

**COMMISSION STATEMENT****February 28, 2018****MICHELE BOYER**

9561 Deerhorn Court

see rep list for mailing addre

Parker, CO 80134

BROKER #: B144 Terminated 09/15/2016**BRANCH: MICHELE BOYER**

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	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.72	0.00	0.72	0.0	0.00
03/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.66	0.00	0.66	0.0	0.00
04/20/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.75	0.00	0.75	0.0	0.00
05/16/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.75	0.00	0.75	0.0	0.00
06/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.77	0.00	0.77	0.0	0.00
07/18/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.76	0.00	0.76	0.0	0.00
08/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.80	0.00	0.80	0.0	0.00
09/16/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.82	0.00	0.82	0.0	0.00
10/17/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.78	0.00	0.78	0.0	0.00
11/18/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.81	0.00	0.81	0.0	0.00
12/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.79	0.00	0.79	0.0	0.00
02/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	0.0	0.00
03/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	0.0	0.00
04/20/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	0.0	0.00
05/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	0.0	0.00
06/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	0.0	0.00
07/18/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	0.0	0.00
08/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	0.0	0.00
09/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	0.0	0.00
10/17/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	0.0	0.00
11/18/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	0.0	0.00
12/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	0.0	0.00
02/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	0.0	0.00
03/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.57	0.00	0.57	0.0	0.00
04/20/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	0.0	0.00
05/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	0.0	0.00

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>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	0.0	0.00
07/18/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	0.0	0.00
08/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	0.0	0.00
09/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	0.0	0.00
10/17/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	0.0	0.00
11/18/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	0.0	0.00
12/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	0.0	0.00
02/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	0.0	0.00
03/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.35	0.00	1.35	0.0	0.00
04/20/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	0.0	0.00
05/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	0.0	0.00
06/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.59	0.00	1.59	0.0	0.00
07/18/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	0.0	0.00
08/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	0.0	0.00
09/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	0.0	0.00
10/17/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	0.0	0.00
11/18/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	0.0	0.00
12/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.65	0.00	1.65	0.0	0.00
02/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	0.0	0.00
03/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	0.0	0.00
04/20/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.00
05/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.00
06/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	0.0	0.00
07/18/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	0.0	0.00
08/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.00
09/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	0.0	0.00
10/17/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	0.0	0.00
11/18/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	0.0	0.00
12/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.00
02/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.13	0.00	0.13	0.0	0.00
03/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.12	0.00	0.12	0.0	0.00
04/20/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
05/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.13	0.00	0.13	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>								
06/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
07/18/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
08/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
09/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	0.0	0.00
10/17/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
11/18/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
12/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.00
02/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	0.0	0.00
03/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	0.0	0.00
04/20/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.00
05/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.00
06/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	0.0	0.00
07/18/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.00
08/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	0.0	0.00
09/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	0.0	0.00
10/17/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.56	0.00	0.56	0.0	0.00
11/18/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	0.0	0.00
12/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	0.0	0.00
05/19/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.23	0.00	0.23	0.0	0.00
06/23/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.71	0.00	3.71	0.0	0.00
07/11/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.50	0.00	3.50	0.0	0.00
08/15/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.65	0.00	3.65	0.0	0.00
09/12/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.66	0.00	3.66	0.0	0.00
10/14/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.54	0.00	3.54	0.0	0.00
11/17/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.68	0.00	3.68	0.0	0.00
12/12/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.59	0.00	3.59	0.0	0.00
04/20/2016	BUSCH, JOLEEN	FIRST EAGLE GLOBAL FUND CL A	0.00	17.40	0.00	17.40	0.0	0.00
07/22/2016	BUSCH, JOLEEN	FIRST EAGLE GLOBAL FUND CL A	0.00	3.83	0.00	3.83	0.0	0.00
02/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.81	0.00	0.81	0.0	0.00
03/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.75	0.00	0.75	0.0	0.00
04/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.85	0.00	0.85	0.0	0.00
05/13/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.85	0.00	0.85	0.0	0.00
06/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.88	0.00	0.88	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>								
07/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.87	0.00	0.87	0.0	0.00
08/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.92	0.00	0.92	0.0	0.00
09/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.93	0.00	0.93	0.0	0.00
10/18/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	0.0	0.00
11/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.94	0.00	0.94	0.0	0.00
12/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	0.0	0.00
08/01/2016	WILEY, KAREN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.59	0.00	7.59	0.0	0.00
10/17/2016	WILEY, KAREN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.94	0.00	10.94	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/14/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.09	0.00	0.09	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.04	0.00	0.04	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	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>								
09/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.06	0.00	0.06	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.14	0.00	0.14	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.11	0.00	0.11	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.11	0.00	0.11	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>								
03/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.10	0.00	0.10	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	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>								
03/14/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.14	0.00	0.14	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
09/15/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.00
02/08/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.53	0.00	0.53	0.0	0.00
02/08/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.15	0.00	0.15	0.0	0.00
03/14/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.49	0.00	0.49	0.0	0.00
03/14/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.14	0.00	0.14	0.0	0.00
04/15/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.56	0.00	0.56	0.0	0.00
04/15/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.00
05/17/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.56	0.00	0.56	0.0	0.00
05/17/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.00
06/16/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.58	0.00	0.58	0.0	0.00
06/16/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.00
07/20/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.57	0.00	0.57	0.0	0.00
07/20/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.00
08/16/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.60	0.00	0.60	0.0	0.00
08/16/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.00

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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>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/15/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.61	0.00	0.61	0.0	0.00
09/15/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.00
10/20/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.59	0.00	0.59	0.0	0.00
10/20/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.00
11/14/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.60	0.00	0.60	0.0	0.00
11/14/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.00
12/19/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.59	0.00	0.59	0.0	0.00
12/19/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.00
02/10/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.69	0.00	3.69	0.0	0.00
02/10/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.38	0.00	7.38	0.0	0.00
03/07/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.89	0.00	3.89	0.0	0.00
03/07/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.79	0.00	7.79	0.0	0.00
04/13/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.99	0.00	3.99	0.0	0.00
04/13/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.99	0.00	7.99	0.0	0.00
05/09/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.76	0.00	3.76	0.0	0.00
05/09/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.53	0.00	7.53	0.0	0.00
06/09/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.17	0.00	4.17	0.0	0.00
06/09/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.34	0.00	8.34	0.0	0.00
07/13/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.96	0.00	3.96	0.0	0.00
07/13/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.93	0.00	7.93	0.0	0.00
08/11/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.17	0.00	4.17	0.0	0.00
08/11/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.33	0.00	8.33	0.0	0.00
09/22/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.20	0.00	4.20	0.0	0.00
09/22/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.41	0.00	8.41	0.0	0.00
10/14/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.07	0.00	4.07	0.0	0.00
10/14/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.15	0.00	8.15	0.0	0.00
11/14/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.20	0.00	4.20	0.0	0.00
11/14/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.40	0.00	8.40	0.0	0.00
12/12/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.04	0.00	4.04	0.0	0.00
12/12/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.08	0.00	8.08	0.0	0.00
02/22/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.49	0.00	1.49	0.0	0.00
03/11/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.37	0.00	1.37	0.0	0.00
04/20/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.56	0.00	1.56	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>								
05/18/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	0.97	0.00	0.97	0.0	0.00
02/22/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.61	0.00	8.61	0.0	0.00
03/11/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.08	0.00	8.08	0.0	0.00
04/20/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.03	0.00	9.03	0.0	0.00
05/18/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.93	0.00	8.93	0.0	0.00
06/16/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.37	0.00	9.37	0.0	0.00
07/15/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.15	0.00	9.15	0.0	0.00
08/12/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.68	0.00	9.68	0.0	0.00
09/15/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.71	0.00	9.71	0.0	0.00
10/21/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.38	0.00	9.38	0.0	0.00
11/18/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.70	0.00	9.70	0.0	0.00
12/14/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.26	0.00	9.26	0.0	0.00
02/22/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	5.21	0.00	5.21	0.0	0.00
02/22/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.75	0.00	5.75	0.0	0.00
03/11/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	4.87	0.00	4.87	0.0	0.00
03/11/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.38	0.00	5.38	0.0	0.00
04/20/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	5.23	0.00	5.23	0.0	0.00
04/20/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.78	0.00	5.78	0.0	0.00
05/18/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	3.25	0.00	3.25	0.0	0.00
05/18/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.66	0.00	5.66	0.0	0.00
06/16/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.87	0.00	5.87	0.0	0.00
07/15/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.71	0.00	5.71	0.0	0.00
08/12/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.99	0.00	5.99	0.0	0.00
09/15/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.99	0.00	5.99	0.0	0.00
10/21/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.80	0.00	5.80	0.0	0.00
11/18/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.98	0.00	5.98	0.0	0.00
12/14/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.51	0.00	5.51	0.0	0.00
02/22/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.42	0.00	1.42	0.0	0.00
03/22/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.35	0.00	1.35	0.0	0.00
04/21/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.59	0.00	1.59	0.0	0.00
05/26/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.00	0.00	1.00	0.0	0.00
04/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	21.47	0.00	21.47	0.0	0.00
07/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	22.16	0.00	22.16	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>								
10/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	22.49	0.00	22.49	0.0	0.00
02/16/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	5.05	0.00	5.05	0.0	0.00
02/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.73	0.00	5.73	0.0	0.00
03/16/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	4.63	0.00	4.63	0.0	0.00
03/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.26	0.00	5.26	0.0	0.00
04/15/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	5.13	0.00	5.13	0.0	0.00
04/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.83	0.00	5.83	0.0	0.00
05/13/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	3.14	0.00	3.14	0.0	0.00
05/13/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.67	0.00	5.67	0.0	0.00
06/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.81	0.00	5.81	0.0	0.00
07/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.55	0.00	5.55	0.0	0.00
08/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.86	0.00	5.86	0.0	0.00
09/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.84	0.00	5.84	0.0	0.00
10/18/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.61	0.00	5.61	0.0	0.00
11/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.96	0.00	5.96	0.0	0.00
12/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.55	0.00	5.55	0.0	0.00
02/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.79	0.00	2.79	0.0	0.00
03/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.42	0.00	2.42	0.0	0.00
04/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.81	0.00	2.81	0.0	0.00
05/13/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.79	0.00	2.79	0.0	0.00
06/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.84	0.00	2.84	0.0	0.00
07/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.74	0.00	2.74	0.0	0.00
08/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.87	0.00	2.87	0.0	0.00
09/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.97	0.00	2.97	0.0	0.00
10/18/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.91	0.00	2.91	0.0	0.00
11/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	3.02	0.00	3.02	0.0	0.00
12/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.92	0.00	2.92	0.0	0.00
03/18/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	1.14	0.00	1.14	0.0	0.00
06/14/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	1.69	0.00	1.69	0.0	0.00
09/16/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	2.26	0.00	2.26	0.0	0.00
12/14/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	0.81	0.00	0.81	0.0	0.00
02/12/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.82	0.00	0.82	0.0	0.00
02/12/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.43	0.00	5.43	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>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/16/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.77	0.00	0.77	0.0	0.00
03/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.07	0.00	5.07	0.0	0.00
04/15/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.83	0.00	0.83	0.0	0.00
04/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.44	0.00	5.44	0.0	0.00
05/16/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.51	0.00	0.51	0.0	0.00
05/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.28	0.00	5.28	0.0	0.00
06/14/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.47	0.00	5.47	0.0	0.00
07/18/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.30	0.00	5.30	0.0	0.00
08/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.49	0.00	5.49	0.0	0.00
09/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.49	0.00	5.49	0.0	0.00
10/12/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.32	0.00	5.32	0.0	0.00
11/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.50	0.00	5.50	0.0	0.00
12/14/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.15	0.00	5.15	0.0	0.00
04/12/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.71	0.00	1.71	0.0	0.00
07/13/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.16	0.00	3.16	0.0	0.00
10/11/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.44	0.00	3.44	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$735.90	\$0.00	\$735.90		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$0.00	\$735.90	\$0.00	\$735.90		\$0.00

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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	\$1,351.28
Year-to-date Earnings	\$0.00