



Concorde Investment Services, LLC

09/13/2017

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COMMISSION STATEMENT

September 15, 2017

JEFFREY KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/29/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	138.92	1.39	0.00	1.39	90.0	1.25
08/29/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	138.92	1.39	0.00	1.39	90.0	1.25
08/29/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
08/29/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
08/29/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	39.85	0.40	0.00	0.40	90.0	0.36
08/29/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	53.14	0.53	0.00	0.53	90.0	0.48
09/07/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
09/07/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
09/07/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
09/07/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
09/07/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	46.75	0.47	0.00	0.47	90.0	0.42
09/07/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	46.75	0.47	0.00	0.47	90.0	0.42
08/29/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
08/29/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
08/29/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	37.07	0.37	0.00	0.37	90.0	0.33
08/29/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	37.07	0.37	0.00	0.37	90.0	0.33
08/29/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
08/29/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
09/07/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
09/07/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
09/07/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	26.70	0.27	0.00	0.27	90.0	0.24
09/07/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	26.70	0.27	0.00	0.27	90.0	0.24
09/07/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
09/07/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
08/29/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.72	0.43	0.00	0.43	90.0	0.39
08/29/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.72	0.43	0.00	0.43	90.0	0.39

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/07/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
09/07/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
08/29/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	134.83	1.35	0.00	1.35	90.0	1.22
08/29/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	314.60	3.15	0.00	3.15	90.0	2.84
08/29/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	60.45	0.60	0.00	0.60	90.0	0.54
08/29/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	60.45	0.60	0.00	0.60	90.0	0.54
09/05/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	72.37	0.72	0.00	0.72	90.0	0.65
09/05/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	72.37	0.72	0.00	0.72	90.0	0.65
09/07/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	120.88	1.21	0.00	1.21	90.0	1.09
09/07/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	282.05	2.82	0.00	2.82	90.0	2.54
09/07/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	70.28	0.70	0.00	0.70	90.0	0.63
09/07/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	70.28	0.70	0.00	0.70	90.0	0.63
08/29/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
08/29/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
09/07/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
09/07/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
08/29/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	208.74	2.09	0.00	2.09	90.0	1.88
08/29/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	208.74	2.09	0.00	2.09	90.0	1.88
08/29/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
08/29/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
08/29/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	35.42	0.35	0.00	0.35	90.0	0.32
08/29/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	35.42	0.35	0.00	0.35	90.0	0.32
09/07/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	187.02	1.87	0.00	1.87	90.0	1.68
09/07/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	187.02	1.87	0.00	1.87	90.0	1.68
09/07/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
09/07/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
09/07/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	35.05	0.35	0.00	0.35	90.0	0.32
09/07/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	35.05	0.35	0.00	0.35	90.0	0.32
08/29/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.56	0.21	0.00	0.21	90.0	0.19
08/29/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.56	0.21	0.00	0.21	90.0	0.19
09/07/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
09/07/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
08/29/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/29/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
09/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
09/05/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	200.00	10.00	0.00	10.00	90.0	9.00
09/05/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	184.62	3.69	0.00	3.69	90.0	3.32
09/07/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
09/07/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
08/29/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	321.00	3.21	0.00	3.21	90.0	2.89
08/29/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	345.44	3.45	0.00	3.45	90.0	3.11
08/29/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	72.22	0.72	0.00	0.72	90.0	0.65
08/29/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	72.22	0.72	0.00	0.72	90.0	0.65
08/29/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	56.04	0.56	0.00	0.56	90.0	0.50
08/29/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	56.04	0.56	0.00	0.56	90.0	0.50
08/29/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	64.06	0.64	0.00	0.64	90.0	0.58
08/29/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	64.06	0.64	0.00	0.64	90.0	0.58
09/07/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	212.06	2.12	0.00	2.12	90.0	1.91
09/07/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	212.06	2.12	0.00	2.12	90.0	1.91
09/07/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
09/07/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
09/07/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	211.08	2.11	0.00	2.11	90.0	1.90
09/07/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	211.08	2.11	0.00	2.11	90.0	1.90
08/29/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.13	0.41	0.00	0.41	90.0	0.37
08/29/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.13	0.41	0.00	0.41	90.0	0.37
08/29/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
08/29/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
08/29/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
08/29/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
08/29/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	14.50	0.15	0.00	0.15	90.0	0.14
08/29/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	14.50	0.15	0.00	0.15	90.0	0.14
08/29/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
08/29/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
08/29/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	68.14	0.68	0.00	0.68	90.0	0.61
08/29/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	68.14	0.68	0.00	0.68	90.0	0.61
08/29/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	60.27	0.60	0.00	0.60	90.0	0.54

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
08/29/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	60.27	0.60	0.00	0.60	90.0	0.54
08/29/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	43.76	0.44	0.00	0.44	90.0	0.40
08/29/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	43.76	0.44	0.00	0.44	90.0	0.40
09/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
09/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	61.64	2.31	0.00	2.31	90.0	2.08
09/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	58.00	2.18	0.00	2.18	90.0	1.96
09/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	145.15	5.44	0.00	5.44	90.0	4.90
09/01/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
09/05/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	369.23	7.38	0.00	7.38	90.0	6.64
09/05/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	75.00	0.75	0.00	0.75	90.0	0.68
09/05/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	44.69	0.45	0.00	0.45	90.0	0.41
09/05/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
09/05/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
09/05/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	520.50	5.21	0.00	5.21	90.0	4.69
09/05/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.83	0.00	0.83	90.0	0.75
09/05/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
09/05/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
09/05/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
09/05/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
09/05/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	95.70	0.96	0.00	0.96	90.0	0.86
09/05/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	95.70	0.96	0.00	0.96	90.0	0.86
09/05/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
09/05/2017	ELLIOTT, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	8,498.00	361.17	0.00	361.17	90.0	325.05
09/07/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
09/07/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
09/07/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
09/07/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
09/07/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
09/07/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/07/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	16.84	0.17	0.00	0.17	90.0	0.15
09/07/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	16.84	0.17	0.00	0.17	90.0	0.15
09/07/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
09/07/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
09/07/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	64.39	0.64	0.00	0.64	90.0	0.58
09/07/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	64.39	0.64	0.00	0.64	90.0	0.58
09/07/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	19.02	0.19	0.00	0.19	90.0	0.17
09/07/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	19.02	0.19	0.00	0.19	90.0	0.17
09/07/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	50.51	0.51	0.00	0.51	90.0	0.46
09/07/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	50.51	0.51	0.00	0.51	90.0	0.46
08/29/2017	DILLON, EMMA	AM FUNDS ICA A	18.77	0.19	0.00	0.19	90.0	0.17
08/29/2017	DILLON, EMMA	AM FUNDS ICA A	25.02	0.25	0.00	0.25	90.0	0.23
08/29/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	44.40	0.44	0.00	0.44	90.0	0.40
08/29/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	133.20	1.33	0.00	1.33	90.0	1.20
09/01/2017	WINFREY, LARRY	AM FUNDS ICA A	250.00	9.38	0.00	9.38	90.0	8.44
09/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	59.82	2.24	0.00	2.24	90.0	2.02
09/01/2017	SUMMERS, AARON	AM FUNDS ICA A	58.00	2.18	0.00	2.18	90.0	1.96
09/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	145.16	5.44	0.00	5.44	90.0	4.90
09/05/2017	EULTGEN, VICKI	AM FUNDS ICA A	75.00	0.75	0.00	0.75	90.0	0.68
09/05/2017	EULTGEN, VICKI	AM FUNDS ICA A	44.69	0.45	0.00	0.45	90.0	0.41
09/05/2017	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.08	0.00	2.08	90.0	1.87
09/05/2017	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.33	0.00	0.33	90.0	0.30
09/05/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
09/05/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
09/05/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.12	0.00	1.12	90.0	1.01
09/05/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	83.57	0.84	0.00	0.84	90.0	0.76
09/05/2017	MEDLEY, LISA	AM FUNDS ICA A	72.37	0.72	0.00	0.72	90.0	0.65
09/05/2017	MEDLEY, LISA	AM FUNDS ICA A	72.37	0.72	0.00	0.72	90.0	0.65
09/07/2017	DILLON, EMMA	AM FUNDS ICA A	10.19	0.10	0.00	0.10	90.0	0.09
09/07/2017	DILLON, EMMA	AM FUNDS ICA A	13.59	0.14	0.00	0.14	90.0	0.13
09/07/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	44.40	0.44	0.00	0.44	90.0	0.40
09/07/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	133.20	1.33	0.00	1.33	90.0	1.20
08/29/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/29/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
09/07/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
09/07/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
09/05/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.08	0.00	2.08	90.0	1.87
09/05/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.33	0.00	0.33	90.0	0.30
08/29/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
08/29/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
08/29/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
08/29/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
09/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
09/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	59.82	2.24	0.00	2.24	90.0	2.02
09/05/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	184.61	3.69	0.00	3.69	90.0	3.32
09/05/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	57.62	0.58	0.00	0.58	90.0	0.52
09/05/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	57.62	0.58	0.00	0.58	90.0	0.52
09/05/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.48	0.00	0.48	90.0	0.43
09/05/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	35.82	0.36	0.00	0.36	90.0	0.32
09/05/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	60.00	3.00	0.00	3.00	90.0	2.70
09/07/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
09/07/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
09/07/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
09/07/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
08/29/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.13	0.41	0.00	0.41	90.0	0.37
08/29/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.13	0.41	0.00	0.41	90.0	0.37
08/29/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
08/29/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
08/29/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	14.50	0.15	0.00	0.15	90.0	0.14
08/29/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	14.50	0.15	0.00	0.15	90.0	0.14
08/29/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
08/29/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
08/29/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
08/29/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
09/05/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	50.00	0.50	0.00	0.50	90.0	0.45
09/05/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	29.80	0.30	0.00	0.30	90.0	0.27

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/05/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.08	0.00	2.08	90.0	1.87
09/05/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.33	0.00	0.33	90.0	0.30
09/05/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	57.62	0.58	0.00	0.58	90.0	0.52
09/05/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	57.62	0.58	0.00	0.58	90.0	0.52
09/05/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	2.60	0.00	2.60	90.0	2.34
09/05/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.41	0.00	0.41	90.0	0.37
09/05/2017	ELLIOTT, TIMOTHY	AM FUNDS NEW PERSPECTIVE A	8,248.05	350.54	0.00	350.54	90.0	315.49
09/07/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
09/07/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
09/07/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
09/07/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
09/07/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	16.84	0.17	0.00	0.17	90.0	0.15
09/07/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	16.84	0.17	0.00	0.17	90.0	0.15
09/07/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
09/07/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
09/07/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
09/07/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
08/29/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
08/29/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
09/05/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	184.62	3.69	0.00	3.69	90.0	3.32
09/05/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
09/05/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	14.90	0.15	0.00	0.15	90.0	0.14
09/05/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.52	0.00	0.52	90.0	0.47
09/05/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.08	0.00	0.08	90.0	0.07
09/05/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	520.50	5.21	0.00	5.21	90.0	4.69
09/05/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.83	0.00	0.83	90.0	0.75
09/05/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.93	0.28	0.00	0.28	90.0	0.25

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/05/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.93	0.28	0.00	0.28	90.0	0.25
09/05/2017	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
09/05/2017	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
09/05/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
09/05/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
09/07/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
09/07/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
08/29/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	78.54	0.79	0.00	0.79	90.0	0.71
08/29/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	78.54	0.79	0.00	0.79	90.0	0.71
08/29/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	19.34	0.19	0.00	0.19	90.0	0.17
08/29/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	19.34	0.19	0.00	0.19	90.0	0.17
08/29/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	60.26	0.60	0.00	0.60	90.0	0.54
08/29/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	60.26	0.60	0.00	0.60	90.0	0.54
08/29/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
08/29/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
09/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
09/05/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
09/05/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	14.90	0.15	0.00	0.15	90.0	0.14
09/05/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.13	0.30	0.00	0.30	90.0	0.27
09/05/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.04	0.00	1.04	90.0	0.94
09/05/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.17	0.00	0.17	90.0	0.15
09/05/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.94	0.28	0.00	0.28	90.0	0.25
09/05/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
09/05/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
09/05/2017	ELLIOTT, TIMOTHY	AM FUNDS SMALLCAP WORLD A	8,248.07	350.54	0.00	350.54	90.0	315.49
09/07/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	211.23	2.11	0.00	2.11	90.0	1.90
09/07/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	211.23	2.11	0.00	2.11	90.0	1.90
09/07/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	22.46	0.22	0.00	0.22	90.0	0.20
09/07/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	22.46	0.22	0.00	0.22	90.0	0.20
09/07/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	19.01	0.19	0.00	0.19	90.0	0.17
09/07/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	19.01	0.19	0.00	0.19	90.0	0.17

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/07/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
09/07/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
09/05/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	375.00	3.75	0.00	3.75	90.0	3.38
09/05/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	80.88	0.81	0.00	0.81	90.0	0.73
08/29/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.27	0.34	0.00	0.34	90.0	0.31
08/29/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.27	0.34	0.00	0.34	90.0	0.31
09/05/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	210.25	2.10	0.00	2.10	90.0	1.89
09/05/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	126.15	1.26	0.00	1.26	90.0	1.13
09/07/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
09/07/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.87	0.00	0.87	90.0	0.78
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.91	0.00	0.91	90.0	0.82
/ /	CROWLEY, MICHA	FIDELITY ADV EVENT DRIVEN OPPS	0.00	3.43	0.00	3.43	90.0	3.09
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	2.14	0.00	2.14	90.0	1.93
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.84	0.00	0.84	90.0	0.76
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	0.99	0.00	0.99	90.0	0.89
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.83	0.00	0.83	90.0	0.75
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.69	0.00	0.69	90.0	0.62
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.11	0.00	0.11	90.0	0.10
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	10.27	0.00	10.27	90.0	9.24
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.24	0.00	1.24	90.0	1.12
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	7.94	0.00	7.94	90.0	7.15
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.58	0.00	2.58	90.0	2.32
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	1.57	0.00	1.57	90.0	1.41
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	4.17	0.00	4.17	90.0	3.75
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.68	0.00	4.68	90.0	4.21
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.33	0.00	1.33	90.0	1.20
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	6.31	0.00	6.31	90.0	5.68
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	8.01	0.00	8.01	90.0	7.21
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.72	0.00	2.72	90.0	2.45
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	14.02	0.00	14.02	90.0	12.62
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.51	0.00	4.51	90.0	4.06
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.22	0.00	1.22	90.0	1.10

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	2.80	0.00	2.80	90.0	2.52
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	6.29	0.00	6.29	90.0	5.66
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.23	0.00	1.23	90.0	1.11
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.67	0.00	0.67	90.0	0.60
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	5.56	0.00	5.56	90.0	5.00
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	10.75	0.00	10.75	90.0	9.68
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.29	0.00	2.29	90.0	2.06
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	3.13	0.00	3.13	90.0	2.82
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	9.93	0.00	9.93	90.0	8.94
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.41	0.00	1.41	90.0	1.27
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.57	0.00	2.57	90.0	2.31
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.38	0.00	1.38	90.0	1.24
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.72	0.00	1.72	90.0	1.55
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	1.07	0.00	1.07	90.0	0.96
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.21	0.00	6.21	90.0	5.59
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.30	0.00	1.30	90.0	1.17
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.55	0.00	0.55	90.0	0.50
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	14.61	0.00	14.61	90.0	13.15
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.68	0.00	1.68	90.0	1.51
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	5.52	0.00	5.52	90.0	4.97
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	2.92	0.00	2.92	90.0	2.63
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	0.81	0.00	0.81	90.0	0.73
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	2.37	0.00	2.37	90.0	2.13
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.69	0.00	0.69	90.0	0.62
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	9.98	0.00	9.98	90.0	8.98
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	2.59	0.00	2.59	90.0	2.33
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.79	0.00	0.79	90.0	0.71
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.88	0.00	0.88	90.0	0.79
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	2.15	0.00	2.15	90.0	1.94
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.50	0.00	0.50	90.0	0.45
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	8.84	0.00	8.84	90.0	7.96
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	6.32	0.00	6.32	90.0	5.69
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.99	0.00	0.99	90.0	0.89

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.51	0.00	1.51	90.0	1.36
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.31	0.00	2.31	90.0	2.08
/ /	RICHARDSON, BOBBY	FIEDLEITY ADVISOR JAPAN-CL T	0.00	0.79	0.00	0.79	90.0	0.71
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	16.34	0.00	16.34	90.0	14.71
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	17.83	0.00	17.83	90.0	16.05
* MUTUAL FUNDS SUBTOTAL *			\$43,982.12	\$1,548.75	\$0.00	\$1,548.75		\$1,394.13
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
08/31/2017	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	12,240.40	10.20	0.00	10.20	90.0	9.18
08/31/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	107,697.16	44.87	0.00	44.87	90.0	40.38
08/31/2017	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	243,347.08	101.39	0.00	101.39	90.0	91.25
08/31/2017	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	191,496.41	79.79	0.00	79.79	90.0	71.81
08/31/2017	GUIER, CARROL	JNL PERSPECTIVE II 04/14	23,534.24	9.81	0.00	9.81	90.0	8.83
08/31/2017	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	28,598.35	11.92	0.00	11.92	90.0	10.73
08/31/2017	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	144,808.40	60.34	0.00	60.34	90.0	54.31
08/31/2017	OSSMAN, ED	JNL PERSPECTIVE II 05/05	57,770.46	24.07	0.00	24.07	90.0	21.66
08/31/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	26,726.92	11.14	0.00	11.14	90.0	10.03
08/31/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	154,291.56	64.29	0.00	64.29	90.0	57.86
08/31/2017	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	92,714.42	38.63	0.00	38.63	90.0	34.77
08/31/2017	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	127,555.80	53.15	0.00	53.15	90.0	47.84
08/31/2017	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	291,557.73	121.48	0.00	121.48	90.0	109.33
08/31/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	238,559.19	99.40	0.00	99.40	90.0	89.46
08/30/2017	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	93,499.92	77.90	0.00	77.90	90.0	70.11
08/30/2017	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	27,720.79	23.11	0.00	23.11	90.0	20.80
08/30/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	110,206.66	91.84	0.00	91.84	90.0	82.66
08/30/2017	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	11,055.13	9.21	0.00	9.21	90.0	8.29
08/30/2017	DOWNS, JAMES	SBL ADVISORDESIGNS VA	38,605.23	32.16	0.00	32.16	90.0	28.94
08/30/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	96,051.72	80.04	0.00	80.04	90.0	72.04
08/30/2017	LEE, HOWARD	SBL SECUREDESIGNS VA	256,837.58	53.49	0.00	53.49	90.0	48.14
* VARIABLE ANNUITIES SUBTOTAL *			\$2,374,875.15	\$1,098.23	\$0.00	\$1,098.23		\$988.42
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
08/21/2017	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
08/21/2017	GAMM, SKYLAR	PAC LIFE VUL	7.37	7.37	0.00	7.37	90.0	6.63

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
08/21/2017	GAMM, SKYLAR	PAC LIFE VUL	417.63	104.41	0.00	104.41	90.0	93.97
08/22/2017	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
08/23/2017	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
08/24/2017	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
08/25/2017	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
08/25/2017	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
08/25/2017	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
08/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	1.36	0.00	1.36	90.0	1.22
08/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
08/25/2017	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
09/01/2017	KAUFMAN, KIMBERLY	PAC LIFE VUL	75.00	1.50	0.00	1.50	90.0	1.35
09/01/2017	REDDICK, RYAN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$1,415.92	\$134.70	\$0.00	\$134.70		\$121.22
*** BROKER TRANSACTIONS TOTAL ***			\$2,420,273.19	\$2,781.68	\$0.00	\$2,781.68		\$2,503.77

SPLIT TRANSACTIONS**BROKER: JEFF/JASON KAUFMAN/KEMBLE #349**

08/29/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	39.62	0.22	0.00	0.22	90.0	0.20
08/29/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	39.62	0.22	0.00	0.22	90.0	0.20
09/07/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	55.91	0.31	0.00	0.31	90.0	0.28
09/07/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	55.91	0.31	0.00	0.31	90.0	0.28
08/28/2017	CARTER, STANLEY	AM FUNDS AMERICAN BALANCED A	50,000.00	1,031.25	0.00	1,031.25	90.0	928.13
08/29/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	22.03	0.12	0.00	0.12	90.0	0.11
08/29/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	22.03	0.12	0.00	0.12	90.0	0.11
09/07/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11
09/07/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11
08/28/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
08/29/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
08/29/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
08/29/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	45.43	0.25	0.00	0.25	90.0	0.23
08/29/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	45.43	0.25	0.00	0.25	90.0	0.23
08/29/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
08/29/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
08/29/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	48.99	0.27	0.00	0.27	90.0	0.24
08/29/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	48.99	0.27	0.00	0.27	90.0	0.24
08/29/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
08/29/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
09/05/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	80.29	0.44	0.00	0.44	90.0	0.40
09/05/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	48.18	0.26	0.00	0.26	90.0	0.23
09/05/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	250.00	2.20	0.00	2.20	90.0	1.98
09/06/2017	WHITE, PAYTON	AM FUNDS GROWTH FUND OF AMERICA A	500.00	13.75	0.00	13.75	90.0	12.38
09/07/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
09/07/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
09/07/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	1.92	0.01	0.00	0.01	90.0	0.01
09/07/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
09/07/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	46.09	0.25	0.00	0.25	90.0	0.23
09/07/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	46.09	0.25	0.00	0.25	90.0	0.23
09/07/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
09/07/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
09/07/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
09/07/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
08/29/2017	ZELLMER, RIANNON	AM FUNDS ICA A	17.33	0.09	0.00	0.09	90.0	0.08
08/29/2017	ZELLMER, RIANNON	AM FUNDS ICA A	17.33	0.09	0.00	0.09	90.0	0.08
08/29/2017	WAHLIG, KACEY	AM FUNDS ICA A	22.04	0.12	0.00	0.12	90.0	0.11
08/29/2017	WAHLIG, KACEY	AM FUNDS ICA A	22.04	0.12	0.00	0.12	90.0	0.11
08/29/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
08/29/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
09/05/2017	HAGUE, VICTORIA	AM FUNDS ICA A	71.88	0.40	0.00	0.40	90.0	0.36
09/05/2017	HAGUE, VICTORIA	AM FUNDS ICA A	400.00	2.20	0.00	2.20	90.0	1.98
09/07/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.70	0.05	0.00	0.05	90.0	0.05
09/07/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.70	0.05	0.00	0.05	90.0	0.05
09/07/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
09/07/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
09/07/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
09/07/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
09/05/2017	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	250.00	2.20	0.00	2.20	90.0	1.98
09/06/2017	WHITE, PAYTON	AM FUNDS NEW ECONOMY A	500.00	13.75	0.00	13.75	90.0	12.38
08/29/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
08/29/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
09/01/2017	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
09/06/2017	WHITE, PAYTON	AM FUNDS NEW PERSPECTIVE A	500.00	13.75	0.00	13.75	90.0	12.38
09/07/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
09/07/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
08/29/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
08/29/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
09/05/2017	THOMPSON, TERRY	AM FUNDS NEW WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
09/06/2017	WHITE, PAYTON	AM FUNDS NEW WORLD A	500.00	13.75	0.00	13.75	90.0	12.38
09/07/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
09/07/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
08/29/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
08/29/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
08/29/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
08/29/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
09/05/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	100.00	0.55	0.00	0.55	90.0	0.50
09/05/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	17.97	0.10	0.00	0.10	90.0	0.09
09/05/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	80.29	0.44	0.00	0.44	90.0	0.40
09/05/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	48.17	0.26	0.00	0.26	90.0	0.23
09/05/2017	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
09/07/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
09/07/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
09/07/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
09/07/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
08/28/2017	CARSON, SEDEL	PAC LIFE VUL	55.00	15.12	0.00	15.12	90.0	13.61
08/28/2017	CARSON, MATTHEW	PAC LIFE VUL	7.57	2.08	0.00	2.08	90.0	1.87
08/28/2017	CARSON, MATTHEW	PAC LIFE VUL	142.43	9.79	0.00	9.79	90.0	8.81
08/28/2017	CARSON, SEDEL	PAC LIFE VUL	55.00	15.12	0.00	15.12	90.0	13.61
08/28/2017	CARSON, MATTHEW	PAC LIFE VUL	7.57	2.08	0.00	2.08	90.0	1.87
08/28/2017	CARSON, MATTHEW	PAC LIFE VUL	142.43	9.79	0.00	9.79	90.0	8.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *	\$57,956.48	\$1,177.26	\$0.00	\$1,177.26	\$1,059.57
*** SPLIT TRANSACTIONS TOTAL ***	\$57,956.48	\$1,177.26	\$0.00	\$1,177.26	\$1,059.57

ADJUSTMENTS

09/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00			-300.00
09/15/2017	*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00			-100.00
09/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00			-275.00
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$-675.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,503.77
Split Transactions	\$1,059.57
Override Transactions	\$0.00
Adjustments	\$-675.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,888.34
Year-to-date Gross	\$113,495.66
Year-to-date Earnings	\$111,180.73

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