

**COMMISSION STATEMENT****February 28, 2018****MEREDITH MCCUTCHEN**

2161 Spring Grove Drive West

Mobile, AL 36695-

BROKER #: M131 Terminated 02/29/2016**BRANCH: MEREDITH MCCUTCHEN**

| 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> | | | | | | | | |
| 02/08/2016 | FOX, WILLIAM | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 11.07 | 0.00 | 11.07 | 0.0 | 0.00 |
| 03/09/2016 | FOX, WILLIAM | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 10.27 | 0.00 | 10.27 | 0.0 | 0.00 |
| 04/18/2016 | FOX, WILLIAM | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 12.11 | 0.00 | 12.11 | 0.0 | 0.00 |
| 02/16/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.02 | 0.00 | 18.02 | 0.0 | 0.00 |
| 03/15/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 16.80 | 0.00 | 16.80 | 0.0 | 0.00 |
| 04/20/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.66 | 0.00 | 18.66 | 0.0 | 0.00 |
| 05/16/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.42 | 0.00 | 18.42 | 0.0 | 0.00 |
| 06/15/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 19.07 | 0.00 | 19.07 | 0.0 | 0.00 |
| 07/18/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.55 | 0.00 | 18.55 | 0.0 | 0.00 |
| 08/15/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 19.49 | 0.00 | 19.49 | 0.0 | 0.00 |
| 09/16/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 19.61 | 0.00 | 19.61 | 0.0 | 0.00 |
| 10/17/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.81 | 0.00 | 18.81 | 0.0 | 0.00 |
| 11/18/2016 | TRAWICK, JERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.65 | 0.00 | 5.65 | 0.0 | 0.00 |
| 02/16/2016 | ALVERSON, PATRICIA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.86 | 0.00 | 3.86 | 0.0 | 0.00 |
| 02/16/2016 | LAWRENCE, CURTIS | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.52 | 0.00 | 0.52 | 0.0 | 0.00 |
| 02/16/2016 | PEARSON, KEITH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.31 | 0.00 | 3.31 | 0.0 | 0.00 |
| 02/16/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.11 | 0.00 | 3.11 | 0.0 | 0.00 |
| 03/15/2016 | ALVERSON, PATRICIA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.64 | 0.00 | 3.64 | 0.0 | 0.00 |
| 03/15/2016 | LAWRENCE, CURTIS | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| 03/15/2016 | PEARSON, KEITH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.12 | 0.00 | 3.12 | 0.0 | 0.00 |
| 03/15/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.93 | 0.00 | 2.93 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.31 | 0.00 | 1.31 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| 04/20/2016 | ALVERSON, PATRICIA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.90 | 0.00 | 2.90 | 0.0 | 0.00 |
| 04/20/2016 | LAWRENCE, CURTIS | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.55 | 0.00 | 0.55 | 0.0 | 0.00 |
| 04/20/2016 | PEARSON, KEITH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.52 | 0.00 | 3.52 | 0.0 | 0.00 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/20/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.30 | 0.00 | 3.30 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.91 | 0.00 | 3.91 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.00 | 0.00 | 4.00 | 0.0 | 0.00 |
| 05/16/2016 | LAWRENCE, CURTIS | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| 05/16/2016 | PEARSON, KEITH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.08 | 0.00 | 2.08 | 0.0 | 0.00 |
| 05/16/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.27 | 0.00 | 3.27 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.90 | 0.00 | 3.90 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.98 | 0.00 | 3.98 | 0.0 | 0.00 |
| 06/15/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.40 | 0.00 | 3.40 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.04 | 0.00 | 4.04 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.13 | 0.00 | 4.13 | 0.0 | 0.00 |
| 07/18/2016 | POWNALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.23 | 0.00 | 2.23 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.97 | 0.00 | 3.97 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.06 | 0.00 | 4.06 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.24 | 0.00 | 4.24 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.34 | 0.00 | 4.34 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.28 | 0.00 | 4.28 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.38 | 0.00 | 4.38 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.10 | 0.00 | 4.10 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.19 | 0.00 | 4.19 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.20 | 0.00 | 4.20 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.29 | 0.00 | 4.29 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, JERRY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.10 | 0.00 | 4.10 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.19 | 0.00 | 4.19 | 0.0 | 0.00 |
| 02/16/2016 | ALVERSON, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.14 | 0.00 | 2.14 | 0.0 | 0.00 |
| 02/16/2016 | LAWRENCE, CURTIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.54 | 0.00 | 0.54 | 0.0 | 0.00 |
| 02/16/2016 | PEARSON, KEITH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.68 | 0.00 | 2.68 | 0.0 | 0.00 |
| 02/16/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.93 | 0.00 | 0.93 | 0.0 | 0.00 |
| 02/16/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.33 | 0.00 | 1.33 | 0.0 | 0.00 |
| 03/15/2016 | ALVERSON, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.97 | 0.00 | 1.97 | 0.0 | 0.00 |
| 03/15/2016 | LAWRENCE, CURTIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| 03/15/2016 | PEARSON, KEITH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.46 | 0.00 | 2.46 | 0.0 | 0.00 |
| 03/15/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.85 | 0.00 | 0.85 | 0.0 | 0.00 |

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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> | | | | | | | | |
| 03/15/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.82 | 0.00 | 0.82 | 0.0 | 0.00 |
| 04/20/2016 | ALVERSON, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.58 | 0.00 | 1.58 | 0.0 | 0.00 |
| 04/20/2016 | LAWRENCE, CURTIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| 04/20/2016 | PEARSON, KEITH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.79 | 0.00 | 2.79 | 0.0 | 0.00 |
| 04/20/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.97 | 0.00 | 0.97 | 0.0 | 0.00 |
| 04/20/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.39 | 0.00 | 1.39 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.44 | 0.00 | 2.44 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.45 | 0.00 | 2.45 | 0.0 | 0.00 |
| 05/16/2016 | LAWRENCE, CURTIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| 05/16/2016 | PEARSON, KEITH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| 05/16/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.96 | 0.00 | 0.96 | 0.0 | 0.00 |
| 05/16/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.42 | 0.00 | 2.42 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.44 | 0.00 | 2.44 | 0.0 | 0.00 |
| 06/15/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.98 | 0.00 | 0.98 | 0.0 | 0.00 |
| 06/15/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.41 | 0.00 | 1.41 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.49 | 0.00 | 2.49 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.50 | 0.00 | 2.50 | 0.0 | 0.00 |
| 07/18/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.95 | 0.00 | 0.95 | 0.0 | 0.00 |
| 07/18/2016 | POWNALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.42 | 0.00 | 2.42 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.43 | 0.00 | 2.43 | 0.0 | 0.00 |
| 08/15/2016 | EMANUELE, GURUKAUR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.01 | 0.00 | 1.01 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.57 | 0.00 | 2.57 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.58 | 0.00 | 2.58 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.63 | 0.00 | 2.63 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.65 | 0.00 | 2.65 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.55 | 0.00 | 2.55 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.56 | 0.00 | 2.56 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.61 | 0.00 | 2.61 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |

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|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 12/15/2016 | MCCUTCHEN, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.49 | 0.00 | 2.49 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.50 | 0.00 | 2.50 | 0.0 | 0.00 |
| 02/16/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 03/15/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| 04/20/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 05/16/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 06/15/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 07/18/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 08/15/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 09/16/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 10/17/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 11/18/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 12/15/2016 | WEEKLEY, GROVER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 02/16/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.08 | 0.00 | 8.08 | 0.0 | 0.00 |
| 02/16/2016 | ALVERSON, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.54 | 0.00 | 2.54 | 0.0 | 0.00 |
| 02/16/2016 | LAWRENCE, CURTIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.53 | 0.00 | 0.53 | 0.0 | 0.00 |
| 02/16/2016 | PEARSON, KEITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.18 | 0.00 | 3.18 | 0.0 | 0.00 |
| 02/16/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| 02/16/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.11 | 0.00 | 3.11 | 0.0 | 0.00 |
| 03/15/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.30 | 0.00 | 7.30 | 0.0 | 0.00 |
| 03/15/2016 | ALVERSON, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.29 | 0.00 | 2.29 | 0.0 | 0.00 |
| 03/15/2016 | LAWRENCE, CURTIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.47 | 0.00 | 0.47 | 0.0 | 0.00 |
| 03/15/2016 | PEARSON, KEITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.88 | 0.00 | 2.88 | 0.0 | 0.00 |
| 03/15/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.06 | 0.00 | 1.06 | 0.0 | 0.00 |
| 03/15/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.81 | 0.00 | 2.81 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| 04/20/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| 04/20/2016 | ALVERSON, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| 04/20/2016 | LAWRENCE, CURTIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.54 | 0.00 | 0.54 | 0.0 | 0.00 |
| 04/20/2016 | PEARSON, KEITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.28 | 0.00 | 3.28 | 0.0 | 0.00 |
| 04/20/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.21 | 0.00 | 1.21 | 0.0 | 0.00 |
| 04/20/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.20 | 0.00 | 3.20 | 0.0 | 0.00 |

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|---|--------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/20/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.94 | 0.00 | 3.94 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.04 | 0.00 | 4.04 | 0.0 | 0.00 |
| 05/16/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| 05/16/2016 | LAWRENCE, CURTIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.34 | 0.00 | 0.34 | 0.0 | 0.00 |
| 05/16/2016 | PEARSON, KEITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.95 | 0.00 | 1.95 | 0.0 | 0.00 |
| 05/16/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.21 | 0.00 | 1.21 | 0.0 | 0.00 |
| 05/16/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.20 | 0.00 | 3.20 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.94 | 0.00 | 3.94 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.04 | 0.00 | 4.04 | 0.0 | 0.00 |
| 06/15/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.60 | 0.00 | 8.60 | 0.0 | 0.00 |
| 06/15/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.25 | 0.00 | 1.25 | 0.0 | 0.00 |
| 06/15/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.31 | 0.00 | 3.31 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.07 | 0.00 | 4.07 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.18 | 0.00 | 4.18 | 0.0 | 0.00 |
| 07/18/2016 | BANKS III, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.29 | 0.00 | 2.29 | 0.0 | 0.00 |
| 07/18/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| 07/18/2016 | POWNALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.00 | 0.00 | 4.00 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.10 | 0.00 | 4.10 | 0.0 | 0.00 |
| 08/15/2016 | EMANUELE, GURUKAUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.30 | 0.00 | 1.30 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.24 | 0.00 | 4.24 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.34 | 0.00 | 4.34 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.35 | 0.00 | 4.35 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.46 | 0.00 | 4.46 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.20 | 0.00 | 4.20 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.30 | 0.00 | 4.30 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.36 | 0.00 | 4.36 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.47 | 0.00 | 4.47 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, JERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.23 | 0.00 | 4.23 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.33 | 0.00 | 4.33 | 0.0 | 0.00 |
| 02/16/2016 | ALVERSON, PATRICIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.27 | 0.00 | 2.27 | 0.0 | 0.00 |
| 02/16/2016 | LAWRENCE, CURTIS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.55 | 0.00 | 0.55 | 0.0 | 0.00 |
| 02/16/2016 | PEARSON, KEITH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.86 | 0.00 | 2.86 | 0.0 | 0.00 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 02/16/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| 03/15/2016 | ALVERSON, PATRICIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.05 | 0.00 | 2.05 | 0.0 | 0.00 |
| 03/15/2016 | LAWRENCE, CURTIS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| 03/15/2016 | PEARSON, KEITH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.59 | 0.00 | 2.59 | 0.0 | 0.00 |
| 03/15/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.32 | 0.00 | 1.32 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.93 | 0.00 | 0.93 | 0.0 | 0.00 |
| 03/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.94 | 0.00 | 0.94 | 0.0 | 0.00 |
| 04/20/2016 | ALVERSON, PATRICIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| 04/20/2016 | LAWRENCE, CURTIS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| 04/20/2016 | PEARSON, KEITH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.94 | 0.00 | 2.94 | 0.0 | 0.00 |
| 04/20/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.51 | 0.00 | 1.51 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.75 | 0.00 | 2.75 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.76 | 0.00 | 2.76 | 0.0 | 0.00 |
| 05/16/2016 | LAWRENCE, CURTIS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| 05/16/2016 | PEARSON, KEITH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.75 | 0.00 | 1.75 | 0.0 | 0.00 |
| 05/16/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.50 | 0.00 | 1.50 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.73 | 0.00 | 2.73 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.75 | 0.00 | 2.75 | 0.0 | 0.00 |
| 06/15/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.54 | 0.00 | 1.54 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.80 | 0.00 | 2.80 | 0.0 | 0.00 |
| 06/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.81 | 0.00 | 2.81 | 0.0 | 0.00 |
| 07/18/2016 | POWNALL, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.00 | 0.00 | 1.00 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.72 | 0.00 | 2.72 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.74 | 0.00 | 2.74 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.89 | 0.00 | 2.89 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.90 | 0.00 | 2.90 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.96 | 0.00 | 2.96 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.97 | 0.00 | 2.97 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.86 | 0.00 | 2.86 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.88 | 0.00 | 2.88 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.94 | 0.00 | 2.94 | 0.0 | 0.00 |
| 11/18/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.95 | 0.00 | 2.95 | 0.0 | 0.00 |
| 12/15/2016 | MCCUTCHEN, JERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.79 | 0.00 | 2.79 | 0.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 12/15/2016 | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.81 | 0.00 | 2.81 | 0.0 | 0.00 |
| 02/22/2016 | OTTO, GLORIA | AMERICAN CENTURY SELECT FUND CLASS | 0.00 | 0.15 | 0.00 | 0.15 | 0.0 | 0.00 |
| 03/16/2016 | OTTO, GLORIA | AMERICAN CENTURY SELECT FUND CLASS | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| 04/21/2016 | OTTO, GLORIA | AMERICAN CENTURY SELECT FUND CLASS | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| 02/22/2016 | OTTO, GLORIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 0.12 | 0.00 | 0.12 | 0.0 | 0.00 |
| 03/16/2016 | OTTO, GLORIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 04/21/2016 | OTTO, GLORIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 02/08/2016 | ALVERSON, PATRICIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.23 | 0.00 | 2.23 | 0.0 | 0.00 |
| 02/08/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.28 | 0.00 | 6.28 | 0.0 | 0.00 |
| 02/08/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.99 | 0.00 | 17.99 | 0.0 | 0.00 |
| 02/08/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.02 | 0.00 | 2.02 | 0.0 | 0.00 |
| 02/08/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 21.22 | 0.00 | 21.22 | 0.0 | 0.00 |
| 02/08/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.24 | 0.00 | 4.24 | 0.0 | 0.00 |
| 02/08/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 02/08/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 02/08/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.11 | 0.00 | 7.11 | 0.0 | 0.00 |
| 02/08/2016 | GAILLARD, WILLIAM | CALVERT SHORT DURATION INCOME FUND | 0.00 | 12.54 | 0.00 | 12.54 | 0.0 | 0.00 |
| 02/08/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.86 | 0.00 | 17.86 | 0.0 | 0.00 |
| 02/08/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.10 | 0.00 | 4.10 | 0.0 | 0.00 |
| 02/08/2016 | PEARSON, KEITH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.46 | 0.00 | 4.46 | 0.0 | 0.00 |
| 02/08/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.05 | 0.00 | 2.05 | 0.0 | 0.00 |
| 02/08/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.05 | 0.00 | 2.05 | 0.0 | 0.00 |
| 02/08/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.77 | 0.00 | 1.77 | 0.0 | 0.00 |
| 02/08/2016 | HUTCHINSON, HERB | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.17 | 0.00 | 4.17 | 0.0 | 0.00 |
| 02/08/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.13 | 0.00 | 3.13 | 0.0 | 0.00 |
| 02/08/2016 | WHITE, JOHN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.40 | 0.00 | 2.40 | 0.0 | 0.00 |
| 02/08/2016 | DAVIS, MOLLIE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.07 | 0.00 | 4.07 | 0.0 | 0.00 |
| 02/08/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.95 | 0.00 | 4.95 | 0.0 | 0.00 |
| 02/08/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.11 | 0.00 | 3.11 | 0.0 | 0.00 |
| 02/08/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.03 | 0.00 | 7.03 | 0.0 | 0.00 |
| 02/08/2016 | KLUMPP, MARTHA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.10 | 0.00 | 3.10 | 0.0 | 0.00 |
| 02/08/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.12 | 0.00 | 4.12 | 0.0 | 0.00 |
| 02/08/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.44 | 0.00 | 4.44 | 0.0 | 0.00 |

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|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 02/08/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.18 | 0.00 | 5.18 | 0.0 | 0.00 |
| 02/08/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.31 | 0.00 | 6.31 | 0.0 | 0.00 |
| 03/07/2016 | ALVERSON, PATRICIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.08 | 0.00 | 2.08 | 0.0 | 0.00 |
| 03/07/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.86 | 0.00 | 5.86 | 0.0 | 0.00 |
| 03/07/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 16.83 | 0.00 | 16.83 | 0.0 | 0.00 |
| 03/07/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.89 | 0.00 | 1.89 | 0.0 | 0.00 |
| 03/07/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 19.81 | 0.00 | 19.81 | 0.0 | 0.00 |
| 03/07/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.96 | 0.00 | 3.96 | 0.0 | 0.00 |
| 03/07/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.71 | 0.00 | 1.71 | 0.0 | 0.00 |
| 03/07/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.71 | 0.00 | 1.71 | 0.0 | 0.00 |
| 03/07/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.64 | 0.00 | 6.64 | 0.0 | 0.00 |
| 03/07/2016 | GAILLARD, WILLIAM | CALVERT SHORT DURATION INCOME FUND | 0.00 | 11.73 | 0.00 | 11.73 | 0.0 | 0.00 |
| 03/07/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 16.70 | 0.00 | 16.70 | 0.0 | 0.00 |
| 03/07/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.83 | 0.00 | 3.83 | 0.0 | 0.00 |
| 03/07/2016 | PEARSON, KEITH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.17 | 0.00 | 4.17 | 0.0 | 0.00 |
| 03/07/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.92 | 0.00 | 1.92 | 0.0 | 0.00 |
| 03/07/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.92 | 0.00 | 1.92 | 0.0 | 0.00 |
| 03/07/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| 03/07/2016 | HUTCHINSON, HERB | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.90 | 0.00 | 3.90 | 0.0 | 0.00 |
| 03/07/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.93 | 0.00 | 2.93 | 0.0 | 0.00 |
| 03/07/2016 | WHITE, JOHN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.25 | 0.00 | 2.25 | 0.0 | 0.00 |
| 03/07/2016 | DAVIS, MOLLIE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.80 | 0.00 | 3.80 | 0.0 | 0.00 |
| 03/07/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.62 | 0.00 | 4.62 | 0.0 | 0.00 |
| 03/07/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.91 | 0.00 | 2.91 | 0.0 | 0.00 |
| 03/07/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.56 | 0.00 | 6.56 | 0.0 | 0.00 |
| 03/07/2016 | KLUMPP, MARTHA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.90 | 0.00 | 2.90 | 0.0 | 0.00 |
| 03/07/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.85 | 0.00 | 3.85 | 0.0 | 0.00 |
| 03/07/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.16 | 0.00 | 4.16 | 0.0 | 0.00 |
| 03/07/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.83 | 0.00 | 4.83 | 0.0 | 0.00 |
| 03/07/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.90 | 0.00 | 5.90 | 0.0 | 0.00 |
| 04/12/2016 | ALVERSON, PATRICIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.59 | 0.00 | 1.59 | 0.0 | 0.00 |
| 04/12/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.28 | 0.00 | 6.28 | 0.0 | 0.00 |
| 04/12/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 18.07 | 0.00 | 18.07 | 0.0 | 0.00 |

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|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/12/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.02 | 0.00 | 2.02 | 0.0 | 0.00 |
| 04/12/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 21.23 | 0.00 | 21.23 | 0.0 | 0.00 |
| 04/12/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.24 | 0.00 | 4.24 | 0.0 | 0.00 |
| 04/12/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 04/12/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 04/12/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.11 | 0.00 | 7.11 | 0.0 | 0.00 |
| 04/12/2016 | GAILLARD, WILLIAM | CALVERT SHORT DURATION INCOME FUND | 0.00 | 12.59 | 0.00 | 12.59 | 0.0 | 0.00 |
| 04/12/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.93 | 0.00 | 17.93 | 0.0 | 0.00 |
| 04/12/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.12 | 0.00 | 4.12 | 0.0 | 0.00 |
| 04/12/2016 | PEARSON, KEITH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.47 | 0.00 | 4.47 | 0.0 | 0.00 |
| 04/12/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.06 | 0.00 | 2.06 | 0.0 | 0.00 |
| 04/12/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.06 | 0.00 | 2.06 | 0.0 | 0.00 |
| 04/12/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.77 | 0.00 | 1.77 | 0.0 | 0.00 |
| 04/12/2016 | HUTCHINSON, HERB | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.19 | 0.00 | 4.19 | 0.0 | 0.00 |
| 04/12/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.14 | 0.00 | 3.14 | 0.0 | 0.00 |
| 04/12/2016 | WHITE, JOHN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.34 | 0.00 | 2.34 | 0.0 | 0.00 |
| 04/12/2016 | DAVIS, MOLLIE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.07 | 0.00 | 4.07 | 0.0 | 0.00 |
| 04/12/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.96 | 0.00 | 4.96 | 0.0 | 0.00 |
| 04/12/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.12 | 0.00 | 3.12 | 0.0 | 0.00 |
| 04/12/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.03 | 0.00 | 7.03 | 0.0 | 0.00 |
| 04/12/2016 | KLUMPP, MARTHA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.30 | 0.00 | 2.30 | 0.0 | 0.00 |
| 04/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.14 | 0.00 | 4.14 | 0.0 | 0.00 |
| 04/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.46 | 0.00 | 4.46 | 0.0 | 0.00 |
| 04/12/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.18 | 0.00 | 5.18 | 0.0 | 0.00 |
| 04/12/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.33 | 0.00 | 6.33 | 0.0 | 0.00 |
| 05/11/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.13 | 0.00 | 6.13 | 0.0 | 0.00 |
| 05/11/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.66 | 0.00 | 17.66 | 0.0 | 0.00 |
| 05/11/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.97 | 0.00 | 1.97 | 0.0 | 0.00 |
| 05/11/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 12.41 | 0.00 | 12.41 | 0.0 | 0.00 |
| 05/11/2016 | LAWRENCE, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |
| 05/11/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.78 | 0.00 | 1.78 | 0.0 | 0.00 |
| 05/11/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.78 | 0.00 | 1.78 | 0.0 | 0.00 |
| 05/11/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.94 | 0.00 | 6.94 | 0.0 | 0.00 |

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|--|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 05/11/2016 | GAILLARD, WILLIAM | CALVERT SHORT DURATION INCOME FUND | 0.00 | 10.66 | 0.00 | 10.66 | 0.0 | 0.00 |
| 05/11/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.53 | 0.00 | 17.53 | 0.0 | 0.00 |
| 05/11/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.02 | 0.00 | 4.02 | 0.0 | 0.00 |
| 05/11/2016 | PEARSON, KEITH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |
| 05/11/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.01 | 0.00 | 2.01 | 0.0 | 0.00 |
| 05/11/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.01 | 0.00 | 2.01 | 0.0 | 0.00 |
| 05/11/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| 05/11/2016 | HUTCHINSON, HERB | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.86 | 0.00 | 2.86 | 0.0 | 0.00 |
| 05/11/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.07 | 0.00 | 3.07 | 0.0 | 0.00 |
| 05/11/2016 | DAVIS, MOLLIE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.97 | 0.00 | 3.97 | 0.0 | 0.00 |
| 05/11/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.84 | 0.00 | 4.84 | 0.0 | 0.00 |
| 05/11/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.05 | 0.00 | 3.05 | 0.0 | 0.00 |
| 05/11/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.86 | 0.00 | 6.86 | 0.0 | 0.00 |
| 05/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.04 | 0.00 | 4.04 | 0.0 | 0.00 |
| 05/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.36 | 0.00 | 4.36 | 0.0 | 0.00 |
| 05/11/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.05 | 0.00 | 5.05 | 0.0 | 0.00 |
| 05/11/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.19 | 0.00 | 6.19 | 0.0 | 0.00 |
| 06/09/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.35 | 0.00 | 6.35 | 0.0 | 0.00 |
| 06/09/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 18.34 | 0.00 | 18.34 | 0.0 | 0.00 |
| 06/09/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.04 | 0.00 | 2.04 | 0.0 | 0.00 |
| 06/09/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| 06/09/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| 06/09/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.19 | 0.00 | 7.19 | 0.0 | 0.00 |
| 06/09/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 18.20 | 0.00 | 18.20 | 0.0 | 0.00 |
| 06/09/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.18 | 0.00 | 4.18 | 0.0 | 0.00 |
| 06/09/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.09 | 0.00 | 2.09 | 0.0 | 0.00 |
| 06/09/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.09 | 0.00 | 2.09 | 0.0 | 0.00 |
| 06/09/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.80 | 0.00 | 1.80 | 0.0 | 0.00 |
| 06/09/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.19 | 0.00 | 3.19 | 0.0 | 0.00 |
| 06/09/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.01 | 0.00 | 5.01 | 0.0 | 0.00 |
| 06/09/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.17 | 0.00 | 3.17 | 0.0 | 0.00 |
| 06/09/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.11 | 0.00 | 7.11 | 0.0 | 0.00 |
| 06/09/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.20 | 0.00 | 4.20 | 0.0 | 0.00 |

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|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 06/09/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.53 | 0.00 | 4.53 | 0.0 | 0.00 |
| 06/09/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.24 | 0.00 | 5.24 | 0.0 | 0.00 |
| 06/09/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.43 | 0.00 | 6.43 | 0.0 | 0.00 |
| 06/09/2016 | DAVIS, MOLLIE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.46 | 0.00 | 1.46 | 0.0 | 0.00 |
| 07/11/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.17 | 0.00 | 6.17 | 0.0 | 0.00 |
| 07/11/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.84 | 0.00 | 17.84 | 0.0 | 0.00 |
| 07/11/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.99 | 0.00 | 1.99 | 0.0 | 0.00 |
| 07/11/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.80 | 0.00 | 1.80 | 0.0 | 0.00 |
| 07/11/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.80 | 0.00 | 1.80 | 0.0 | 0.00 |
| 07/11/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.99 | 0.00 | 6.99 | 0.0 | 0.00 |
| 07/11/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 17.71 | 0.00 | 17.71 | 0.0 | 0.00 |
| 07/11/2016 | GRIFFIN, TIMOTHY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| 07/11/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.13 | 0.00 | 0.13 | 0.0 | 0.00 |
| 07/11/2016 | GRANGER, MARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.41 | 0.00 | 0.41 | 0.0 | 0.00 |
| 07/11/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.75 | 0.00 | 1.75 | 0.0 | 0.00 |
| 07/11/2016 | SEAL, MAVIS | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.89 | 0.00 | 2.89 | 0.0 | 0.00 |
| 07/11/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.87 | 0.00 | 4.87 | 0.0 | 0.00 |
| 07/11/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.08 | 0.00 | 3.08 | 0.0 | 0.00 |
| 07/11/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.91 | 0.00 | 6.91 | 0.0 | 0.00 |
| 07/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.09 | 0.00 | 4.09 | 0.0 | 0.00 |
| 07/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.41 | 0.00 | 4.41 | 0.0 | 0.00 |
| 07/11/2016 | POWNALL, GARY | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.39 | 0.00 | 3.39 | 0.0 | 0.00 |
| 07/11/2016 | FRANKS, PAUL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.37 | 0.00 | 4.37 | 0.0 | 0.00 |
| 08/08/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 6.41 | 0.00 | 6.41 | 0.0 | 0.00 |
| 08/08/2016 | CRAIG, MARILYN | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.99 | 0.00 | 2.99 | 0.0 | 0.00 |
| 08/08/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 2.06 | 0.00 | 2.06 | 0.0 | 0.00 |
| 08/08/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.87 | 0.00 | 1.87 | 0.0 | 0.00 |
| 08/08/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.87 | 0.00 | 1.87 | 0.0 | 0.00 |
| 08/08/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.25 | 0.00 | 7.25 | 0.0 | 0.00 |
| 08/08/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | 18.42 | 0.00 | 18.42 | 0.0 | 0.00 |
| 08/08/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.82 | 0.00 | 1.82 | 0.0 | 0.00 |
| 08/08/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 5.05 | 0.00 | 5.05 | 0.0 | 0.00 |
| 08/08/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.20 | 0.00 | 3.20 | 0.0 | 0.00 |

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|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 08/08/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 7.17 | 0.00 | 7.17 | 0.0 | 0.00 |
| 08/08/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.25 | 0.00 | 4.25 | 0.0 | 0.00 |
| 08/08/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.58 | 0.00 | 4.58 | 0.0 | 0.00 |
| 09/12/2016 | CARLSON, ARTHUR | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.55 | 0.00 | 4.55 | 0.0 | 0.00 |
| 09/12/2016 | PIERCE, RICHARD | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.67 | 0.00 | 1.67 | 0.0 | 0.00 |
| 09/12/2016 | POWELL, ANNE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.24 | 0.00 | 0.24 | 0.0 | 0.00 |
| 09/12/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.24 | 0.00 | 0.24 | 0.0 | 0.00 |
| 09/12/2016 | POWELL, MICHAEL | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.94 | 0.00 | 0.94 | 0.0 | 0.00 |
| 09/12/2016 | ROSS, JACK | CALVERT SHORT DURATION INCOME FUND | 0.00 | -1.78 | 0.00 | -1.78 | 0.0 | 0.00 |
| 09/12/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 09/12/2016 | BENSON, JOSEPH | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| 09/12/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.22 | 0.00 | 3.22 | 0.0 | 0.00 |
| 09/12/2016 | BRACKIN, H BRUCE | CALVERT SHORT DURATION INCOME FUND | 0.00 | 0.69 | 0.00 | 0.69 | 0.0 | 0.00 |
| 09/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.26 | 0.00 | 4.26 | 0.0 | 0.00 |
| 09/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.60 | 0.00 | 4.60 | 0.0 | 0.00 |
| 10/11/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.77 | 0.00 | 1.77 | 0.0 | 0.00 |
| 10/11/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.12 | 0.00 | 3.12 | 0.0 | 0.00 |
| 10/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.13 | 0.00 | 4.13 | 0.0 | 0.00 |
| 10/11/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.46 | 0.00 | 4.46 | 0.0 | 0.00 |
| 11/15/2016 | VELASKI ST, RPBERT | CALVERT SHORT DURATION INCOME FUND | 0.00 | 1.12 | 0.00 | 1.12 | 0.0 | 0.00 |
| 11/15/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.22 | 0.00 | 3.22 | 0.0 | 0.00 |
| 11/15/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.27 | 0.00 | 4.27 | 0.0 | 0.00 |
| 11/15/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.61 | 0.00 | 4.61 | 0.0 | 0.00 |
| 12/12/2016 | ROBERTS, GLORIA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 3.11 | 0.00 | 3.11 | 0.0 | 0.00 |
| 12/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.12 | 0.00 | 4.12 | 0.0 | 0.00 |
| 12/12/2016 | WEST, GLENDA | CALVERT SHORT DURATION INCOME FUND | 0.00 | 4.44 | 0.00 | 4.44 | 0.0 | 0.00 |
| 02/05/2018 | TALBERT, ANN | COLUMBIA LARGE CAP GROWTH C | 0.00 | 9.26 | 0.00 | 9.26 | 0.0 | 0.00 |
| 02/12/2016 | FOX, WILLIAM | COLUMBIA MIDCAP GROWTH FUND A | 0.00 | 6.85 | 0.00 | 6.85 | 0.0 | 0.00 |
| 03/14/2016 | FOX, WILLIAM | COLUMBIA MIDCAP GROWTH FUND A | 0.00 | 6.14 | 0.00 | 6.14 | 0.0 | 0.00 |
| 04/15/2016 | FOX, WILLIAM | COLUMBIA MIDCAP GROWTH FUND A | 0.00 | 7.09 | 0.00 | 7.09 | 0.0 | 0.00 |
| 02/05/2018 | TALBERT, ANN | COLUMBIA MIDCAP GROWTH FUND-C | 0.00 | 8.10 | 0.00 | 8.10 | 0.0 | 0.00 |
| 02/12/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 03/14/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/15/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 05/24/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 06/14/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 07/20/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 08/17/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 09/16/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 10/14/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 11/15/2016 | TRAWICK, JERRY | COLUMBIA SHORT TERM BOND FUND CLASS | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| 02/16/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| 03/14/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.76 | 0.00 | 0.76 | 0.0 | 0.00 |
| 03/14/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| 04/20/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.86 | 0.00 | 0.86 | 0.0 | 0.00 |
| 04/20/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 05/16/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| 05/16/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 06/16/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| 06/16/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 07/15/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| 07/15/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 08/15/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| 08/15/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 09/16/2016 | POWELL, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 09/16/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 10/17/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 11/11/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 12/16/2016 | MCCUTCHEN, JERRY | DAVIS NEW YORK VENTURE A | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| 02/05/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 7.04 | 0.00 | 7.04 | 0.0 | 0.00 |
| 02/25/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 6.86 | 0.00 | 6.86 | 0.0 | 0.00 |
| 03/31/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 6.33 | 0.00 | 6.33 | 0.0 | 0.00 |
| 04/29/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 6.96 | 0.00 | 6.96 | 0.0 | 0.00 |
| 05/26/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 7.04 | 0.00 | 7.04 | 0.0 | 0.00 |
| 06/29/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 7.11 | 0.00 | 7.11 | 0.0 | 0.00 |
| 07/27/2016 | BACAK, FRANCES | DIVERSIFIED INCOME FUND CLASS C | 0.00 | 5.02 | 0.00 | 5.02 | 0.0 | 0.00 |

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

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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> | | | | | | | | |
| 02/16/2016 | CUNNINGHAM SR, EST OF JACK | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 0.13 | 0.00 | 0.13 | 0.0 | 0.00 |
| 03/16/2016 | CUNNINGHAM SR, EST OF JACK | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 0.15 | 0.00 | 0.15 | 0.0 | 0.00 |
| 04/15/2016 | CUNNINGHAM SR, EST OF JACK | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 05/13/2016 | CUNNINGHAM SR, EST OF JACK | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 02/16/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.68 | 0.00 | 1.68 | 0.0 | 0.00 |
| 03/16/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.55 | 0.00 | 1.55 | 0.0 | 0.00 |
| 04/15/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.75 | 0.00 | 1.75 | 0.0 | 0.00 |
| 05/13/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| 06/14/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 0.0 | 0.00 |
| 07/14/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.75 | 0.00 | 1.75 | 0.0 | 0.00 |
| 08/15/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 1.86 | 0.00 | 1.86 | 0.0 | 0.00 |
| 09/14/2016 | FIKE, HELEN | FRANKLIN INCOME A | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| 02/16/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| 03/16/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.73 | 0.00 | 0.73 | 0.0 | 0.00 |
| 04/18/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| 05/12/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| 06/20/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.85 | 0.00 | 0.85 | 0.0 | 0.00 |
| 07/15/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| 08/17/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.88 | 0.00 | 0.88 | 0.0 | 0.00 |
| 09/21/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| 10/17/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.86 | 0.00 | 0.86 | 0.0 | 0.00 |
| 11/21/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| 12/15/2016 | HENLEY, DAVID | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 0.59 | 0.00 | 0.59 | 0.0 | 0.00 |
| 02/16/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.84 | 0.00 | 1.84 | 0.0 | 0.00 |
| 03/16/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.67 | 0.00 | 1.67 | 0.0 | 0.00 |
| 04/18/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.94 | 0.00 | 1.94 | 0.0 | 0.00 |
| 05/12/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.95 | 0.00 | 1.95 | 0.0 | 0.00 |
| 06/20/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| 07/15/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.99 | 0.00 | 1.99 | 0.0 | 0.00 |
| 08/17/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 2.13 | 0.00 | 2.13 | 0.0 | 0.00 |
| 09/21/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |
| 10/17/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 2.13 | 0.00 | 2.13 | 0.0 | 0.00 |
| 11/21/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |

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|---|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 12/15/2016 | HENLEY, DAVID | GOLDMAN SACHS SMALL CAP EQUITY INSI | 0.00 | 1.52 | 0.00 | 1.52 | 0.0 | 0.00 |
| 02/19/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 12.62 | 0.00 | 12.62 | 0.0 | 0.00 |
| 03/22/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 11.87 | 0.00 | 11.87 | 0.0 | 0.00 |
| 04/18/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 12.84 | 0.00 | 12.84 | 0.0 | 0.00 |
| 05/24/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 12.55 | 0.00 | 12.55 | 0.0 | 0.00 |
| 06/21/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 12.97 | 0.00 | 12.97 | 0.0 | 0.00 |
| 07/18/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 12.62 | 0.00 | 12.62 | 0.0 | 0.00 |
| 08/16/2016 | PAYNE, DAVID | HARTFORD INFLATION PLUS FUIND C | 0.00 | 11.04 | 0.00 | 11.04 | 0.0 | 0.00 |
| 04/14/2016 | WATSON, ISAAC | INVESCO AMERICAN FRANCHISE A | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| 07/19/2016 | WATSON, ISAAC | INVESCO AMERICAN FRANCHISE A | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| 02/22/2016 | KLUMPP, MARTHA | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.41 | 0.00 | 2.41 | 0.0 | 0.00 |
| 03/22/2016 | KLUMPP, MARTHA | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.24 | 0.00 | 2.24 | 0.0 | 0.00 |
| 04/21/2016 | KLUMPP, MARTHA | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 0.0 | 0.00 |
| 02/22/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| 03/17/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 04/21/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| 05/19/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 06/30/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| 07/18/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| 08/24/2016 | DAVIS, MARJORIE | OPPENHEIMER CORE BOND A | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| 03/17/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.09 | 0.00 | 0.09 | 0.0 | 0.00 |
| 04/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| 05/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| 06/30/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| 08/24/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| 09/22/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 10/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 11/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 12/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER GLOBAL A | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 02/22/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 23.79 | 0.00 | 23.79 | 0.0 | 0.00 |
| 02/22/2016 | WATSON, ISAAC | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.37 | 0.00 | 1.37 | 0.0 | 0.00 |
| 03/17/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 21.99 | 0.00 | 21.99 | 0.0 | 0.00 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/17/2016 | WATSON, ISAAC | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.27 | 0.00 | 1.27 | 0.0 | 0.00 |
| 04/21/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 24.00 | 0.00 | 24.00 | 0.0 | 0.00 |
| 04/21/2016 | WATSON, ISAAC | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| 05/19/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 23.51 | 0.00 | 23.51 | 0.0 | 0.00 |
| 05/19/2016 | WATSON, ISAAC | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| 06/30/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 24.38 | 0.00 | 24.38 | 0.0 | 0.00 |
| 06/30/2016 | WATSON, ISAAC | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.09 | 0.00 | 1.09 | 0.0 | 0.00 |
| 07/18/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 23.66 | 0.00 | 23.66 | 0.0 | 0.00 |
| 08/24/2016 | SMITH, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 24.79 | 0.00 | 24.79 | 0.0 | 0.00 |
| 03/17/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| 04/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 05/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 06/30/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 08/24/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| 09/22/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| 10/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 11/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| 12/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| 03/17/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.15 | 0.00 | 0.15 | 0.0 | 0.00 |
| 04/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 05/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 06/30/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 07/18/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 08/24/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 09/22/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 10/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 11/21/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 12/19/2016 | MCCUTCHEN, JERRY | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 02/22/2016 | CUNNINGHAM, BETTY | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| 02/22/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| 03/11/2016 | CUNNINGHAM, BETTY | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| 03/11/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.46 | 0.00 | 0.46 | 0.0 | 0.00 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/21/2016 | CUNNINGHAM, BETTY | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.59 | 0.00 | 0.59 | 0.0 | 0.00 |
| 04/21/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| 05/18/2016 | CUNNINGHAM, BETTY | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| 05/18/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO SHORT-TERM FUND (ADMIN SHARES | 0.00 | 0.30 | 0.00 | 0.30 | 0.0 | 0.00 |
| 02/22/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO TOTAL RETURN FUND (ADMIN SHAR | 0.00 | 0.66 | 0.00 | 0.66 | 0.0 | 0.00 |
| 03/11/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO TOTAL RETURN FUND (ADMIN SHAR | 0.00 | 0.62 | 0.00 | 0.62 | 0.0 | 0.00 |
| 04/21/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO TOTAL RETURN FUND (ADMIN SHAR | 0.00 | 0.66 | 0.00 | 0.66 | 0.0 | 0.00 |
| 05/18/2016 | CUNNINGHAM SR, EST OF JACK | PIMCO TOTAL RETURN FUND (ADMIN SHAR | 0.00 | 0.40 | 0.00 | 0.40 | 0.0 | 0.00 |
| 02/17/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 23.44 | 0.00 | 23.44 | 0.0 | 0.00 |
| 02/17/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 11.69 | 0.00 | 11.69 | 0.0 | 0.00 |
| 03/11/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 21.44 | 0.00 | 21.44 | 0.0 | 0.00 |
| 03/11/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 10.69 | 0.00 | 10.69 | 0.0 | 0.00 |
| 04/13/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 23.88 | 0.00 | 23.88 | 0.0 | 0.00 |
| 04/13/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 11.91 | 0.00 | 11.91 | 0.0 | 0.00 |
| 05/10/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 23.57 | 0.00 | 23.57 | 0.0 | 0.00 |
| 05/10/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 11.76 | 0.00 | 11.76 | 0.0 | 0.00 |
| 06/16/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 24.64 | 0.00 | 24.64 | 0.0 | 0.00 |
| 06/16/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 12.29 | 0.00 | 12.29 | 0.0 | 0.00 |
| 07/19/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 1.60 | 0.00 | 1.60 | 0.0 | 0.00 |
| 07/19/2016 | GRANGER, MARY | PIIONEER HIGH YIELD C | 0.00 | 2.40 | 0.00 | 2.40 | 0.0 | 0.00 |
| 02/22/2016 | SMITH, ANTHONY | PUTNAM INTERNATIONAL VALUE-A | 0.00 | 2.39 | 0.00 | 2.39 | 0.0 | 0.00 |
| 02/12/2016 | FOX, WILLIAM | SUNAMERICA STRATEGIC VALUE PORTFOLI | 0.00 | 10.64 | 0.00 | 10.64 | 0.0 | 0.00 |
| 03/15/2016 | FOX, WILLIAM | SUNAMERICA STRATEGIC VALUE PORTFOLI | 0.00 | 9.98 | 0.00 | 9.98 | 0.0 | 0.00 |
| 04/15/2016 | FOX, WILLIAM | SUNAMERICA STRATEGIC VALUE PORTFOLI | 0.00 | 11.39 | 0.00 | 11.39 | 0.0 | 0.00 |
| 02/16/2016 | CUNNINGHAM, BETTY | TEMPLETON GLOBAL BOND A | 0.00 | 0.46 | 0.00 | 0.46 | 0.0 | 0.00 |
| 02/16/2016 | CUNNINGHAM SR, EST OF JACK | TEMPLETON GLOBAL BOND A | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| 03/16/2016 | CUNNINGHAM, BETTY | TEMPLETON GLOBAL BOND A | 0.00 | 0.42 | 0.00 | 0.42 | 0.0 | 0.00 |
| 03/16/2016 | CUNNINGHAM SR, EST OF JACK | TEMPLETON GLOBAL BOND A | 0.00 | 0.29 | 0.00 | 0.29 | 0.0 | 0.00 |
| 04/15/2016 | CUNNINGHAM, BETTY | TEMPLETON GLOBAL BOND A | 0.00 | 0.46 | 0.00 | 0.46 | 0.0 | 0.00 |
| 04/15/2016 | CUNNINGHAM SR, EST OF JACK | TEMPLETON GLOBAL BOND A | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| 05/13/2016 | CUNNINGHAM, BETTY | TEMPLETON GLOBAL BOND A | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| 05/13/2016 | CUNNINGHAM SR, EST OF JACK | TEMPLETON GLOBAL BOND A | 0.00 | 0.04 | 0.00 | 0.04 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$2,217.08 | \$0.00 | \$2,217.08 | | \$0.00 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|-----------------------------------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| ADJUSTMENTS | | | | | | | | |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$0.00 | \$2,217.08 | \$0.00 | \$2,217.08 | | \$0.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$0.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|-----------------------|------------|
| Balance Forward | \$0.00 |
| Year-to-date Gross | \$2,314.25 |
| Year-to-date Earnings | \$0.00 |

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