NEW WORLD A	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	MURPHY, SUSAN	AM FUNDS NEW WORLD A	0.00	0.65	0.00	0.65	90.0	0.59
12/01/2017	PATEL, GITA	AM FUNDS NEW WORLD A	0.00	3.75	0.00	3.75	90.0	3.38
12/01/2017	CLARK, KATHLEEN	AM FUNDS NEW WORLD A	0.00	2.63	0.00	2.63	90.0	2.37
12/01/2017	HUNTER, JENNIFER	AM FUNDS NEW WORLD A	0.00	4.37	0.00	4.37	90.0	3.93
12/01/2017	BENSON, KARY	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW WORLD A	0.00	1.69	0.00	1.69	90.0	1.52
12/01/2017	RAMUS, ERIC	AM FUNDS NEW WORLD A	0.00	1.13	0.00	1.13	90.0	1.02
12/01/2017	RAMUS, CHAD	AM FUNDS NEW WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
12/01/2017	RAMUS, MEGAN	AM FUNDS NEW WORLD A	0.00	1.43	0.00	1.43	90.0	1.29
12/01/2017	RAMUS, MICHELLE	AM FUNDS NEW WORLD A	0.00	1.65	0.00	1.65	90.0	1.49
12/01/2017	GRIME, STEPHEN	AM FUNDS NEW WORLD A	0.00	11.85	0.00	11.85	90.0	10.67
12/01/2017	MCARDLE, SHAWN	AM FUNDS NEW WORLD A	0.00	4.86	0.00	4.86	90.0	4.37
12/01/2017	MCARDLE, LINDA	AM FUNDS NEW WORLD A	0.00	4.69	0.00	4.69	90.0	4.22
12/01/2017	HARKELROAD, JOY	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	GOODMAN, STEPHANIE	AM FUNDS NEW WORLD A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	URICK, DAVID	AM FUNDS NEW WORLD A	0.00	2.16	0.00	2.16	90.0	1.94
12/01/2017	HECKLER, MARTHA	AM FUNDS NEW WORLD A	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	LAWSON TRUST	AM FUNDS NEW WORLD A	0.00	21.99	0.00	21.99	90.0	19.79
12/01/2017	ROEMER, SHERRI	AM FUNDS NEW WORLD A	0.00	5.56	0.00	5.56	90.0	5.00
12/01/2017	GOODMAN, ROBERT	AM FUNDS NEW WORLD A	0.00	8.75	0.00	8.75	90.0	7.88
12/01/2017	KUNKEL, AMELIA	AM FUNDS NEW WORLD A	0.00	2.44	0.00	2.44	90.0	2.20
12/01/2017	GALENTINE, ASHLEY	AM FUNDS NEW WORLD A	0.00	1.45	0.00	1.45	90.0	1.31
12/01/2017	AMARO, ETHAN	AM FUNDS NEW WORLD A	0.00	1.31	0.00	1.31	90.0	1.18
12/01/2017	DEATRICK, AMANDA	AM FUNDS NEW WORLD A	0.00	14.04	0.00	14.04	90.0	12.64
12/01/2017	MUSKIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	MUSKIN, VERONICA	AM FUNDS NEW WORLD A	0.00	2.44	0.00	2.44	90.0	2.20
12/01/2017	OAKES, ERIN	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	MULDOON, MARGARET	AM FUNDS NEW WORLD A	0.00	0.91	0.00	0.91	90.0	0.82
12/01/2017	COGDELL, CARY	AM FUNDS NEW WORLD A	0.00	1.28	0.00	1.28	90.0	1.15

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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								
12/01/2017	COGDELL, JENNIFER	AM FUNDS NEW WORLD A	0.00	2.33	0.00	2.33	90.0	2.10
12/01/2017	NICOLET, MICHAEL	AM FUNDS NEW WORLD A	0.00	14.26	0.00	14.26	90.0	12.83
12/01/2017	DELAGARZA, DEBRA	AM FUNDS NEW WORLD A	0.00	1.15	0.00	1.15	90.0	1.04
12/01/2017	BROOKS, AUSTIN	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	BROOKS, COURTNEY	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	BROOKS, ALLISON	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	BROOKS, SHARON	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	HERBER, TRINA	AM FUNDS NEW WORLD A	0.00	4.83	0.00	4.83	90.0	4.35
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW WORLD A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	OTIS, JASON	AM FUNDS NEW WORLD A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	SAMELS, GREGORY	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	STANSBERRY, NANCY	AM FUNDS NEW WORLD A	0.00	2.18	0.00	2.18	90.0	1.96
12/01/2017	NEWBAUER, COLSTON	AM FUNDS NEW WORLD A	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	OAKES, ANDREW	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	ZINN, JEANNETTE	AM FUNDS NEW WORLD A	0.00	5.28	0.00	5.28	90.0	4.75
12/01/2017	SHERIDAN, BROOKE	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	NEWBAUER, COLSTON	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	90.0	0.53
12/01/2017	GRIME, STEPHEN	AM FUNDS NEW WORLD A	0.00	3.96	0.00	3.96	90.0	3.56
12/01/2017	HEES, TAMERA	AM FUNDS NEW WORLD A	0.00	1.88	0.00	1.88	90.0	1.69
12/01/2017	SIEGER, RODNEY	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	HERRIMAN, JANET	AM FUNDS NEW WORLD A	0.00	0.97	0.00	0.97	90.0	0.87
12/01/2017	THURSTON, TIMOTHY	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	90.0	0.20
12/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	0.00	3.96	0.00	3.96	90.0	3.56
12/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	VLOT, KATHRYN	AM FUNDS NEW WORLD A	0.00	1.00	0.00	1.00	90.0	0.90
12/01/2017	WEAVER, JACOB	AM FUNDS NEW WORLD A	0.00	0.70	0.00	0.70	90.0	0.63
12/01/2017	COCKROFT, EDYA	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	EAGLESON, MYSTEE	AM FUNDS NEW WORLD A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	JONES, TIM	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	NEWBAUER, CAMERON	AM FUNDS NEW WORLD A	0.00	6.29	0.00	6.29	90.0	5.66
12/01/2017	HARKELROAD, JOY	AM FUNDS NEW WORLD C	0.00	1.27	0.00	1.27	90.0	1.14
12/01/2017	DRUHOT, SCOTT	AM FUNDS NEW WORLD C	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	DRUHOT, SCOTT	AM FUNDS NEW WORLD FUND F1	0.00	0.44	0.00	0.44	90.0	0.40

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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>								
12/01/2017	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.17	0.00	3.17	90.0	2.85
12/01/2017	SHANK, DEAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.05	0.00	1.05	90.0	0.95
12/01/2017	SHANK, CAROLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.61	0.00	0.61	90.0	0.55
12/01/2017	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.62	0.00	5.62	90.0	5.06
12/01/2017	NICOLET, CHERYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	14.22	0.00	14.22	90.0	12.80
12/01/2017	WILKIN, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.95	0.00	6.95	90.0	6.26
12/01/2017	COCKROFT, EDYTHE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.96	0.00	2.96	90.0	2.66
12/01/2017	SIEBER, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.08	0.00	5.08	90.0	4.57
12/01/2017	KINDSCHY, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.71	0.00	3.71	90.0	3.34
12/01/2017	RATTY, MICHAEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	COCKROFT, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.87	0.00	1.87	90.0	1.68
12/01/2017	KUMFER, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.27	0.00	6.27	90.0	5.64
12/01/2017	HELLER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.22	0.00	7.22	90.0	6.50
12/01/2017	PER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	SHANK, CAROLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.51	0.00	0.51	90.0	0.46
12/01/2017	BLAIR, BRIAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.08	0.00	2.08	90.0	1.87
12/01/2017	SIEBER, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.87	0.00	0.87	90.0	0.78
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.66	0.00	4.66	90.0	4.19
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.30	0.00	2.30	90.0	2.07
12/01/2017	RATTY, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.94	0.00	1.94	90.0	1.75
12/01/2017	LINSKY, MARCIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	12.49	0.00	12.49	90.0	11.24
12/01/2017	COCKROFT, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	CZARNECKI, DENNIS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	CACCAMO, MICHAEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.91	0.00	2.91	90.0	2.62
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.26	0.00	1.26	90.0	1.13
12/01/2017	COGDELL, CARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.49	0.00	4.49	90.0	4.04
12/01/2017	LOWDEN, JAMES	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.62	0.00	2.62	90.0	2.36
12/01/2017	HERBER, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.15	0.00	4.15	90.0	3.74
12/01/2017	LYTLE, KEAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.57	0.00	1.57	90.0	1.41
12/01/2017	HELLER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.99	0.00	1.99	90.0	1.79
12/01/2017	SULLIVAN, DIAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	SULLIVAN, DIAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.59	0.00	1.59	90.0	1.43
12/01/2017	IN/TOD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.51	0.00	1.51	90.0	1.36

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	PELFREY, KRISTEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	PELFREY, TODD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	PATEL, GITA	AM FUNDS SMALLCAP WORLD A	0.00	4.37	0.00	4.37	90.0	3.93
12/01/2017	GOODMAN, ROBERT	AM FUNDS SMALLCAP WORLD A	0.00	26.46	0.00	26.46	90.0	23.81
12/01/2017	GOODMAN, ROBERT	AM FUNDS SMALLCAP WORLD A	0.00	7.19	0.00	7.19	90.0	6.47
12/01/2017	GALENTINE, ASHLEY	AM FUNDS SMALLCAP WORLD A	0.00	8.38	0.00	8.38	90.0	7.54
12/01/2017	PATEL, JASWANT	AM FUNDS SMALLCAP WORLD A	0.00	3.36	0.00	3.36	90.0	3.02
12/01/2017	MURPHY, SHARI	AM FUNDS SMALLCAP WORLD A	0.00	70.64	0.00	70.64	90.0	63.58
12/01/2017	MURPHY, SHARI	AM FUNDS SMALLCAP WORLD A	0.00	4.23	0.00	4.23	90.0	3.81
12/01/2017	MURPHY, LOU	AM FUNDS SMALLCAP WORLD A	0.00	2.42	0.00	2.42	90.0	2.18
12/01/2017	MURPHY, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	8.85	0.00	8.85	90.0	7.97
12/01/2017	LOWDEN, KATHERINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	15.64	0.00	15.64	90.0	14.08
11/20/2017	TYGER, CATHIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	4.23	0.00	4.23	90.0	3.81
12/01/2017	HELLER, ADAM	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.64	0.00	3.64	90.0	3.28
12/01/2017	SIEBER, PAUL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.05	0.00	1.05	90.0	0.95
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	4.28	0.00	4.28	90.0	3.85
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.59	0.00	2.59	90.0	2.33
12/01/2017	LINSKY, MARCIA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.27	0.00	8.27	90.0	7.44
12/01/2017	CACCAMO, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.95	0.00	1.95	90.0	1.76
12/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.32	0.00	1.32	90.0	1.19
12/01/2017	O'CONNELL, KATHLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.54	0.00	1.54	90.0	1.39
12/01/2017	HELLER, ADAM	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	CAPPLEMAN, BETTIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.21	0.00	12.21	90.0	10.99
12/01/2017	POORMAN, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.41	0.00	2.41	90.0	2.17
12/01/2017	PINNELL, J MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.96
12/01/2017	FISCHER, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.01	0.00	0.01	90.0	0.01
12/01/2017	WILLING, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.72	0.00	3.72	90.0	3.35
12/01/2017	TULLOCH, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	90.0	0.66
12/01/2017	SIMPSON, LYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.27	0.00	9.27	90.0	8.34
12/01/2017	SIMPSON, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.54	0.00	9.54	90.0	8.59
12/01/2017	BROCKMANO, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.07	0.00	0.07	90.0	0.06
12/01/2017	BAILEY, TERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.24	0.00	7.24	90.0	6.52
12/01/2017	CALKINS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	90.0	1.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	DILLIE, KERI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.24	0.00	7.24	90.0	6.52
12/01/2017	MORHART, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.10	0.00	2.10	90.0	1.89
12/01/2017	MORHART, KAY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.31	0.00	4.31	90.0	3.88
12/01/2017	MEIER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	90.0	0.88
12/01/2017	SWAIDNER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.78	0.00	3.78	90.0	3.40
12/01/2017	NEWBAUER, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	90.0	0.55
12/01/2017	MCDUGAL, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	90.0	1.36
12/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	90.0	1.04
12/01/2017	MURPHY, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	SAINSBURY, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.37	0.00	4.37	90.0	3.93
12/01/2017	AMARO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.79	0.00	8.79	90.0	7.91
12/01/2017	BRUNTON, JOSEI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	BRUNTON, AKTSGA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	BURNS, MARCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	90.0	0.95
12/01/2017	MORHART, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.64	0.00	3.64	90.0	3.28
12/01/2017	VIELKIND, LAWRENCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	90.0	2.74
12/01/2017	WOEHNKER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	1.09
12/01/2017	FRANKS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	90.0	0.68
12/01/2017	MILLER, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.14	0.00	9.14	90.0	8.23
12/01/2017	BOKHART, GORDON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.41	0.00	8.41	90.0	7.57
12/01/2017	OAKES, ERIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	1.09
12/01/2017	BRUNTON, GABRIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	WILLIAM, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	AMBRIOLE, JANICE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	CLARK, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.36	0.00	2.36	90.0	2.12
12/01/2017	MURPHY, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	90.0	0.36
12/01/2017	ZINN, DIANE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.95	0.00	3.95	90.0	3.56
12/01/2017	SORG, RIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.52	0.00	2.52	90.0	2.27
12/01/2017	CSUHTA, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	90.0	2.74
12/01/2017	AMARO, SOPHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.94	0.00	6.94	90.0	6.25
12/01/2017	BENSON, KARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	90.0	0.32
12/01/2017	WINFIELD, APRIL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.10	0.00	3.10	90.0	2.79
12/01/2017	MAHONY, KAMI LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.10	0.00	3.10	90.0	2.79

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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>								
12/01/2017	NICOLET, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.79	0.00	13.79	90.0	12.41
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.11	0.00	3.11	90.0	2.80
12/01/2017	SAINSBURY, DALE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	SAMUDIO, SHERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.66	0.00	7.66	90.0	6.89
12/01/2017	WILKIN, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.27	0.00	2.27	90.0	2.04
12/01/2017	COCKROFT, EDYTHE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.33	0.00	4.33	90.0	3.90
12/01/2017	URICK, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.64	0.00	5.64	90.0	5.08
12/01/2017	WIGGINS, CHRISTA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.14	0.00	2.14	90.0	1.93
12/01/2017	RATTY, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	GALENTINE, ASHLEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	AMARO, ETHAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.45	0.00	1.45	90.0	1.31
12/01/2017	MUSKIN, VERONICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.41	0.00	3.41	90.0	3.07
12/01/2017	MULDOON, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	COGDELL, CARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	90.0	1.40
12/01/2017	NICOLET, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.13	0.00	7.13	90.0	6.42
12/01/2017	DELAGARZA, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.60	0.00	2.60	90.0	2.34
12/01/2017	HERBER, TRINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.64	0.00	5.64	90.0	5.08
12/01/2017	DERBYSHIRE, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.49	0.00	0.49	90.0	0.44
12/01/2017	SAMELS, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	90.0	0.14
12/01/2017	STANSBERRY, NANCY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.07	0.00	3.07	90.0	2.76
12/01/2017	MEIER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.13	0.00	0.13	90.0	0.12
12/01/2017	OAKES, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	ZINN, JEANNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.81	0.00	8.81	90.0	7.93
12/01/2017	HEES, TAMERA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.21	0.00	4.21	90.0	3.79
12/01/2017	FLORENCE, SHIRLEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	90.0	1.00
12/01/2017	LOWDEN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.75	0.00	13.75	90.0	12.38
12/01/2017	DEJOHN, SHARLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.53	0.00	11.53	90.0	10.38
12/01/2017	NEWBAUER, CAMERON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.72	0.00	4.72	90.0	4.25
12/01/2017	MURPHY, LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.01	0.00	2.01	90.0	1.81
12/01/2017	MURPHY, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.86	0.00	7.86	90.0	7.07
12/01/2017	RAMEY, TRAVIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	BRUNTON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	ZINN, JEFFREY	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.86	0.00	2.86	90.0	2.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MESEKE, GILBERT	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.09	0.00	2.09	90.0	1.88
12/01/2017	LAYMAN, VICKI	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	WILKIN, CYNTHIA	AMERICAN FUNDS CORPORATE BOND FD A	0.00	7.16	0.00	7.16	90.0	6.44
12/01/2017	RAMEY, MELISSA	AMERICAN FUNDS CORPORATE BOND FD A	0.00	0.44	0.00	0.44	90.0	0.40
11/20/2017	TYGER, CATHIE	AMERICAN FUNDS INFLATION LINKED BON	0.00	4.33	0.00	4.33	90.0	3.90
11/13/2017	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.63	0.00	0.63	90.0	0.57
11/13/2017	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.63	0.00	0.63	90.0	0.57
11/13/2017	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.61	0.00	0.61	90.0	0.55
11/13/2017	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.61	0.00	0.61	90.0	0.55
11/13/2017	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.42	0.00	2.42	90.0	2.18
11/16/2017	DERBYSHIRE TRUST, KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.32	0.00	5.32	90.0	4.79
11/16/2017	DERBYSHIRE TRUST, KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.95	0.00	15.95	90.0	14.36
11/16/2017	DERBYSHIRE, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.52	0.00	5.52	90.0	4.97
11/16/2017	DERBYSHIRE, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	16.57	0.00	16.57	90.0	14.91
11/16/2017	HARMEYER, SHARYN	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.76	0.00	8.76	90.0	7.88
11/16/2017	HARMEYER, SHARYN	GRIFFIN INST'L ACCESS R E FUND C	0.00	26.27	0.00	26.27	90.0	23.64
11/16/2017	WILLING, LEONARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.66	0.00	8.66	90.0	7.79
11/16/2017	WILLING, LEONARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	25.98	0.00	25.98	90.0	23.38
11/16/2017	PEPPLE, GLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.24	0.00	3.24	90.0	2.92
11/16/2017	PEPPLE, GLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.71	0.00	9.71	90.0	8.74
11/16/2017	BYRUM JR, GERALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.79	0.00	9.79	90.0	8.81
11/16/2017	BYRUM JR, GERALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	29.37	0.00	29.37	90.0	26.43
11/16/2017	MURPHY, SUSAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.82	0.00	10.82	90.0	9.74
11/16/2017	MURPHY, SUSAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	32.47	0.00	32.47	90.0	29.22
11/16/2017	DAILEY, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.02	0.00	11.02	90.0	9.92
11/16/2017	DAILEY, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	33.06	0.00	33.06	90.0	29.75
11/16/2017	ZEEDYK, JANET	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.26	0.00	8.26	90.0	7.43
11/16/2017	ZEEDYK, JANET	GRIFFIN INST'L ACCESS R E FUND C	0.00	24.78	0.00	24.78	90.0	22.30
11/16/2017	BUSH, SANDRA	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.69	0.00	8.69	90.0	7.82
11/16/2017	BUSH, SANDRA	GRIFFIN INST'L ACCESS R E FUND C	0.00	26.08	0.00	26.08	90.0	23.47
11/16/2017	DIETSCH, DANIEL	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.71	0.00	9.71	90.0	8.74
11/16/2017	DIETSCH, DANIEL	GRIFFIN INST'L ACCESS R E FUND C	0.00	29.13	0.00	29.13	90.0	26.22
11/20/2017	KAUFFMAN, JOHN	INFLATION LINKED BOND FUND A	0.00	0.21	0.00	0.21	90.0	0.19

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/20/2017	KAUFFMAN, JOHN	INFLATION LINKED BOND FUND A	0.00	0.42	0.00	0.42	90.0	0.38
11/20/2017	FEDLER, CHARLES	INFLATION LINKED BOND FUND A	0.00	0.64	0.00	0.64	90.0	0.58
11/20/2017	REMENSCHNEIDER, MARY	INFLATION LINKED BOND FUND A	0.00	0.53	0.00	0.53	90.0	0.48
11/20/2017	HOFFMAN, MARK	INFLATION LINKED BOND FUND A	0.00	0.82	0.00	0.82	90.0	0.74
12/01/2017	NICOLET, CHERYL	INFLATION LINKED BOND FUND A	0.00	14.16	0.00	14.16	90.0	12.74
12/01/2017	WILKIN, CYNTHIA	INFLATION LINKED BOND FUND A	0.00	6.95	0.00	6.95	90.0	6.26
12/01/2017	HELLER, ADAM	INFLATION LINKED BOND FUND A	0.00	7.49	0.00	7.49	90.0	6.74
12/01/2017	PER, ADAM	INFLATION LINKED BOND FUND A	0.00	1.92	0.00	1.92	90.0	1.73
12/01/2017	LINSKY, MARCIA	INFLATION LINKED BOND FUND A	0.00	12.73	0.00	12.73	90.0	11.46
12/01/2017	CACCAMO, MICHAEL	INFLATION LINKED BOND FUND A	0.00	3.90	0.00	3.90	90.0	3.51
12/01/2017	LYTLE, KEAN	INFLATION LINKED BOND FUND A	0.00	1.58	0.00	1.58	90.0	1.42
12/01/2017	HELLER, ADAM	INFLATION LINKED BOND FUND A	0.00	2.75	0.00	2.75	90.0	2.48
12/01/2017	SULLIVAN, DIAN	INFLATION LINKED BOND FUND A	0.00	0.88	0.00	0.88	90.0	0.79
12/01/2017	SULLIVAN, DIAN	INFLATION LINKED BOND FUND A	0.00	3.16	0.00	3.16	90.0	2.84
12/01/2017	RAMEY, MELISSA	INFLATION LINKED BOND FUND A	0.00	0.69	0.00	0.69	90.0	0.62
12/01/2017	RAMEY, MELISSA	INFLATION LINKED BOND FUND A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	IN/TOD	INFLATION LINKED BOND FUND A	0.00	1.50	0.00	1.50	90.0	1.35
11/21/2017	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.85	0.00	0.85	90.0	0.77
11/21/2017	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	5.42	0.00	5.42	90.0	4.88
11/21/2017	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.98	0.00	1.98	90.0	1.78
11/21/2017	COLCORD, ALNETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	31.76	0.00	31.76	90.0	28.58
11/13/2017	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	11.28	0.00	11.28	90.0	10.15
11/16/2017	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.72	0.00	7.72	90.0	6.95
12/04/2017	LUDWIG, KENDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.52	0.00	2.52	90.0	2.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,152.62	\$0.00	\$6,152.62		\$5,537.95
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
11/21/2017	LAYMAN, KEITH	TRANSAMERICA TRAILS	0.00	66.78	0.00	66.78	90.0	60.10
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$66.78	\$0.00	\$66.78		\$60.10
*** DIRECT TRANSACTIONS TOTAL ***			\$23,359.07	\$6,323.78	\$0.00	\$6,323.78		\$5,691.98

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10</u>								
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.17	0.00	0.17	90.0	0.15
12/04/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	90.0	0.15
12/04/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	0.41	0.00	0.41	90.0	0.37
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$75.00	\$0.75	\$0.00	\$0.75		\$0.67
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
12/01/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	0.00	1.75	0.00	1.75	90.0	1.58
12/01/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	0.00	1.23	0.00	1.23	90.0	1.11
12/01/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	0.00	2.29	0.00	2.29	90.0	2.06
12/01/2017	DREW, KEVIN	AM FUNDS 2050 TARGET DATE-A	0.00	1.46	0.00	1.46	90.0	1.31
12/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	0.00	5.21	0.00	5.21	90.0	4.69
12/01/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	0.00	1.40	0.00	1.40	90.0	1.26
11/20/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.31	0.00	0.31	90.0	0.28
11/20/2017	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
11/20/2017	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.10	0.00	0.10	90.0	0.09
11/20/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	90.0	0.10
11/20/2017	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
11/20/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	90.0	0.10
11/22/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	125.00	2.18	0.00	2.18	90.0	1.96
12/01/2017	VICKREY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	FITCH, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	1.83	0.00	1.83	90.0	1.65
12/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	0.00	1.32	0.00	1.32	90.0	1.19
12/01/2017	LITWINKO, TERI	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.50
12/01/2017	ROBERTSON, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	0.01	0.00	0.01	90.0	0.01
12/01/2017	STRACK, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.36	0.00	0.36	90.0	0.32
12/01/2017	SCHENKEL, HUNTER	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	90.0	0.11
12/01/2017	STANLEY, LAURA	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
12/01/2017	STANLEY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	OTENEY, ASHLEY	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	BAILEY, BENJAMIN	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	SILKWORTH, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.02	0.00	1.02	90.0	0.92
12/01/2017	HABESHY, MAGDY	AM FUNDS AMERICAN BALANCED C	0.00	5.15	0.00	5.15	90.0	4.64
11/20/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.22	0.00	0.22	90.0	0.20

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
11/20/2017	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	IN/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	STANLEY, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.56	0.00	0.56	90.0	0.50
12/01/2017	STANLEY, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	90.0	0.54
12/01/2017	STANLEY, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	90.0	0.24
11/20/2017	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	90.0	0.12
12/01/2017	ROOS, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	90.0	1.12
12/01/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	90.0	0.35
12/01/2017	VICKREY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.89	0.00	0.89	90.0	0.80
12/01/2017	FITCH, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	90.0	0.30
12/01/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	90.0	0.02
12/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	90.0	0.24
11/20/2017	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	90.0	0.19
12/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.46	0.00	0.46	90.0	0.41
11/20/2017	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.60	0.00	0.60	90.0	0.54
12/01/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
12/01/2017	VICKREY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.09	0.00	1.09	90.0	0.98
12/01/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.31	0.00	2.31	90.0	2.08
12/01/2017	FITCH, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	90.0	0.37
12/01/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.00	0.00	0.00	90.0	0.00
12/01/2017	STRACK, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
12/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	90.0	0.52
12/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	90.0	0.51
12/01/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
11/20/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.19	0.00	0.19	90.0	0.17
12/01/2017	STANLEY, LAURA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
11/20/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	STANLEY, LAURA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	IN/TOD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	STANLEY, LAURA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	IN/TOD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.31	0.00	0.31	90.0	0.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
11/20/2017	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	90.0	0.16
11/27/2017	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	100.00	1.66	0.00	1.66	90.0	1.49
11/30/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.10	0.00	0.10	90.0	0.09
12/04/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.13	0.00	0.13	90.0	0.12
11/30/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.24	0.00	0.24	90.0	0.22
12/04/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	90.0	0.09
11/30/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.41	0.00	0.41	90.0	0.37
11/30/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.24	0.00	0.24	90.0	0.22
11/30/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
12/04/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.64	0.00	0.64	90.0	0.58
12/04/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
12/04/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
11/16/2017	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	1.11	0.00	1.11	90.0	1.00
11/20/2017	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	4.63	0.00	4.63	90.0	4.17
11/24/2017	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.19	0.00	0.19	90.0	0.17
11/22/2017	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.68	0.00	0.68	90.0	0.61
11/30/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.10	0.00	0.10	90.0	0.09
11/20/2017	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.26	0.00	0.26	90.0	0.23
12/01/2017	STANLEY, JOHN	INFLATION LINKED BOND FUND A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	STANLEY, LAURA	INFLATION LINKED BOND FUND A	0.00	0.34	0.00	0.34	90.0	0.31
12/01/2017	IN/TOD	INFLATION LINKED BOND FUND A	0.00	0.36	0.00	0.36	90.0	0.32
11/14/2017	SITES, TEGAN	LORD ABBETT SHORT DURATION INCOME A	0.00	0.14	0.00	0.14	90.0	0.13
11/24/2017	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.33	0.00	1.33	90.0	1.20
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$580.00	\$62.10	\$0.00	\$62.10		\$55.94
*** SPLIT TRANSACTIONS TOTAL ***			\$655.00	\$62.85	\$0.00	\$62.85		\$56.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: WILLIAM LAYMAN #207</u>								
12/01/2017	LAYMAN, GEOFFREY	AM FUNDS AMERICAN BALANCED A	0.00	1.55	0.00	1.55	45.0	0.70
12/01/2017	DIRIG, SARAH	AM FUNDS AMERICAN BALANCED A	0.00	0.68	0.00	0.68	45.0	0.31
12/01/2017	PALADINO, KAITLYN	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	45.0	0.15
12/01/2017	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	0.00	0.46	0.00	0.46	45.0	0.21
* WILLIAM LAYMAN SUBTOTAL *			\$0.00	\$3.02	\$0.00	\$3.02		\$1.37
*** OVERRIDE TRANSACTIONS TOTAL ***			\$0.00	\$3.02	\$0.00	\$3.02		\$1.37

ADJUSTMENTS

12/15/2017	*: PERSHIG BOOKS & RECORDS	0.00						-3.48
12/15/2017	*: PERSHING: BLOCK TRADE REBALANCE	0.00						-42.00
12/15/2017	*: PERSHING: MF PROSPECTUS MAILING	0.00						-1.63
12/15/2017	*ALBRIDGE: LIGH USER	0.00						-76.00
12/15/2017	*EO INSURANCE: CURRENT MONTH INS	0.00						-300.00
12/15/2017	*EO INSURANCE: CURRENT MONTH INS-BI	0.00						-300.00
12/15/2017	*GLOBAL RELAY: WEBSITE	0.00						-15.00
12/15/2017	*LASER APP: CURRENT MONTH - KEITH	0.00						-18.00
12/15/2017	*LASER APP: LASER APP - BILL	0.00						-18.00
12/15/2017	*TECHNOLOGY: ADMIN - JAMIE BERNDT	0.00						-130.00
12/15/2017	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
12/15/2017	*TECHNOLOGY: CURRENT MONTH BASIC -	0.00						-180.00
12/15/2017	*TECHNOLOGY: LIMITED ADMIN - S BONA	0.00						-60.00
12/15/2017	*TECHNOLOGY: LIMITED ADMIN J WRIGHT	0.00						-60.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,384.11

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BROKER COMMISSION TOTALS

Broker Transactions	\$5,672.18
Split Transactions	\$56.61
Override Transactions	\$1.37
Adjustments	\$-1,384.11
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,346.05
Year-to-date Gross	\$57,311.73
Year-to-date Earnings	\$50,348.61