



Concorde Investment Services, LLC

03/13/2018

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COMMISSION STATEMENT

March 15, 2018

JEFFREY, K119 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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/20/2018	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	1,230.76	12.31	0.00	12.31	90.0	11.08
02/20/2018	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	466.46	4.66	0.00	4.66	90.0	4.19
02/20/2018	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	92.49	0.92	0.00	0.92	90.0	0.83
02/20/2018	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	154.14	1.54	0.00	1.54	90.0	1.39
02/20/2018	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	41.59	0.42	0.00	0.42	90.0	0.38
02/20/2018	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	41.59	0.42	0.00	0.42	90.0	0.38
02/20/2018	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	94.46	0.94	0.00	0.94	90.0	0.85
02/20/2018	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	94.46	0.94	0.00	0.94	90.0	0.85
02/20/2018	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	25.63	0.26	0.00	0.26	90.0	0.23
02/20/2018	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	25.63	0.26	0.00	0.26	90.0	0.23
02/20/2018	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
02/20/2018	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
02/20/2018	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	43.54	0.44	0.00	0.44	90.0	0.40
02/20/2018	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	43.54	0.44	0.00	0.44	90.0	0.40
02/20/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN BALANCED A	987.30	9.87	0.00	9.87	90.0	8.88
02/20/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN BALANCED A	296.19	2.96	0.00	2.96	90.0	2.66
02/20/2018	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	378.98	3.79	0.00	3.79	90.0	3.41
02/20/2018	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	162.42	1.62	0.00	1.62	90.0	1.46
02/20/2018	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	75.15	0.75	0.00	0.75	90.0	0.68
02/20/2018	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	75.15	0.75	0.00	0.75	90.0	0.68
02/21/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	3,750.00	187.50	0.00	187.50	90.0	168.75
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN BALANCED A	7.95	0.10	0.00	0.10	90.0	0.09
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN BALANCED A	52.00	0.62	0.00	0.62	90.0	0.56
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN HIGH-INC MUNI BON	7.95	0.10	0.00	0.10	90.0	0.09
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN HIGH-INC MUNI BON	52.00	0.62	0.00	0.62	90.0	0.56
02/20/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	211.57	2.12	0.00	2.12	90.0	1.91

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 FUNDS</u>								
02/20/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	63.47	0.63	0.00	0.63	90.0	0.57
02/20/2018	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	65.92	0.66	0.00	0.66	90.0	0.59
02/20/2018	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.72	0.25	0.00	0.25	90.0	0.23
02/20/2018	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	267.77	2.68	0.00	2.68	90.0	2.41
02/20/2018	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	267.77	2.68	0.00	2.68	90.0	2.41
02/20/2018	GODAR, LOUISE	AM FUNDS BALANCED PORT A	41.67	0.42	0.00	0.42	90.0	0.38
02/20/2018	GODAR, LOUISE	AM FUNDS BALANCED PORT A	41.67	0.42	0.00	0.42	90.0	0.38
02/20/2018	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.90	0.21	0.00	0.21	90.0	0.19
02/20/2018	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	41.80	0.42	0.00	0.42	90.0	0.38
02/20/2018	KILEY, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	211.56	2.12	0.00	2.12	90.0	1.91
02/20/2018	KILEY, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	63.47	0.63	0.00	0.63	90.0	0.57
02/20/2018	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	49.44	0.49	0.00	0.49	90.0	0.44
02/20/2018	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.54	0.19	0.00	0.19	90.0	0.17
02/20/2018	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	192.26	3.85	0.00	3.85	90.0	3.47
02/21/2018	MO/TOD	AM FUNDS EUROPACIFIC GROWTH FUND A	3,750.00	187.50	0.00	187.50	90.0	168.75
03/01/2018	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2018	GAMM, SKYLAR	AM FUNDS EUROPACIFIC GROWTH FUND C	300.00	3.00	0.00	3.00	90.0	2.70
02/20/2018	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	947.16	9.47	0.00	9.47	90.0	8.52
02/20/2018	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	321.00	3.21	0.00	3.21	90.0	2.89
02/20/2018	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	114.10	1.14	0.00	1.14	90.0	1.03
02/20/2018	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	114.10	1.14	0.00	1.14	90.0	1.03
02/20/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	77.54	0.78	0.00	0.78	90.0	0.70
02/20/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	77.54	0.78	0.00	0.78	90.0	0.70
02/20/2018	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	66.57	0.67	0.00	0.67	90.0	0.60
02/20/2018	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	66.57	0.67	0.00	0.67	90.0	0.60
02/20/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	83.60	0.84	0.00	0.84	90.0	0.76
02/20/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.80	0.42	0.00	0.42	90.0	0.38
02/20/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	55.80	0.56	0.00	0.56	90.0	0.50
02/20/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	15.22	0.15	0.00	0.15	90.0	0.14
02/20/2018	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	49.44	0.49	0.00	0.49	90.0	0.44
02/20/2018	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.54	0.19	0.00	0.19	90.0	0.17
02/20/2018	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	384.52	7.69	0.00	7.69	90.0	6.92
02/20/2018	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.76	0.31	0.00	0.31	90.0	0.28

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/20/2018	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.76	0.31	0.00	0.31	90.0	0.28
02/20/2018	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	60.29	0.60	0.00	0.60	90.0	0.54
02/20/2018	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	60.29	0.60	0.00	0.60	90.0	0.54
02/20/2018	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	45.31	0.45	0.00	0.45	90.0	0.41
02/20/2018	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	45.31	0.45	0.00	0.45	90.0	0.41
02/20/2018	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	4.35	0.04	0.00	0.04	90.0	0.04
02/20/2018	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.10	0.00	0.10	90.0	0.09
02/21/2018	MO/TOD	AM FUNDS GROWTH FUND OF AMERICA A	3,750.00	187.50	0.00	187.50	90.0	168.75
03/01/2018	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2018	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	56.08	2.10	0.00	2.10	90.0	1.89
03/01/2018	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	49.58	1.86	0.00	1.86	90.0	1.67
03/01/2018	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	122.56	4.60	0.00	4.60	90.0	4.14
03/01/2018	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH FUND OF AMERICA A	7.95	0.10	0.00	0.10	90.0	0.09
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH FUND OF AMERICA A	52.00	0.62	0.00	0.62	90.0	0.56
03/02/2018	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	43.60	0.52	0.00	0.52	90.0	0.47
03/02/2018	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	105.00	1.26	0.00	1.26	90.0	1.13
03/02/2018	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	31.02	0.37	0.00	0.37	90.0	0.33
03/02/2018	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.50	0.00	0.50	90.0	0.45
03/02/2018	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	3.12	0.00	3.12	90.0	2.81
03/02/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	645.83	7.75	0.00	7.75	90.0	6.98
03/02/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.99	0.00	0.99	90.0	0.89
03/02/2018	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	3.12	0.00	3.12	90.0	2.81
03/02/2018	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.50	0.00	0.50	90.0	0.45
03/02/2018	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.81	0.00	0.81	90.0	0.73
03/02/2018	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.81	0.00	0.81	90.0	0.73
03/01/2018	GAMM, SKYLAR	AM FUNDS GROWTH FUND OF AMERICA C	300.00	3.00	0.00	3.00	90.0	2.70
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH PORT A	52.00	0.62	0.00	0.62	90.0	0.56
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH PORT A	7.95	0.10	0.00	0.10	90.0	0.09
02/20/2018	OPPLAND, ZACHARY	AM FUNDS ICA A	244.80	2.45	0.00	2.45	90.0	2.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/20/2018	OPPLAND, ZACHARY	AM FUNDS ICA A	61.20	0.61	0.00	0.61	90.0	0.55
03/01/2018	WINFREY, LARRY	AM FUNDS ICA A	200.00	7.50	0.00	7.50	90.0	6.75
03/01/2018	BAUER, MATTHEW	AM FUNDS ICA A	54.42	2.04	0.00	2.04	90.0	1.84
03/01/2018	SUMMERS, AARON	AM FUNDS ICA A	49.58	1.86	0.00	1.86	90.0	1.67
03/01/2018	EICHHOLZ, JARED	AM FUNDS ICA A	122.56	4.60	0.00	4.60	90.0	4.14
03/02/2018	EULTGEN, VICKI	AM FUNDS ICA A	43.60	0.52	0.00	0.52	90.0	0.47
03/02/2018	EULTGEN, VICKI	AM FUNDS ICA A	105.00	1.26	0.00	1.26	90.0	1.13
03/02/2018	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.40	0.00	0.40	90.0	0.36
03/02/2018	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.50	0.00	2.50	90.0	2.25
03/02/2018	RIDGWAY, BENJAMIN	AM FUNDS ICA A	92.75	1.11	0.00	1.11	90.0	1.00
03/02/2018	RIDGWAY, BENJAMIN	AM FUNDS ICA A	92.75	1.11	0.00	1.11	90.0	1.00
03/02/2018	SUTTON, CHRISTOPHER	AM FUNDS ICA A	88.15	1.06	0.00	1.06	90.0	0.95
03/02/2018	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.34	0.00	1.34	90.0	1.21
02/20/2018	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	38.40	0.38	0.00	0.38	90.0	0.34
02/20/2018	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	38.40	0.38	0.00	0.38	90.0	0.34
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS INTL GROWTH AND INCOME A	7.95	0.10	0.00	0.10	90.0	0.09
03/02/2018	HOLTKAMP, MARIGENE	AM FUNDS INTL GROWTH AND INCOME A	52.00	0.62	0.00	0.62	90.0	0.56
03/02/2018	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.40	0.00	0.40	90.0	0.36
03/02/2018	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.50	0.00	2.50	90.0	2.25
02/20/2018	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	54.16	0.54	0.00	0.54	90.0	0.49
02/20/2018	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.77	0.15	0.00	0.15	90.0	0.14
02/20/2018	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	192.26	3.85	0.00	3.85	90.0	3.47
02/20/2018	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
02/20/2018	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
02/21/2018	MO/TOD	AM FUNDS NEW ECONOMY A	3,750.00	187.50	0.00	187.50	90.0	168.75
03/01/2018	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2018	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	54.43	2.04	0.00	2.04	90.0	1.84
03/02/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	59.46	0.71	0.00	0.71	90.0	0.64
03/02/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	59.46	0.71	0.00	0.71	90.0	0.64
03/02/2018	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	37.78	0.45	0.00	0.45	90.0	0.41
03/02/2018	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.58	0.00	0.58	90.0	0.52
03/01/2018	GAMM, SKYLAR	AM FUNDS NEW ECONOMY C	300.00	3.00	0.00	3.00	90.0	2.70
02/20/2018	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	83.60	0.84	0.00	0.84	90.0	0.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/20/2018	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.79	0.42	0.00	0.42	90.0	0.38
02/20/2018	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	54.16	0.54	0.00	0.54	90.0	0.49
02/20/2018	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.77	0.15	0.00	0.15	90.0	0.14
02/20/2018	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.86	0.30	0.00	0.30	90.0	0.27
02/20/2018	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.86	0.30	0.00	0.30	90.0	0.27
03/02/2018	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	70.00	0.84	0.00	0.84	90.0	0.76
03/02/2018	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	29.08	0.35	0.00	0.35	90.0	0.32
03/02/2018	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	31.02	0.37	0.00	0.37	90.0	0.33
03/02/2018	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.40	0.00	0.40	90.0	0.36
03/02/2018	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.50	0.00	2.50	90.0	2.25
03/02/2018	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	59.46	0.71	0.00	0.71	90.0	0.64
03/02/2018	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	59.46	0.71	0.00	0.71	90.0	0.64
03/02/2018	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.50	0.00	0.50	90.0	0.45
03/02/2018	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	3.12	0.00	3.12	90.0	2.81
03/01/2018	GAMM, SKYLAR	AM FUNDS NEW PERSPECTIVE C	300.00	3.00	0.00	3.00	90.0	2.70
02/20/2018	CROWLEY, MICHA	AM FUNDS NEW WORLD A	192.26	3.85	0.00	3.85	90.0	3.47
02/20/2018	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.86	0.30	0.00	0.30	90.0	0.27
02/20/2018	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.86	0.30	0.00	0.30	90.0	0.27
03/02/2018	HOLTKAMP, MARIIGENE	AM FUNDS NEW WORLD A	39.76	0.48	0.00	0.48	90.0	0.43
03/02/2018	HOLTKAMP, MARIIGENE	AM FUNDS NEW WORLD A	260.00	3.12	0.00	3.12	90.0	2.81
03/02/2018	EULTGEN, VICKI	AM FUNDS NEW WORLD A	35.00	0.42	0.00	0.42	90.0	0.38
03/02/2018	EULTGEN, VICKI	AM FUNDS NEW WORLD A	14.53	0.17	0.00	0.17	90.0	0.15
03/02/2018	TURNER, JOSH	AM FUNDS NEW WORLD A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	TURNER, JOSH	AM FUNDS NEW WORLD A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.10	0.00	0.10	90.0	0.09
03/02/2018	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.62	0.00	0.62	90.0	0.56
03/02/2018	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	645.83	7.75	0.00	7.75	90.0	6.98
03/02/2018	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.99	0.00	0.99	90.0	0.89
03/02/2018	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.30	0.33	0.00	0.33	90.0	0.30
03/02/2018	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.30	0.33	0.00	0.33	90.0	0.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/02/2018	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	3.12	0.00	3.12	90.0	2.81
03/02/2018	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.50	0.00	0.50	90.0	0.45
03/02/2018	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.81	0.00	0.81	90.0	0.73
03/02/2018	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.81	0.00	0.81	90.0	0.73
03/01/2018	GAMM, SKYLAR	AM FUNDS NEW WORLD C	250.00	2.50	0.00	2.50	90.0	2.25
02/20/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	136.17	1.36	0.00	1.36	90.0	1.22
02/20/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	136.17	1.36	0.00	1.36	90.0	1.22
02/20/2018	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	14,709.35	147.09	0.00	147.09	90.0	132.38
02/20/2018	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	660.94	6.61	0.00	6.61	90.0	5.95
03/01/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
03/02/2018	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	14.53	0.17	0.00	0.17	90.0	0.15
03/02/2018	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	35.00	0.42	0.00	0.42	90.0	0.38
03/02/2018	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	31.01	0.37	0.00	0.37	90.0	0.33
03/02/2018	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.20	0.00	0.20	90.0	0.18
03/02/2018	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.25	0.00	1.25	90.0	1.13
03/02/2018	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.29	0.33	0.00	0.33	90.0	0.30
03/02/2018	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	3.12	0.00	3.12	90.0	2.81
03/02/2018	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.50	0.00	0.50	90.0	0.45
02/20/2018	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.83	0.35	0.00	0.35	90.0	0.32
02/20/2018	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	69.65	0.70	0.00	0.70	90.0	0.63
03/02/2018	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	117.26	1.41	0.00	1.41	90.0	1.27
03/02/2018	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	195.42	2.35	0.00	2.35	90.0	2.12
02/28/2018	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPTS	3,250.00	65.00	0.00	65.00	90.0	58.50
02/28/2018	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	3,250.00	65.00	0.00	65.00	90.0	58.50
* MUTUAL FUNDS SUBTOTAL *			\$56,458.74	\$1,281.54	\$0.00	\$1,281.54		\$1,153.54
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2018	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	12,368.21	10.31	0.00	10.31	90.0	9.28
02/28/2018	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	101,147.64	42.14	0.00	42.14	90.0	37.93
02/28/2018	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	255,634.30	106.51	0.00	106.51	90.0	95.86
02/28/2018	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	198,043.41	82.52	0.00	82.52	90.0	74.27
02/28/2018	GUIER, CARROL	JNL PERSPECTIVE II 04/14	25,430.76	10.60	0.00	10.60	90.0	9.54

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
02/28/2018	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	29,853.74	12.44	0.00	12.44	90.0	11.20
02/28/2018	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	147,180.85	61.33	0.00	61.33	90.0	55.20
02/28/2018	OSSMAN, ED	JNL PERSPECTIVE II 05/05	60,390.94	25.16	0.00	25.16	90.0	22.64
02/28/2018	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	28,791.50	12.00	0.00	12.00	90.0	10.80
02/28/2018	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	161,724.07	67.39	0.00	67.39	90.0	60.65
02/28/2018	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	97,882.97	40.78	0.00	40.78	90.0	36.70
02/28/2018	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	125,507.77	52.29	0.00	52.29	90.0	47.06
02/28/2018	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	285,027.21	118.76	0.00	118.76	90.0	106.88
02/28/2018	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	221,285.04	92.20	0.00	92.20	90.0	82.98
02/27/2018	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	28,338.20	23.62	0.00	23.62	90.0	21.26
02/27/2018	DOWNS, JAMES	SBL ADVISORDESIGNS VA	39,120.45	32.59	0.00	32.59	90.0	29.33
02/27/2018	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	93,002.93	77.50	0.00	77.50	90.0	69.75
02/27/2018	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	105,739.27	88.12	0.00	88.12	90.0	79.31
02/27/2018	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	10,500.82	8.75	0.00	8.75	90.0	7.88
02/27/2018	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	106,762.13	88.97	0.00	88.97	90.0	80.07
02/27/2018	LEE, HOWARD	SBL SECUREDESIGNS VA	267,204.42	55.66	0.00	55.66	90.0	50.09
* VARIABLE ANNUITIES SUBTOTAL *			\$2,400,936.63	\$1,109.64	\$0.00	\$1,109.64		\$998.68
PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE								
11/13/2017	ANDING, MARY DIANE	PAC LIFE VUL	0.00	28.00	0.00	28.00	90.0	25.20
11/13/2017	REGAN, WILLIAM	PAC LIFE VUL	0.00	1.50	0.00	1.50	90.0	1.35
11/13/2017	CALLIS, ANNIS	PAC LIFE VUL	0.00	6.00	0.00	6.00	90.0	5.40
11/13/2017	GRIFFIN, SHAWN	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
11/14/2017	MURRAY, JEFFREY	PAC LIFE VUL	0.00	11.69	0.00	11.69	90.0	10.52
11/20/2017	GAMM, SKYLAR	PAC LIFE VUL	0.00	40.26	0.00	40.26	90.0	36.23
02/02/2018	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
02/20/2018	HALL, ELLEN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
02/20/2018	GRIFFITH, CHERYL	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
02/20/2018	GAMM, SKYLAR	PAC LIFE VUL	7.37	0.15	0.00	0.15	90.0	0.14
02/20/2018	GAMM, SKYLAR	PAC LIFE VUL	417.63	87.70	0.00	87.70	90.0	78.93
02/20/2018	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
02/21/2018	GRIFFITH, CHERYL	PAC LIFE VUL	3,097.32	6.19	0.00	6.19	90.0	5.57
02/23/2018	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$3,972.32	\$196.99	\$0.00	\$196.99		\$177.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	WINFREY, LARRY	AM FUNDS 2025 TARGET DATE-A	0.00	2.56	0.00	2.56	90.0	2.30
03/01/2018	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	0.00	84.93	0.00	84.93	90.0	76.44
03/01/2018	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	0.00	0.11	0.00	0.11	90.0	0.10
03/01/2018	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	0.00	6.31	0.00	6.31	90.0	5.68
03/01/2018	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	TAYLOR, LOIS	AM FUNDS 2045 TARGET DATE-A	0.00	7.73	0.00	7.73	90.0	6.96
03/01/2018	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2018	CATO, ANDREW	AM FUNDS 2050 TARGET DATE-A	0.00	2.48	0.00	2.48	90.0	2.23
03/01/2018	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	0.00	2.76	0.00	2.76	90.0	2.48
03/01/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN BALANCED 529A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2018	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.74	0.00	6.74	90.0	6.07
03/01/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN BALANCED 529C	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2018	HOSTETTER MO/TOD, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	8.06	0.00	8.06	90.0	7.25
03/01/2018	ANDING, MARY DIANE	AM FUNDS AMERICAN BALANCED A	0.00	203.77	0.00	203.77	90.0	183.39
03/01/2018	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2018	PRATER, RAMONA	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	NOWLIN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	20.52	0.00	20.52	90.0	18.47
03/01/2018	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	9.31	0.00	9.31	90.0	8.38
03/01/2018	OSSMAN, ED	AM FUNDS AMERICAN BALANCED A	0.00	83.79	0.00	83.79	90.0	75.41
03/01/2018	FRIEDERICH, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	39.45	0.00	39.45	90.0	35.51
03/01/2018	ALLEN, MICHELLE	AM FUNDS AMERICAN BALANCED A	0.00	4.42	0.00	4.42	90.0	3.98
03/01/2018	GUIER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	27.62	0.00	27.62	90.0	24.86
03/01/2018	KILEY, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.67	0.00	1.67	90.0	1.50
03/01/2018	OWEN, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	5.20	0.00	5.20	90.0	4.68
03/01/2018	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	37.38	0.00	37.38	90.0	33.64
03/01/2018	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	6.83	0.00	6.83	90.0	6.15
03/01/2018	GRIFFIN, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2018	BLODGETT, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	12.34	0.00	12.34	90.0	11.11
03/01/2018	WINFREY, LARRY	AM FUNDS AMERICAN BALANCED A	0.00	2.16	0.00	2.16	90.0	1.94
03/01/2018	BAUER, MATTHEW	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2018	SCHAUMBURG, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.78	0.00	8.78	90.0	7.90

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	WINFREY, LARRY	AM FUNDS AMERICAN BALANCED A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2018	HALL, ELLEN	AM FUNDS AMERICAN BALANCED A	0.00	39.13	0.00	39.13	90.0	35.22
03/01/2018	GRIMSHAW, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	35.51	0.00	35.51	90.0	31.96
03/01/2018	DOWNS, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	13.64	0.00	13.64	90.0	12.28
03/01/2018	MILES, JACK	AM FUNDS AMERICAN BALANCED A	0.00	10.22	0.00	10.22	90.0	9.20
03/01/2018	HALL, HAROLD	AM FUNDS AMERICAN BALANCED A	0.00	22.37	0.00	22.37	90.0	20.13
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED A	0.00	2.29	0.00	2.29	90.0	2.06
03/01/2018	BARROW, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	18.94	0.00	18.94	90.0	17.05
03/01/2018	JENNINGS, MARY	AM FUNDS AMERICAN BALANCED A	0.00	87.23	0.00	87.23	90.0	78.51
03/01/2018	SAUSAMAN, URSULA	AM FUNDS AMERICAN BALANCED A	0.00	11.27	0.00	11.27	90.0	10.14
03/01/2018	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2018	JORDENING, LYNN	AM FUNDS AMERICAN BALANCED A	0.00	40.06	0.00	40.06	90.0	36.05
03/01/2018	JORDENING TRUST, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	32.49	0.00	32.49	90.0	29.24
03/01/2018	GUSTAFSON, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2018	FANGMAN, ROGER	AM FUNDS AMERICAN BALANCED A	0.00	6.58	0.00	6.58	90.0	5.92
03/01/2018	STEWART, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	6.10	0.00	6.10	90.0	5.49
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	13.26	0.00	13.26	90.0	11.93
03/01/2018	BLISS, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	15.51	0.00	15.51	90.0	13.96
03/01/2018	LEMON, GLEE	AM FUNDS AMERICAN BALANCED A	0.00	21.03	0.00	21.03	90.0	18.93
03/01/2018	DEBRA, PRICE	AM FUNDS AMERICAN BALANCED A	0.00	21.18	0.00	21.18	90.0	19.06
03/01/2018	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	17.33	0.00	17.33	90.0	15.60
03/01/2018	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	42.06	0.00	42.06	90.0	37.85
03/01/2018	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	9.00	0.00	9.00	90.0	8.10
03/01/2018	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	179.09	0.00	179.09	90.0	161.18
03/01/2018	ANDREWS, SAMUEL	AM FUNDS AMERICAN BALANCED A	0.00	3.84	0.00	3.84	90.0	3.46
03/01/2018	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	31.00	0.00	31.00	90.0	27.90
03/01/2018	HILDEBRAND, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	39.18	0.00	39.18	90.0	35.26
03/01/2018	HILDABRAND, ALVENA	AM FUNDS AMERICAN BALANCED A	0.00	9.19	0.00	9.19	90.0	8.27
03/01/2018	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	25.99	0.00	25.99	90.0	23.39
03/01/2018	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	10.42	0.00	10.42	90.0	9.38
03/01/2018	ROBINETT, CHARISSA	AM FUNDS AMERICAN BALANCED A	0.00	7.27	0.00	7.27	90.0	6.54
03/01/2018	MOODY, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	30.45	0.00	30.45	90.0	27.41
03/01/2018	SCOGGINS, CLAIRE	AM FUNDS AMERICAN BALANCED A	0.00	33.85	0.00	33.85	90.0	30.47

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	RICHARDSON, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	26.74	0.00	26.74	90.0	24.07
03/01/2018	VESTAL, SHARLEE	AM FUNDS AMERICAN BALANCED A	0.00	52.89	0.00	52.89	90.0	47.60
03/01/2018	GREEN, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	133.33	0.00	133.33	90.0	120.00
03/01/2018	LEWIS, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	29.67	0.00	29.67	90.0	26.70
03/01/2018	ELDRIDGE, DEE	AM FUNDS AMERICAN BALANCED A	0.00	130.78	0.00	130.78	90.0	117.70
03/01/2018	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	35.33	0.00	35.33	90.0	31.80
03/01/2018	CALLIS, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	28.92	0.00	28.92	90.0	26.03
03/01/2018	BOWERSOX, ZONA	AM FUNDS AMERICAN BALANCED A	0.00	42.21	0.00	42.21	90.0	37.99
03/01/2018	BOWERSOX, ROVEY	AM FUNDS AMERICAN BALANCED A	0.00	42.21	0.00	42.21	90.0	37.99
03/01/2018	MATTMANN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	18.10	0.00	18.10	90.0	16.29
03/01/2018	CO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	31.72	0.00	31.72	90.0	28.55
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED C	0.00	111.12	0.00	111.12	90.0	100.01
03/01/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2018	KILEY, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2018	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	0.00	11.00	0.00	11.00	90.0	9.90
03/01/2018	MCNERNEY, DAN	AM FUNDS AMERICAN MUTUAL A	0.00	11.63	0.00	11.63	90.0	10.47
03/01/2018	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2018	KEATON, LINDSY	AM FUNDS BALANCED PORT A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	GODAR, LOUISE	AM FUNDS BALANCED PORT A	0.00	2.13	0.00	2.13	90.0	1.92
03/01/2018	SMITH, KELLI	AM FUNDS BALANCED PORT A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2018	DANIELS, SCIPIO	AM FUNDS BALANCED PORT A	0.00	0.11	0.00	0.11	90.0	0.10
03/01/2018	JOHNSON, STANLEY	AM FUNDS BALANCED PORT A	0.00	18.12	0.00	18.12	90.0	16.31
03/01/2018	MEDLEY, LISA	AM FUNDS BALANCED PORT A	0.00	135.54	0.00	135.54	90.0	121.99
03/01/2018	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2018	GUIER, GREGORY	AM FUNDS BOND FUND OF AMERICA A	0.00	24.43	0.00	24.43	90.0	21.99
03/01/2018	GRIMSHAW, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	27.82	0.00	27.82	90.0	25.04
03/01/2018	DOWNS, SUZANNE	AM FUNDS BOND FUND OF AMERICA A	0.00	10.77	0.00	10.77	90.0	9.69
03/01/2018	FANGMAN, ROGER	AM FUNDS BOND FUND OF AMERICA A	0.00	3.22	0.00	3.22	90.0	2.90
03/01/2018	ELDRIDGE, DEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.79	0.00	21.79	90.0	19.61
03/01/2018	KILEY, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	90.0	0.12
03/01/2018	OSSMAN, ED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.46	0.00	12.46	90.0	11.21
03/01/2018	FRIEDERICH, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.87	0.00	5.87	90.0	5.28

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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>								
03/01/2018	MCNERNEY, DAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.05	0.00	8.05	90.0	7.25
03/01/2018	CALLIS, ANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.77	0.00	6.77	90.0	6.09
03/01/2018	JORDENING, LYNN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	79.19	0.00	79.19	90.0	71.27
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	7.13	0.00	7.13	90.0	6.42
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.02	0.00	2.02	90.0	1.82
03/01/2018	HOSTETTER MO/TOD, VICKI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.45	0.00	5.45	90.0	4.91
03/01/2018	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.61	0.00	2.61	90.0	2.35
03/01/2018	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.58	0.00	8.58	90.0	7.72
03/01/2018	GUIER, PAULA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.80	0.00	2.80	90.0	2.52
03/01/2018	SEYER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.91	0.00	6.91	90.0	6.22
03/01/2018	MIDDLETON, M	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2018	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.19	0.00	7.19	90.0	6.47
03/01/2018	WHEAT, KATHLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.09	0.00	5.09	90.0	4.58
03/01/2018	MCNERNEY, DAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.15	0.00	5.15	90.0	4.64
03/01/2018	GRIFFITH, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2018	GRIFFIN, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.88	0.00	7.88	90.0	7.09
03/01/2018	MANGUS, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.27	0.00	4.27	90.0	3.84
03/01/2018	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	31.68	0.00	31.68	90.0	28.51
03/01/2018	MURPHY, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.48	0.00	2.48	90.0	2.23
03/01/2018	TOMPKINS, ERIKA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2018	MEDLEY, LISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2018	MATTMANN, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2018	MO/TOD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	MO/TOD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2018	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.52	0.00	7.52	90.0	6.77
03/01/2018	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2018	ELDRIDGE, DEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.42	0.00	32.42	90.0	29.18
03/01/2018	REDDICK, RYAN	AM FUNDS GLOBAL BALANCED 529A	0.00	6.05	0.00	6.05	90.0	5.45
03/01/2018	SEYER, MARY	AM FUNDS GLOBAL BALANCED A	0.00	15.00	0.00	15.00	90.0	13.50
03/01/2018	HALL, ELLEN	AM FUNDS GLOBAL BALANCED A	0.00	17.73	0.00	17.73	90.0	15.96
03/01/2018	GRIMSHAW, ROBERT	AM FUNDS GLOBAL BALANCED A	0.00	30.74	0.00	30.74	90.0	27.67
03/01/2018	MILES, JACK	AM FUNDS GLOBAL BALANCED A	0.00	8.86	0.00	8.86	90.0	7.97

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HALL, HAROLD	AM FUNDS GLOBAL BALANCED A	0.00	19.45	0.00	19.45	90.0	17.51
03/01/2018	SAUSAMAN, URSULA	AM FUNDS GLOBAL BALANCED A	0.00	10.38	0.00	10.38	90.0	9.34
03/01/2018	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	0.00	85.77	0.00	85.77	90.0	77.19
03/01/2018	JORDENING TRUST, PAUL	AM FUNDS GLOBAL BALANCED A	0.00	30.97	0.00	30.97	90.0	27.87
03/01/2018	STEWART, SHEILA	AM FUNDS GLOBAL BALANCED A	0.00	6.10	0.00	6.10	90.0	5.49
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS GLOBAL BALANCED A	0.00	12.74	0.00	12.74	90.0	11.47
03/01/2018	TURNER, GARY	AM FUNDS GLOBAL BALANCED A	0.00	10.37	0.00	10.37	90.0	9.33
03/01/2018	ROBINETT, CHARISSA	AM FUNDS GLOBAL BALANCED A	0.00	7.22	0.00	7.22	90.0	6.50
03/01/2018	LIGHT, LUELLA	AM FUNDS GLOBAL BALANCED A	0.00	20.91	0.00	20.91	90.0	18.82
03/01/2018	MOODY, DAVID	AM FUNDS GLOBAL BALANCED A	0.00	8.94	0.00	8.94	90.0	8.05
03/01/2018	ELDRIDGE, DEE	AM FUNDS GLOBAL BALANCED A	0.00	83.98	0.00	83.98	90.0	75.58
03/01/2018	ELDER, RONALD	AM FUNDS GLOBAL BALANCED A	0.00	34.07	0.00	34.07	90.0	30.66
03/01/2018	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	0.00	21.98	0.00	21.98	90.0	19.78
03/01/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2018	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2018	PRATER, RAMONA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2018	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.12	0.00	8.12	90.0	7.31
03/01/2018	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2018	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2018	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2018	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.58	0.00	8.58	90.0	7.72
03/01/2018	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	82.53	0.00	82.53	90.0	74.28
03/01/2018	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.62	0.00	30.62	90.0	27.56
03/01/2018	GUIER, PAULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.86	0.00	3.86	90.0	3.47
03/01/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2018	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	67.89	0.00	67.89	90.0	61.10
03/01/2018	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.30	0.00	7.30	90.0	6.57
03/01/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.72	0.00	10.72	90.0	9.65
03/01/2018	NOWLIN, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	KILEY, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.94	0.00	17.94	90.0	16.15
03/01/2018	SEYER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.10	0.00	18.10	90.0	16.29
03/01/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.87	0.00	6.87	90.0	6.18
03/01/2018	MIDDLETON, M	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.28	0.00	9.28	90.0	8.35
03/01/2018	WHEAT, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.19	0.00	9.19	90.0	8.27
03/01/2018	KEMBLE, CARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.72	0.00	2.72	90.0	2.45
03/01/2018	CALLIS, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.41	0.00	6.41	90.0	5.77
03/01/2018	CALLIS, CHAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.58	0.00	5.58	90.0	5.02
03/01/2018	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.37	0.00	7.37	90.0	6.63
03/01/2018	CRANE, MISTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.36	0.00	6.36	90.0	5.72
03/01/2018	GUIER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.56	0.00	30.56	90.0	27.50
03/01/2018	TWEHOUS, NOLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.58	0.00	5.58	90.0	5.02
03/01/2018	KILEY, TERRANCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2018	GUIER, GRACIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2018	GRIFFITH, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.55	0.00	8.55	90.0	7.70
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.55	0.00	8.55	90.0	7.70
03/01/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.43	0.00	10.43	90.0	9.39
03/01/2018	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.50	0.00	15.50	90.0	13.95
03/01/2018	TAYLOR, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.04	0.00	17.04	90.0	15.34
03/01/2018	BLODGETT, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2018	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	1.04
03/01/2018	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.80	0.00	4.80	90.0	4.32
03/01/2018	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.03	0.00	4.03	90.0	3.63
03/01/2018	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.15	0.00	11.15	90.0	10.04
03/01/2018	MANGUS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.16	0.00	4.16	90.0	3.74
03/01/2018	KAUFMAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	24.58	0.00	24.58	90.0	22.12
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	24.98	0.00	24.98	90.0	22.48
03/01/2018	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.57	0.00	3.57	90.0	3.21
03/01/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2018	AHERN, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2018	GRIMSHAW, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.53	0.00	41.53	90.0	37.38
03/01/2018	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.24	0.00	7.24	90.0	6.52
03/01/2018	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.01	0.00	5.01	90.0	4.51
03/01/2018	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2018	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	117.50	0.00	117.50	90.0	105.75

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
03/01/2018	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	1.11
03/01/2018	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	1.77
03/01/2018	SAUSAMAN, URSULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.82	0.00	7.82	90.0	7.04
03/01/2018	WIBBENMEYER, BRITTANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.12	0.00	2.12	90.0	1.91
03/01/2018	JORDENING, LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	45.10	0.00	45.10	90.0	40.59
03/01/2018	FANGMAN, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.48	0.00	3.48	90.0	3.13
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.38	0.00	7.38	90.0	6.64
03/01/2018	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.18	0.00	2.18	90.0	1.96
03/01/2018	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
03/01/2018	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
03/01/2018	BURKHARDT, MORGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2018	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.09	0.00	18.09	90.0	16.28
03/01/2018	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2018	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.05	0.00	18.05	90.0	16.25
03/01/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.92	0.00	29.92	90.0	26.93
03/01/2018	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2018	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.45	0.00	10.45	90.0	9.41
03/01/2018	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2018	TOMPKINS, ERIKA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2018	TURNER, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.99	0.00	8.99	90.0	8.09
03/01/2018	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2018	ROBINETT, CHARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.10	0.00	8.10	90.0	7.29
03/01/2018	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2018	ELLIOTT, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.59	0.00	5.59	90.0	5.03
03/01/2018	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2018	MEDLEY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.33	0.00	4.33	90.0	3.90
03/01/2018	MOODY, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.16	0.00	8.16	90.0	7.34
03/01/2018	HELMANDOLLAR, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2018	GREEN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.86	0.00	37.86	90.0	34.07
03/01/2018	ELDRIDGE, DEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.48	0.00	10.48	90.0	9.43
03/01/2018	RHODES, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	1.21

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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>								
03/01/2018	DOWNES, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	REDDICK, CRYSTAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	MO/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	MO/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2018	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.02	0.00	7.02	90.0	6.32
03/01/2018	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.22	0.00	0.22	90.0	0.20
03/01/2018	GAMM, SKYLAR	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2018	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.02	0.00	2.02	90.0	1.82
03/01/2018	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.23	0.00	1.23	90.0	1.11
03/01/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH PORT A	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2018	REDDICK, RYAN	AM FUNDS ICA 529A	0.00	7.58	0.00	7.58	90.0	6.82
03/01/2018	HOSTETTER MO/TOD, VICKI	AM FUNDS ICA A	0.00	18.10	0.00	18.10	90.0	16.29
03/01/2018	PECK, THOMAS	AM FUNDS ICA A	0.00	5.16	0.00	5.16	90.0	4.64
03/01/2018	GUIER, PAULA	AM FUNDS ICA A	0.00	3.41	0.00	3.41	90.0	3.07
03/01/2018	NOWLIN, STACEY	AM FUNDS ICA A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2018	KILEY, CHRISTINE	AM FUNDS ICA A	0.00	17.09	0.00	17.09	90.0	15.38
03/01/2018	CRANE, MISTY	AM FUNDS ICA A	0.00	2.54	0.00	2.54	90.0	2.29
03/01/2018	JOE L KAUFMAN INC	AM FUNDS ICA A	0.00	92.50	0.00	92.50	90.0	83.25
03/01/2018	TWEHOUS, NOLAN	AM FUNDS ICA A	0.00	3.05	0.00	3.05	90.0	2.75
03/01/2018	WINFREY, LARRY	AM FUNDS ICA A	0.00	8.80	0.00	8.80	90.0	7.92
03/01/2018	BAUER, MATTHEW	AM FUNDS ICA A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2018	SUMMERS, AARON	AM FUNDS ICA A	0.00	4.51	0.00	4.51	90.0	4.06
03/01/2018	EICHHOLZ, JARED	AM FUNDS ICA A	0.00	3.71	0.00	3.71	90.0	3.34
03/01/2018	WINFREY, LARRY	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	1.05
03/01/2018	SAUSAMAN, URSULA	AM FUNDS ICA A	0.00	14.43	0.00	14.43	90.0	12.99
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS ICA A	0.00	14.44	0.00	14.44	90.0	13.00
03/01/2018	DILLON, EMMA	AM FUNDS ICA A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2018	OPPLAND, ZACHARY	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2018	EULTGEN, VICKI	AM FUNDS ICA A	0.00	17.06	0.00	17.06	90.0	15.35
03/01/2018	MURPHY, MELISSA	AM FUNDS ICA A	0.00	15.99	0.00	15.99	90.0	14.39

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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>								
03/01/2018	PETERSON, BAILY	AM FUNDS ICA A	0.00	0.11	0.00	0.11	90.0	0.10
03/01/2018	RIDGWAY, BENJAMIN	AM FUNDS ICA A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	TURNER, GARY	AM FUNDS ICA A	0.00	10.10	0.00	10.10	90.0	9.09
03/01/2018	SUTTON, CHRISTOPHER	AM FUNDS ICA A	0.00	42.20	0.00	42.20	90.0	37.98
03/01/2018	ELMORE, STUART	AM FUNDS ICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2018	HILDABRAND, ALVENA	AM FUNDS ICA A	0.00	8.60	0.00	8.60	90.0	7.74
03/01/2018	ELDRIDGE, DEE	AM FUNDS ICA A	0.00	46.43	0.00	46.43	90.0	41.79
03/01/2018	PRATER, RAMONA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2018	OSSMAN, ED	AM FUNDS INCOME FUND OF AMERICA A	0.00	90.01	0.00	90.01	90.0	81.01
03/01/2018	FRIEDERICH, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	33.94	0.00	33.94	90.0	30.55
03/01/2018	OWEN, ERNEST	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.68	0.00	4.68	90.0	4.21
03/01/2018	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	125.84	0.00	125.84	90.0	113.26
03/01/2018	BLISS, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.28	0.00	7.28	90.0	6.55
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	5.90	0.00	5.90	90.0	5.31
03/01/2018	WILMSMEYER, CHRISTA	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2018	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.41	0.00	0.41	90.0	0.37
03/01/2018	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	OWEN, ERNEST	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.81	0.00	3.81	90.0	3.43
03/01/2018	HOLTKAMP, MARIGENE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.60	0.00	0.60	90.0	0.54
03/01/2018	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	0.00	13.63	0.00	13.63	90.0	12.27
03/01/2018	ANDING, MARY DIANE	AM FUNDS NEW ECONOMY A	0.00	50.01	0.00	50.01	90.0	45.01
03/01/2018	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	0.00	8.87	0.00	8.87	90.0	7.98
03/01/2018	GUIER, PAULA	AM FUNDS NEW ECONOMY A	0.00	4.08	0.00	4.08	90.0	3.67
03/01/2018	GRIFFIN, AMANDA	AM FUNDS NEW ECONOMY A	0.00	5.69	0.00	5.69	90.0	5.12
03/01/2018	KILEY, CHRISTINE	AM FUNDS NEW ECONOMY A	0.00	7.70	0.00	7.70	90.0	6.93
03/01/2018	SEYER, MARY	AM FUNDS NEW ECONOMY A	0.00	11.04	0.00	11.04	90.0	9.94
03/01/2018	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	0.00	7.05	0.00	7.05	90.0	6.35
03/01/2018	GUIER, GREGORY	AM FUNDS NEW ECONOMY A	0.00	32.67	0.00	32.67	90.0	29.40
03/01/2018	TWEHOUS, NOLAN	AM FUNDS NEW ECONOMY A	0.00	1.81	0.00	1.81	90.0	1.63
03/01/2018	GUIER, GRACIE	AM FUNDS NEW ECONOMY A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS NEW ECONOMY A	0.00	10.92	0.00	10.92	90.0	9.83
03/01/2018	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.45	0.00	0.45	90.0	0.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MANGUS, DANIEL	AM FUNDS NEW ECONOMY A	0.00	4.44	0.00	4.44	90.0	4.00
03/01/2018	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	5.10	0.00	5.10	90.0	4.59
03/01/2018	HALL, ELLEN	AM FUNDS NEW ECONOMY A	0.00	6.59	0.00	6.59	90.0	5.93
03/01/2018	AHERN, OLIVIA	AM FUNDS NEW ECONOMY A	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2018	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	0.00	80.69	0.00	80.69	90.0	72.62
03/01/2018	CARSON, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.91	0.00	0.91	90.0	0.82
03/01/2018	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	0.00	52.74	0.00	52.74	90.0	47.47
03/01/2018	GUIER, CLINT	AM FUNDS NEW ECONOMY A	0.00	18.18	0.00	18.18	90.0	16.36
03/01/2018	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2018	OPPLAND, ZACHARY	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2018	BURKHARDT, MORGAN	AM FUNDS NEW ECONOMY A	0.00	0.29	0.00	0.29	90.0	0.26
03/01/2018	MURPHY, MELISSA	AM FUNDS NEW ECONOMY A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2018	TURNER, GARY	AM FUNDS NEW ECONOMY A	0.00	8.21	0.00	8.21	90.0	7.39
03/01/2018	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	15.97	0.00	15.97	90.0	14.37
03/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	8.68	0.00	8.68	90.0	7.81
03/01/2018	MEDLEY, LISA	AM FUNDS NEW ECONOMY A	0.00	3.48	0.00	3.48	90.0	3.13
03/01/2018	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2018	MOODY, DAVID	AM FUNDS NEW ECONOMY A	0.00	4.26	0.00	4.26	90.0	3.83
03/01/2018	MO/TOD	AM FUNDS NEW ECONOMY A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	MO/TOD	AM FUNDS NEW ECONOMY A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	ANDING, MARY DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	106.52	0.00	106.52	90.0	95.87
03/01/2018	REDDICK, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.80	0.00	6.80	90.0	6.12
03/01/2018	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	0.00	5.54	0.00	5.54	90.0	4.99
03/01/2018	SEYER, MARY	AM FUNDS NEW PERSPECTIVE A	0.00	10.40	0.00	10.40	90.0	9.36
03/01/2018	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	0.00	6.06	0.00	6.06	90.0	5.45
03/01/2018	MIDDLETON, M	AM FUNDS NEW PERSPECTIVE A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2018	MCNERNEY, DAN	AM FUNDS NEW PERSPECTIVE A	0.00	5.73	0.00	5.73	90.0	5.16
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	10.44	0.00	10.44	90.0	9.40
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	14.02	0.00	14.02	90.0	12.62
03/01/2018	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2018	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	0.00	14.79	0.00	14.79	90.0	13.31

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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>								
03/01/2018	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2018	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	17.14	0.00	17.14	90.0	15.43
03/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2018	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2018	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	0.00	10.06	0.00	10.06	90.0	9.05
03/01/2018	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	7.72	0.00	7.72	90.0	6.95
03/01/2018	ELLIOTT, TIMOTHY	AM FUNDS NEW PERSPECTIVE A	0.00	5.27	0.00	5.27	90.0	4.74
03/01/2018	MOODY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	4.01	0.00	4.01	90.0	3.61
03/01/2018	KAUFMAN, COOPER	AM FUNDS NEW PERSPECTIVE C	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2018	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE C	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE F-1	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2018	REDDICK, RYAN	AM FUNDS NEW WORLD 529A	0.00	6.52	0.00	6.52	90.0	5.87
03/01/2018	GUIER, PAULA	AM FUNDS NEW WORLD A	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2018	SEYER, MARY	AM FUNDS NEW WORLD A	0.00	7.21	0.00	7.21	90.0	6.49
03/01/2018	KEMBLE, CARA	AM FUNDS NEW WORLD A	0.00	2.77	0.00	2.77	90.0	2.49
03/01/2018	OSSMAN, ED	AM FUNDS NEW WORLD A	0.00	6.58	0.00	6.58	90.0	5.92
03/01/2018	FRIEDERICH, JOHN	AM FUNDS NEW WORLD A	0.00	4.67	0.00	4.67	90.0	4.20
03/01/2018	TWEHOUS, NOLAN	AM FUNDS NEW WORLD A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	9.01	0.00	9.01	90.0	8.11
03/01/2018	GRIFFITH, CHERYL	AM FUNDS NEW WORLD A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2018	GUIER, CASH	AM FUNDS NEW WORLD A	0.00	1.38	0.00	1.38	90.0	1.24
03/01/2018	MANGUS, DANIEL	AM FUNDS NEW WORLD A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2018	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2018	AHERN, OLIVIA	AM FUNDS NEW WORLD A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2018	CROWLEY, MICHA	AM FUNDS NEW WORLD A	0.00	49.87	0.00	49.87	90.0	44.88
03/01/2018	MCKENZIE, JADA	AM FUNDS NEW WORLD A	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2018	SAUSAMAN, URSULA	AM FUNDS NEW WORLD A	0.00	2.31	0.00	2.31	90.0	2.08
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS NEW WORLD A	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2018	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	MULLENIX, AMANDA	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2018	HOLTKAMP, MARIGENE	AM FUNDS NEW WORLD A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2018	EULTGEN, VICKI	AM FUNDS NEW WORLD A	0.00	7.51	0.00	7.51	90.0	6.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	TURNER, JOSH	AM FUNDS NEW WORLD A	0.00	1.59	0.00	1.59	90.0	1.43
03/01/2018	MURPHY, MELISSA	AM FUNDS NEW WORLD A	0.00	9.61	0.00	9.61	90.0	8.65
03/01/2018	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	0.00	31.11	0.00	31.11	90.0	28.00
03/01/2018	VICTOR, THOMAS	AM FUNDS NEW WORLD A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2018	TURNER, COREY	AM FUNDS NEW WORLD A	0.00	10.24	0.00	10.24	90.0	9.22
03/01/2018	RYAN, MATTHEW	AM FUNDS NEW WORLD A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2018	MEDLEY, LISA	AM FUNDS NEW WORLD A	0.00	3.44	0.00	3.44	90.0	3.10
03/01/2018	MOODY, DAVID	AM FUNDS NEW WORLD A	0.00	3.96	0.00	3.96	90.0	3.56
03/01/2018	MO/TOD	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2018	KAUFMAN, COOPER	AM FUNDS NEW WORLD C	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2018	ELLIOT, MITCHELL	AM FUNDS NEW WORLD C	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2018	KAUFMAN, ELLIE	AM FUNDS NEW WORLD FUND F1	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2018	KAUFMAN, COOPER	AM FUNDS NEW WORLD FUND F1	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2018	ELLIOT, MITCHELL	AM FUNDS NEW WORLD FUND F1	0.00	0.89	0.00	0.89	90.0	0.80
03/01/2018	HOSTETTER MO/TOD, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	4.37	0.00	4.37	90.0	3.93
03/01/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	8.27	0.00	8.27	90.0	7.44
03/01/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	10.58	0.00	10.58	90.0	9.52
03/01/2018	GRIFFIN, AMANDA	AM FUNDS SMALLCAP WORLD A	0.00	5.26	0.00	5.26	90.0	4.73
03/01/2018	KILEY, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	7.27	0.00	7.27	90.0	6.54
03/01/2018	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	0.00	11.25	0.00	11.25	90.0	10.13
03/01/2018	MIDDLETON, M	AM FUNDS SMALLCAP WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	WHEAT, KATHLEEN	AM FUNDS SMALLCAP WORLD A	0.00	9.14	0.00	9.14	90.0	8.23
03/01/2018	KEMBLE, CARA	AM FUNDS SMALLCAP WORLD A	0.00	2.64	0.00	2.64	90.0	2.38
03/01/2018	OSSMAN, ED	AM FUNDS SMALLCAP WORLD A	0.00	7.06	0.00	7.06	90.0	6.35
03/01/2018	FRIEDERICH, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	5.76	0.00	5.76	90.0	5.18
03/01/2018	MCNERNEY, DAN	AM FUNDS SMALLCAP WORLD A	0.00	8.12	0.00	8.12	90.0	7.31
03/01/2018	GUIER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	30.26	0.00	30.26	90.0	27.23
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	10.85	0.00	10.85	90.0	9.77
03/01/2018	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	2.94	0.00	2.94	90.0	2.65
03/01/2018	GRIFFIN, SHAWN	AM FUNDS SMALLCAP WORLD A	0.00	7.59	0.00	7.59	90.0	6.83
03/01/2018	MANGUS, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	2.49	0.00	2.49	90.0	2.24
03/01/2018	GUIER, KNOX	AM FUNDS SMALLCAP WORLD A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2018	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	3.19	0.00	3.19	90.0	2.87

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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>								
03/01/2018	BIETSCH, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.89	0.00	0.89	90.0	0.80
03/01/2018	AHERN, OLIVIA	AM FUNDS SMALLCAP WORLD A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2018	MCKENZIE, JADA	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	CARSON, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.85	0.00	0.85	90.0	0.77
03/01/2018	WIBBENMEYER, BRITTANY	AM FUNDS SMALLCAP WORLD A	0.00	1.97	0.00	1.97	90.0	1.77
03/01/2018	DEUSCHLE, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	3.56	0.00	3.56	90.0	3.20
03/01/2018	OPPLAND, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	1.28
03/01/2018	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	0.00	0.89	0.00	0.89	90.0	0.80
03/01/2018	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	14.23	0.00	14.23	90.0	12.81
03/01/2018	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2018	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	13.43	0.00	13.43	90.0	12.09
03/01/2018	MURPHY, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	29.77	0.00	29.77	90.0	26.79
03/01/2018	PETERSON, BAILY	AM FUNDS SMALLCAP WORLD A	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2018	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2018	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	0.00	10.31	0.00	10.31	90.0	9.28
03/01/2018	TURNER, GARY	AM FUNDS SMALLCAP WORLD A	0.00	8.01	0.00	8.01	90.0	7.21
03/01/2018	RYAN, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2018	SUTTON, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	14.65	0.00	14.65	90.0	13.19
03/01/2018	TOMPKINS, ERIKA	AM FUNDS SMALLCAP WORLD A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2018	ROBINETT, CHARISSA	AM FUNDS SMALLCAP WORLD A	0.00	8.01	0.00	8.01	90.0	7.21
03/01/2018	ELLIOTT, MITCHELL	AM FUNDS SMALLCAP WORLD A	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2018	ELLIOTT, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	5.30	0.00	5.30	90.0	4.77
03/01/2018	MEDLEY, LISA	AM FUNDS SMALLCAP WORLD A	0.00	3.25	0.00	3.25	90.0	2.93
03/01/2018	MOODY, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	3.92	0.00	3.92	90.0	3.53
03/01/2018	MO/TOD	AM FUNDS SMALLCAP WORLD A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2018	KAUFMAN, COOPER	AM FUNDS SMALLCAP WORLD C	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2018	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2018	STEVENSON, DAVID	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.11	0.00	7.11	90.0	6.40
03/01/2018	CROWLEY TRUST, ORIS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	256.72	0.00	256.72	90.0	231.05
03/01/2018	HALL, JULIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	68.05	0.00	68.05	90.0	61.25
03/01/2018	GAMMONS, BOBBY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	44.71	0.00	44.71	90.0	40.24
03/01/2018	08/03/1989, UDT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	81.38	0.00	81.38	90.0	73.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2018	MCNERNEY, DAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.73	0.00	10.73	90.0	9.66
03/01/2018	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.60	0.00	1.60	90.0	1.44
03/01/2018	KAUFMAN, COOPER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2018	WILMSMEYER, CHRISTA	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	3.58	0.00	3.58	90.0	3.22
03/01/2018	TURNER, GARY	AMERICAN FUNDS DEVELOPING WORLD GRO	0.00	7.63	0.00	7.63	90.0	6.87
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.81	0.00	0.81	90.0	0.73
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.98	0.00	0.98	90.0	0.88
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	2.16	0.00	2.16	90.0	1.94
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.86	0.00	0.86	90.0	0.77
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.71	0.00	0.71	90.0	0.64
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.59	0.00	0.59	90.0	0.53
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.10	0.00	0.10	90.0	0.09
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	10.54	0.00	10.54	90.0	9.49
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.27	0.00	1.27	90.0	1.14
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	8.15	0.00	8.15	90.0	7.34
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.65	0.00	4.65	90.0	4.19
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	6.50	0.00	6.50	90.0	5.85
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	7.94	0.00	7.94	90.0	7.15
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.70	0.00	2.70	90.0	2.43
/ /	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	1.19	0.00	1.19	90.0	1.07
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.21	0.00	1.21	90.0	1.09
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.70	0.00	0.70	90.0	0.63
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	10.83	0.00	10.83	90.0	9.75
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.31	0.00	2.31	90.0	2.08
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	8.60	0.00	8.60	90.0	7.74
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.39	0.00	1.39	90.0	1.25
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.68	0.00	1.68	90.0	1.51
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	1.08	0.00	1.08	90.0	0.97
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.10	0.00	6.10	90.0	5.49
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.28	0.00	1.28	90.0	1.15
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.53	0.00	0.53	90.0	0.48

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	14.07	0.00	14.07	90.0	12.66
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.73	0.00	1.73	90.0	1.56
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.71	0.00	0.71	90.0	0.64
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	9.59	0.00	9.59	90.0	8.63
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.92	0.00	0.92	90.0	0.83
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.50	0.00	0.50	90.0	0.45
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	8.75	0.00	8.75	90.0	7.88
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.95	0.00	0.95	90.0	0.86
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.58	0.00	1.58	90.0	1.42
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.34	0.00	2.34	90.0	2.11
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	15.74	0.00	15.74	90.0	14.17
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	17.60	0.00	17.60	90.0	15.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,326.55	\$0.00	\$6,326.55		\$5,694.09
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
02/17/2018	CALHOUN, ALBERT	ING ESII	10,073.84	6.30	0.00	6.30	90.0	5.67
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$10,073.84	\$6.30	\$0.00	\$6.30		\$5.67
*** DIRECT TRANSACTIONS TOTAL ***			\$2,471,441.53	\$8,921.02	\$0.00	\$8,921.02		\$8,029.27

SPLIT TRANSACTIONS**BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349**

03/01/2018	DOWNES, STEVEN	AM FUNDS 2025 TARGET DATE-A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	0.00	1.05	0.00	1.05	90.0	0.95
02/20/2018	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	19.85	0.11	0.00	0.11	90.0	0.10
02/20/2018	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	19.85	0.11	0.00	0.11	90.0	0.10
02/20/2018	MILLER, PATRICIA	AM FUNDS AMERICAN BALANCED A	451.89	9.32	0.00	9.32	90.0	8.39
02/21/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	50,000.00	756.25	0.00	756.25	90.0	680.63
03/01/2018	THOMAS, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	4.07	0.00	4.07	90.0	3.66
03/01/2018	THOMAS, DIXIE	AM FUNDS AMERICAN BALANCED A	0.00	4.07	0.00	4.07	90.0	3.66
03/01/2018	LANGE, ARLEN	AM FUNDS AMERICAN BALANCED A	0.00	4.19	0.00	4.19	90.0	3.77
03/01/2018	ABEL, DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	16.43	0.00	16.43	90.0	14.79
03/01/2018	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	WAMPLER, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	90.0	0.02

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
03/01/2018	THOMPSON, TERRY	AM FUNDS AMERICAN BALANCED A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2018	THOMPSON, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	MILLER, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	5.93	0.00	5.93	90.0	5.34
03/01/2018	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	5.88	0.00	5.88	90.0	5.29
03/01/2018	BAILEY, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	1.04	0.00	1.04	90.0	0.94
03/01/2018	CLARK-LAIRD, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	10.31	0.00	10.31	90.0	9.28
03/01/2018	CARTER, STANLEY	AM FUNDS AMERICAN BALANCED A	0.00	17.35	0.00	17.35	90.0	15.62
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	16.92	0.00	16.92	90.0	15.23
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2018	HERREN, SARA	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	90.0	1.32
02/20/2018	LUKIC, MIROSLAV	AM FUNDS EUROPACIFIC GROWTH FUND A	28.27	0.15	0.00	0.15	90.0	0.14
02/20/2018	LUKIC, MIROSLAV	AM FUNDS EUROPACIFIC GROWTH FUND A	28.28	0.15	0.00	0.15	90.0	0.14
02/20/2018	SKELTON, SARAH	AM FUNDS EUROPACIFIC GROWTH FUND A	64.38	0.35	0.00	0.35	90.0	0.32
02/20/2018	SKELTON, SARAH	AM FUNDS EUROPACIFIC GROWTH FUND A	64.38	0.35	0.00	0.35	90.0	0.32
02/27/2018	LARA, MONA	AM FUNDS EUROPACIFIC GROWTH FUND A	1,649.73	45.37	0.00	45.37	90.0	40.83
02/27/2018	LARA, MONA	AM FUNDS EUROPACIFIC GROWTH FUND A	1,798.35	49.46	0.00	49.46	90.0	44.51
03/01/2018	LUKIC, MIROSLAV	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	BAILEY, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.39	0.00	0.39	90.0	0.35
03/01/2018	SKELTON, SARAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	LARA, MONA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	BAILEY, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.99	0.00	1.99	90.0	1.79
03/01/2018	GUIER, LUCCA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.10	0.00	0.10	90.0	0.09
02/20/2018	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	45.40	0.25	0.00	0.25	90.0	0.23
02/20/2018	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	45.40	0.25	0.00	0.25	90.0	0.23
02/20/2018	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	60.51	0.34	0.00	0.34	90.0	0.31
02/20/2018	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	60.51	0.34	0.00	0.34	90.0	0.31
02/20/2018	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	520.84	12.18	0.00	12.18	90.0	10.96
02/20/2018	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	90.54	2.12	0.00	2.12	90.0	1.91
02/20/2018	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	24.00	0.13	0.00	0.13	90.0	0.12
02/20/2018	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.10	0.00	0.10	90.0	0.09
02/20/2018	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	56.71	0.31	0.00	0.31	90.0	0.28

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
02/20/2018	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	56.71	0.31	0.00	0.31	90.0	0.28
02/20/2018	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.70	0.07	0.00	0.07	90.0	0.06
02/20/2018	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.70	0.07	0.00	0.07	90.0	0.06
02/20/2018	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	29.13	0.16	0.00	0.16	90.0	0.14
02/20/2018	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	29.13	0.16	0.00	0.16	90.0	0.14
02/20/2018	SUMNER, CASEY	AM FUNDS GROWTH FUND OF AMERICA A	520.84	12.18	0.00	12.18	90.0	10.96
02/20/2018	SUMNER, CASEY	AM FUNDS GROWTH FUND OF AMERICA A	19.36	0.45	0.00	0.45	90.0	0.41
02/20/2018	BAILEY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	60.00	1.65	0.00	1.65	90.0	1.49
02/20/2018	CARTER, NICKOLAS	AM FUNDS GROWTH FUND OF AMERICA A	25.72	0.14	0.00	0.14	90.0	0.13
02/20/2018	CARTER, NICKOLAS	AM FUNDS GROWTH FUND OF AMERICA A	13.32	0.07	0.00	0.07	90.0	0.06
02/20/2018	BOEDECKER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	55.25	0.30	0.00	0.30	90.0	0.27
02/20/2018	BOEDECKER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	55.25	0.30	0.00	0.30	90.0	0.27
02/20/2018	BERGH, AMELIA	AM FUNDS GROWTH FUND OF AMERICA A	44.45	0.24	0.00	0.24	90.0	0.22
02/20/2018	BERGH, AMELIA	AM FUNDS GROWTH FUND OF AMERICA A	44.45	0.24	0.00	0.24	90.0	0.22
02/20/2018	WILBANKS, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	48.96	0.27	0.00	0.27	90.0	0.24
02/20/2018	WILBANKS, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	48.96	0.27	0.00	0.27	90.0	0.24
02/20/2018	YARICK, ABIGAIL	AM FUNDS GROWTH FUND OF AMERICA A	39.83	0.22	0.00	0.22	90.0	0.20
02/20/2018	YARICK, ABIGAIL	AM FUNDS GROWTH FUND OF AMERICA A	39.83	0.22	0.00	0.22	90.0	0.20
02/20/2018	CATALANO, SHELBY	AM FUNDS GROWTH FUND OF AMERICA A	75.43	0.41	0.00	0.41	90.0	0.37
02/20/2018	CATALANO, SHELBY	AM FUNDS GROWTH FUND OF AMERICA A	75.43	0.41	0.00	0.41	90.0	0.37
02/20/2018	SHIELDS, DANA	AM FUNDS GROWTH FUND OF AMERICA A	58.45	0.32	0.00	0.32	90.0	0.29
02/20/2018	SHIELDS, DANA	AM FUNDS GROWTH FUND OF AMERICA A	25.05	0.14	0.00	0.14	90.0	0.13
02/20/2018	PINTOR, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	10.78	0.06	0.00	0.06	90.0	0.05
02/20/2018	PINTOR, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	10.78	0.06	0.00	0.06	90.0	0.05
02/20/2018	PANHORST, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	28.62	0.16	0.00	0.16	90.0	0.14
02/20/2018	PANHORST, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	28.62	0.16	0.00	0.16	90.0	0.14
02/20/2018	DOWNES, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	43.20	0.24	0.00	0.24	90.0	0.22
02/20/2018	DOWNES, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	43.20	0.24	0.00	0.24	90.0	0.22
02/20/2018	DIXON, CAITLIN	AM FUNDS GROWTH FUND OF AMERICA A	31.20	0.17	0.00	0.17	90.0	0.15
02/20/2018	DIXON, CAITLIN	AM FUNDS GROWTH FUND OF AMERICA A	31.20	0.17	0.00	0.17	90.0	0.15
02/20/2018	JOHNSON, CHADRIC	AM FUNDS GROWTH FUND OF AMERICA A	36.72	0.20	0.00	0.20	90.0	0.18
02/20/2018	JOHNSON, CHADRIC	AM FUNDS GROWTH FUND OF AMERICA A	36.72	0.20	0.00	0.20	90.0	0.18
02/20/2018	OLIVER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	36.07	0.20	0.00	0.20	90.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
02/20/2018	OLIVER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	36.07	0.20	0.00	0.20	90.0	0.18
02/20/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
02/20/2018	FAGAN, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	10.89	0.06	0.00	0.06	90.0	0.05
02/20/2018	FAGAN, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	10.89	0.06	0.00	0.06	90.0	0.05
02/21/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
02/26/2018	WHEAT, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	229.00	6.30	0.00	6.30	90.0	5.67
02/26/2018	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	2,504.22	58.54	0.00	58.54	90.0	52.69
02/27/2018	LARA, MONA	AM FUNDS GROWTH FUND OF AMERICA A	1,649.70	45.37	0.00	45.37	90.0	40.83
02/27/2018	LARA, MONA	AM FUNDS GROWTH FUND OF AMERICA A	1,798.32	49.46	0.00	49.46	90.0	44.51
02/28/2018	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
03/01/2018	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.39	0.00	3.39	90.0	3.05
03/01/2018	JOHNSON, KASEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.13	0.00	0.13	90.0	0.12
03/01/2018	PRICE, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2018	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.07
03/01/2018	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2018	SUMNER, CASEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2018	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2018	MCNERNEY, DASAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2018	WHITE, PAYTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	BAILEY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2018	BOEDECKER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	BERGH, AMELIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	WILBANKS, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	YARICK, ABIGAIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	CATALANO, SHELBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	SHIELDS, DANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
03/01/2018	PANHORST, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	FAGAN, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	HELMANDOLLAR, ARIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	DIXON, CAITLIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	JOHNSON, CHADRIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	OLIVER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	HEASTON, JENNALEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	BACON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	GUTIERREZ, GRISELDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2018	WHEAT, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2018	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	LARA, MONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/02/2018	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.01	0.33	0.00	0.33	90.0	0.30
03/02/2018	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	83.35	0.55	0.00	0.55	90.0	0.50
03/02/2018	MORIARITY, COREY	AM FUNDS GROWTH FUND OF AMERICA A	62.61	0.41	0.00	0.41	90.0	0.37
03/02/2018	MORIARITY, COREY	AM FUNDS GROWTH FUND OF AMERICA A	62.61	0.41	0.00	0.41	90.0	0.37
03/02/2018	ALLEY, KAMERON	AM FUNDS GROWTH FUND OF AMERICA A	89.59	0.59	0.00	0.59	90.0	0.53
03/02/2018	ALLEY, KAMERON	AM FUNDS GROWTH FUND OF AMERICA A	89.59	0.59	0.00	0.59	90.0	0.53
02/20/2018	CULLEY, TRACY	AM FUNDS GROWTH PORT A	149.63	0.82	0.00	0.82	90.0	0.74
02/20/2018	CULLEY, TRACY	AM FUNDS GROWTH PORT A	44.89	0.25	0.00	0.25	90.0	0.23
03/01/2018	CULLEY, TRACY	AM FUNDS GROWTH PORT A	0.00	0.05	0.00	0.05	90.0	0.05
02/20/2018	ZELLMER, RIANNON	AM FUNDS ICA A	12.33	0.07	0.00	0.07	90.0	0.06
02/20/2018	ZELLMER, RIANNON	AM FUNDS ICA A	12.33	0.07	0.00	0.07	90.0	0.06
02/20/2018	WAHLIG, KACEY	AM FUNDS ICA A	19.86	0.11	0.00	0.11	90.0	0.10
02/20/2018	WAHLIG, KACEY	AM FUNDS ICA A	19.86	0.11	0.00	0.11	90.0	0.10
02/20/2018	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	19.93	0.11	0.00	0.11	90.0	0.10
02/20/2018	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	19.92	0.11	0.00	0.11	90.0	0.10
02/21/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
03/01/2018	ZELLMER, RIANNON	AM FUNDS ICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	HAGUE, VICTORIA	AM FUNDS ICA A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2018	WAHLIG, KACEY	AM FUNDS ICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	0.00	0.03	0.00	0.03	90.0	0.03

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
03/01/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	0.00	0.12	0.00	0.12	90.0	0.11
03/02/2018	HAGUE, VICTORIA	AM FUNDS ICA A	1,033.33	6.82	0.00	6.82	90.0	6.14
03/02/2018	HAGUE, VICTORIA	AM FUNDS ICA A	68.89	0.46	0.00	0.46	90.0	0.41
03/01/2018	CLARK-LAIRD, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.42	0.00	3.42	90.0	3.08
02/20/2018	SUMNER, CALEB	AM FUNDS NEW ECONOMY A	520.83	12.18	0.00	12.18	90.0	10.96
02/20/2018	SUMNER, CALEB	AM FUNDS NEW ECONOMY A	90.55	2.12	0.00	2.12	90.0	1.91
02/20/2018	SUMNER, CASEY	AM FUNDS NEW ECONOMY A	520.83	12.18	0.00	12.18	90.0	10.96
02/20/2018	SUMNER, CASEY	AM FUNDS NEW ECONOMY A	19.35	0.45	0.00	0.45	90.0	0.41
02/20/2018	POLSON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	55.25	0.30	0.00	0.30	90.0	0.27
02/20/2018	POLSON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	55.25	0.30	0.00	0.30	90.0	0.27
03/01/2018	SUMNER, CALEB	AM FUNDS NEW ECONOMY A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2018	SUMNER, CASEY	AM FUNDS NEW ECONOMY A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2018	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	0.00	1.87	0.00	1.87	90.0	1.68
03/01/2018	WHITE, PAYTON	AM FUNDS NEW ECONOMY A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	BAILEY, JUDITH	AM FUNDS NEW ECONOMY A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2018	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2018	POLSON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	0.04	0.00	0.04	90.0	0.04
02/20/2018	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	848.58	4.67	0.00	4.67	90.0	4.20
02/20/2018	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
02/20/2018	AHMED, OMAR	AM FUNDS NEW PERSPECTIVE A	91.92	0.51	0.00	0.51	90.0	0.46
02/20/2018	AHMED, OMAR	AM FUNDS NEW PERSPECTIVE A	91.92	0.51	0.00	0.51	90.0	0.46
02/27/2018	LARA, MONA	AM FUNDS NEW PERSPECTIVE A	1,649.70	45.37	0.00	45.37	90.0	40.83
02/27/2018	LARA, MONA	AM FUNDS NEW PERSPECTIVE A	1,798.32	49.46	0.00	49.46	90.0	44.51
03/01/2018	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
03/01/2018	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	0.00	0.08	0.00	0.08	90.0	0.07
03/01/2018	WHITE, PAYTON	AM FUNDS NEW PERSPECTIVE A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	AHMED, OMAR	AM FUNDS NEW PERSPECTIVE A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	LARA, MONA	AM FUNDS NEW PERSPECTIVE A	0.00	0.02	0.00	0.02	90.0	0.02
02/20/2018	EISELE, HAMILTON	AM FUNDS NEW WORLD A	24.00	0.13	0.00	0.13	90.0	0.12
02/20/2018	EISELE, HAMILTON	AM FUNDS NEW WORLD A	18.00	0.10	0.00	0.10	90.0	0.09
02/20/2018	STIDHAM, AUSTIN	AM FUNDS NEW WORLD A	31.72	0.18	0.00	0.18	90.0	0.16
02/20/2018	STIDHAM, AUSTIN	AM FUNDS NEW WORLD A	52.87	0.29	0.00	0.29	90.0	0.26

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
03/01/2018	EISELE, HAMILTON	AM FUNDS NEW WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	THOMPSON, TERRY	AM FUNDS NEW WORLD A	0.00	1.83	0.00	1.83	90.0	1.65
03/01/2018	WHITE, PAYTON	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2018	BAILEY, JUDITH	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2018	STIDHAM, AUSTIN	AM FUNDS NEW WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
02/20/2018	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	19.92	0.11	0.00	0.11	90.0	0.10
02/20/2018	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	19.93	0.11	0.00	0.11	90.0	0.10
02/20/2018	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	28.27	0.15	0.00	0.15	90.0	0.14
02/20/2018	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	28.28	0.15	0.00	0.15	90.0	0.14
02/27/2018	LARA, MONA	AM FUNDS SMALLCAP WORLD A	1,649.70	45.37	0.00	45.37	90.0	40.83
02/27/2018	LARA, MONA	AM FUNDS SMALLCAP WORLD A	1,798.32	49.46	0.00	49.46	90.0	44.51
03/01/2018	LANGE, ARLEN	AM FUNDS SMALLCAP WORLD A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2018	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	WAMPLER, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2018	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2018	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2018	LARA, MONA	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/02/2018	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	258.33	1.70	0.00	1.70	90.0	1.53
03/02/2018	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	17.22	0.12	0.00	0.12	90.0	0.11
03/02/2018	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	83.35	0.55	0.00	0.55	90.0	0.50
03/02/2018	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	50.01	0.33	0.00	0.33	90.0	0.30
03/01/2018	GUIER, LUCCA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2018	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	90.0	0.22
* JEFF/JASON, K148 KAUFMAN/KEMBLE SUBTOTAL *			\$75,146.19	\$1,424.38	\$0.00	\$1,424.38		\$1,282.13
*** SPLIT TRANSACTIONS TOTAL ***			\$75,146.19	\$1,424.38	\$0.00	\$1,424.38		\$1,282.13

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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: K146-JASON KEMBLE #348</u>								
03/01/2018	HANSEL, NAOMI	AM FUNDS AMERICAN BALANCED A	0.00	17.64	0.00	17.64	90.0	7.06
03/01/2018	JACOBS, JANET	AM FUNDS AMERICAN BALANCED A	0.00	8.08	0.00	8.08	90.0	3.23
03/01/2018	DANIELS, CLINTON	AM FUNDS AMERICAN BALANCED A	0.00	2.30	0.00	2.30	90.0	0.92
03/01/2018	SEBA, FRED	AM FUNDS AMERICAN BALANCED A	0.00	7.62	0.00	7.62	90.0	3.05
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	1.63	0.00	1.63	90.0	0.65
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	2.33	0.00	2.33	90.0	0.93
03/01/2018	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	11.38	0.00	11.38	90.0	4.55
03/01/2018	DANIELS, CLINTON	AM FUNDS AMERICAN BALANCED C	0.00	8.72	0.00	8.72	90.0	3.49
03/01/2018	DANIELS, CLINTON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.10
03/01/2018	JACOBS, JANET	AM FUNDS GLOBAL BALANCED A	0.00	8.31	0.00	8.31	90.0	3.32
02/26/2018	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	90.0	1.70
02/26/2018	DANIELS, AMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	0.85
03/01/2018	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.17	0.00	1.17	90.0	0.47
03/01/2018	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.03
03/01/2018	DANIELS, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.17
03/01/2018	MO/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	90.0	0.16
03/01/2018	DANIELS, CLINTON	AM FUNDS NEW ECONOMY A	0.00	0.25	0.00	0.25	90.0	0.10
03/01/2018	MO/TOD	AM FUNDS NEW ECONOMY A	0.00	0.41	0.00	0.41	90.0	0.16
02/26/2018	DANIELS, AMY	AM FUNDS NEW PERSPECTIVE A	50.00	2.13	0.00	2.13	90.0	0.85
03/01/2018	DANIELS, AMY	AM FUNDS NEW PERSPECTIVE A	0.00	0.43	0.00	0.43	90.0	0.17
02/26/2018	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	4.25	0.00	4.25	90.0	1.70
03/01/2018	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	0.00	1.16	0.00	1.16	90.0	0.46
02/22/2018	NASHAN, SUSAN	AMERICAN FUNDS RETIREMENT INCOME PO	1,000.00	50.00	0.00	50.00	90.0	20.00
02/22/2018	NASHAN, SUSAN	AMERICAN FUNDS RETIREMENT INCOME PO	-1,000.00	-50.00	0.00	-50.00	90.0	-20.00
02/20/2018	ALLEN, DANNY	PAC LIFE PACIFIC CHOICE	0.00	4,135.82	0.00	4,135.82	90.0	1,654.33
02/23/2018	ALLEN, DANNY	PAC LIFE PACIFIC CHOICE	0.00	6,200.83	0.00	6,200.83	90.0	2,480.33
02/26/2018	ALLEN, DANNY	PAC LIFE PACIFIC CHOICE	0.00	729.96	0.00	729.96	90.0	291.98
03/01/2018	ALLEN, DANNY	PAC LIFE PACIFIC CHOICE	0.00	80.13	0.00	80.13	90.0	32.05
02/22/2018	NASHAN, SUSAN	RTMT INCOME PORTFOLIO CONSERVATIVE-	1,000.00	10.00	0.00	10.00	90.0	4.00
* K146-JASON KEMBLE SUBTOTAL *			\$1,300.00	\$11,242.10	\$0.00	\$11,242.10		\$4,496.81
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,300.00	\$11,242.10	\$0.00	\$11,242.10		\$4,496.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2018		*FINRA: CRD REG APP	0.00					-100.00
03/15/2018		*FINRA: FINGERPRINTING	0.00					-29.50
03/15/2018		*FINRA: PROC AND SERV	0.00					-55.00
03/15/2018		*FINRA: SERIES 6 &63 BOSMAN	0.00					-235.00
03/15/2018		*MARKETING PRO: PRO USER	0.00					-45.00
03/15/2018		*OVERRIDE: 40% OVERRIDE FROM K146	0.00					1,308.78
03/15/2018		*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00					-100.00
03/15/2018		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$169.28

BROKER COMMISSION TOTALS

Broker Transactions	\$8,029.27
Split Transactions	\$1,282.13
Override Transactions	\$4,496.81
Adjustments	\$169.28
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$13,977.49
Year-to-date Gross	\$64,291.97
Year-to-date Earnings	\$62,441.59

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