



Concorde Investment Services, LLC
COMMISSION STATEMENT
September 30, 2017

09/28/2017
Page No. 1

NATHANIEL KUHN
612 S. Bristol Lane

BROKER #: K134
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	RUSSELL, ELIZABETH	AM FUNDS 2045 TARGET DATE-A	0.00	5.28	0.00	5.28	90.0	4.75
09/01/2017	PARADISE, MICHAEL	AM FUNDS AMCAP A	0.00	1.07	0.00	1.07	90.0	0.96
09/01/2017	PARADISE, MICHEAL	AM FUNDS AMCAP A	0.00	1.06	0.00	1.06	90.0	0.95
09/01/2017	WELLINGTON, AARON	AM FUNDS AMCAP A	0.00	4.51	0.00	4.51	90.0	4.06
09/01/2017	STETTER, MARIA	AM FUNDS AMCAP A	0.00	8.26	0.00	8.26	90.0	7.43
09/01/2017	KENNEDY, RACHEL	AM FUNDS AMCAP A	0.00	7.28	0.00	7.28	90.0	6.55
09/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	0.00	4.49	0.00	4.49	90.0	4.04
09/01/2017	GREINER, PAUL	AM FUNDS AMCAP A	0.00	1.89	0.00	1.89	90.0	1.70
09/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	0.00	4.84	0.00	4.84	90.0	4.36
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP A	0.00	7.38	0.00	7.38	90.0	6.64
09/11/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
09/20/2017	STETTER, MARIA	AM FUNDS AMCAP A	50.00	1.88	0.00	1.88	90.0	1.69
09/01/2017	PARADISE, MICHEAL	AM FUNDS AMERICAN BALANCED A	0.00	1.87	0.00	1.87	90.0	1.68
09/01/2017	FUSCO, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	2.85	0.00	2.85	90.0	2.57
09/01/2017	WELLINGTON, AARON	AM FUNDS AMERICAN BALANCED A	0.00	1.69	0.00	1.69	90.0	1.52
09/01/2017	ATKINSON, ANGELA	AM FUNDS AMERICAN BALANCED A	0.00	4.08	0.00	4.08	90.0	3.67
09/01/2017	FUSCO, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	1.45	0.00	1.45	90.0	1.31
09/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	7.36	0.00	7.36	90.0	6.62
09/01/2017	KENNEDY, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	1.72	0.00	1.72	90.0	1.55
09/01/2017	LIEBERMAN, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.44	0.00	1.44	90.0	1.30
09/01/2017	MARASOVICH, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	5.02	0.00	5.02	90.0	4.52
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS AMERICAN BALANCED A	0.00	0.80	0.00	0.80	90.0	0.72
09/01/2017	HEIMANN, MARK	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.51
09/01/2017	LOIKA, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	90.0	1.37
09/01/2017	WEIL, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
09/01/2017	WILKINS, LYN	AM FUNDS AMERICAN BALANCED A	0.00	2.14	0.00	2.14	90.0	1.93

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	2.68	0.00	2.68	90.0	2.41
09/01/2017	LIEBERMAN, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	2.36	0.00	2.36	90.0	2.12
09/20/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
09/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	0.00	52.56	0.00	52.56	90.0	47.30
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS AMERICAN BALANCED C	0.00	32.85	0.00	32.85	90.0	29.57
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
09/01/2017	STETTER, MARIA	AM FUNDS AMERICAN MUTUAL A	0.00	3.66	0.00	3.66	90.0	3.29
09/01/2017	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	0.00	1.11	0.00	1.11	90.0	1.00
09/11/2017	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	50.00	2.50	0.00	2.50	90.0	2.25
09/01/2017	PARADISE, MICHEAL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
09/01/2017	WELLINGTON, AARON	AM FUNDS BOND FUND OF AMERICA A	0.00	1.05	0.00	1.05	90.0	0.95
09/01/2017	JACKER, RITA	AM FUNDS BOND FUND OF AMERICA A	0.00	5.40	0.00	5.40	90.0	4.86
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS BOND FUND OF AMERICA C	0.00	11.91	0.00	11.91	90.0	10.72
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS BOND FUND OF AMERICA C	50.00	0.50	0.00	0.50	90.0	0.45
09/01/2017	LIEBERMAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.78	0.00	3.78	90.0	3.40
09/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.60	0.00	2.60	90.0	2.34
09/01/2017	LOPEZ, JOSE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	1.01
09/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.08	0.00	3.08	90.0	2.77
09/01/2017	ATKINSON, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.55	0.00	4.55	90.0	4.10
09/01/2017	DEUTSCH, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.02	0.00	2.02	90.0	1.82
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	15.37	0.00	15.37	90.0	13.83
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC C	50.00	0.50	0.00	0.50	90.0	0.45
09/01/2017	LIEBERMAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.66	0.00	2.66	90.0	2.39
09/01/2017	GOODMAN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.88	0.00	1.88	90.0	1.69
09/01/2017	PARADISE, MICHEAL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.83	0.00	0.83	90.0	0.75
09/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.99	0.00	13.99	90.0	12.59
09/01/2017	WELLINGTON, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.05	0.00	2.05	90.0	1.85
09/01/2017	JACKER, RITA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.44	0.00	3.44	90.0	3.10
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.33	0.00	0.33	90.0	0.30
09/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.34	0.00	3.34	90.0	3.01
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.30	0.00	5.30	90.0	4.77
09/01/2017	LOIKA, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.14	0.00	1.14	90.0	1.03
09/01/2017	TOLLEFSON, LOUANN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.23	0.00	3.23	90.0	2.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	WILKINS, LYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.51	0.00	1.51	90.0	1.36
09/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.54	0.00	4.54	90.0	4.09
09/01/2017	STETTER, MARIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.86	0.00	1.86	90.0	1.67
09/01/2017	BIEGERT, LAUREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.83	0.00	0.83	90.0	0.75
09/11/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
09/15/2017	WEIDENFELLER, KIRSTEN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.13	0.00	2.13	90.0	1.92
09/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.74	0.00	1.74	90.0	1.57
09/01/2017	BRANSON, GARRETT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	90.0	1.80
09/01/2017	RUNDELL, TRACY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.58	0.00	3.58	90.0	3.22
09/01/2017	PARADISE, MICHEAL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.17	0.00	2.17	90.0	1.95
09/01/2017	LIM, SUSIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.22	0.00	1.22	90.0	1.10
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.89	0.00	1.89	90.0	1.70
09/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.79	0.00	4.79	90.0	4.31
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.56	0.00	7.56	90.0	6.80
09/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	RAY, SARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.77	0.00	1.77	90.0	1.59
09/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.25	0.00	3.25	90.0	2.93
09/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.42	0.00	3.42	90.0	3.08
09/11/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
09/01/2017	MARASOVICH, THOMAS	AM FUNDS GLOBAL BALANCED A	0.00	3.92	0.00	3.92	90.0	3.53
09/11/2017	MARASOVICH, THOMAS	AM FUNDS GLOBAL BALANCED A	50.00	2.13	0.00	2.13	90.0	1.92
09/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	4.67	0.00	4.67	90.0	4.20
09/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	11.31	0.00	11.31	90.0	10.18
09/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	0.00	1.90	0.00	1.90	90.0	1.71
09/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.70	0.00	3.70	90.0	3.33
09/01/2017	MEYER, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.90	0.00	1.90	90.0	1.71
09/01/2017	LOPEZ, JOSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
09/01/2017	BRANSON, GARRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	90.0	1.22
09/01/2017	GOODMAN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.70	0.00	5.70	90.0	5.13
09/01/2017	SAYRE, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.00	0.00	9.00	90.0	8.10
09/01/2017	HIRSTIUS, CHARLES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.62	0.00	2.62	90.0	2.36
09/01/2017	PICKENS, ROBERT (RJ)	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
09/01/2017	RUNDELL, TRACY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	90.0	3.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	WINTER, JASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.81	0.00	7.81	90.0	7.03
09/01/2017	PARADISE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.88	0.00	1.88	90.0	1.69
09/01/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.39	0.00	9.39	90.0	8.45
09/01/2017	PARADISE, MICHEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.11	0.00	1.11	90.0	1.00
09/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.66	0.00	9.66	90.0	8.69
09/01/2017	WELLINGTON, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.06	0.00	5.06	90.0	4.55
09/01/2017	ATKINSON, ANGELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.61	0.00	10.61	90.0	9.55
09/01/2017	FUSCO, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.67	0.00	1.67	90.0	1.50
09/01/2017	LIM, SUSIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	3.26
09/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.30	0.00	10.30	90.0	9.27
09/01/2017	JACKER, RITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.16	0.00	7.16	90.0	6.44
09/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.93	0.00	8.93	90.0	8.04
09/01/2017	GREINER, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	90.0	0.95
09/01/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.60	0.00	9.60	90.0	8.64
09/01/2017	LAMPI, SEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.22	0.00	3.22	90.0	2.90
09/01/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.48	0.00	7.48	90.0	6.73
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.51	0.00	3.51	90.0	3.16
09/01/2017	RAPATA, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.24	0.00	6.24	90.0	5.62
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.24	0.00	10.24	90.0	9.22
09/01/2017	HEIMANN, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.91	0.00	1.91	90.0	1.72
09/01/2017	LOIKA, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	90.0	1.51
09/01/2017	MARTINEZ, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.17	0.00	3.17	90.0	2.85
09/01/2017	CHILDS, EVON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.49	0.00	1.49	90.0	1.34
09/01/2017	HOLLENBECK, MARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.53	0.00	4.53	90.0	4.08
09/01/2017	WEIL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	90.0	0.08
09/01/2017	TOLLEFSON, LOUANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.40	0.00	9.40	90.0	8.46
09/01/2017	GOODMAN, TIFFANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.53	0.00	6.53	90.0	5.88
09/01/2017	CATANESE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	90.0	1.87
09/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.78	0.00	1.78	90.0	1.60
09/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.32	0.00	5.32	90.0	4.79
09/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.67	0.00	1.67	90.0	1.50
09/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.34	0.00	6.34	90.0	5.71
09/01/2017	WILKINS, LYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.23	0.00	2.23	90.0	2.01

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.17	0.00	6.17	90.0	5.55
09/01/2017	STETTER, MARIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.73	0.00	5.73	90.0	5.16
09/01/2017	BIEGERT, LAUREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	0.00	1.27	90.0	1.14
09/01/2017	WILLIS, JUDE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.61	0.00	5.61	90.0	5.05
09/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.79	0.00	2.79	90.0	2.51
09/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.42	0.00	3.42	90.0	3.08
09/11/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
09/11/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	90.0	1.24
09/15/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
09/15/2017	TOLLEFSON, LOUANN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
09/15/2017	WEIDENFELLER, KIRSTEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
09/15/2017	WILLIS, JUDE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS GROWTH FUND OF AMERICA C	0.00	48.51	0.00	48.51	90.0	43.66
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS GROWTH FUND OF AMERICA C	125.00	1.25	0.00	1.25	90.0	1.13
09/01/2017	PERSHA, ADAM	AM FUNDS GROWTH PORT A	0.00	2.15	0.00	2.15	90.0	1.94
09/01/2017	MEYER, PATRICIA	AM FUNDS ICA A	0.00	1.52	0.00	1.52	90.0	1.37
09/01/2017	LOPEZ, JOSE	AM FUNDS ICA A	0.00	1.31	0.00	1.31	90.0	1.18
09/01/2017	SAYRE, ROSS	AM FUNDS ICA A	0.00	3.63	0.00	3.63	90.0	3.27
09/01/2017	PARADISE, MICHAEL	AM FUNDS ICA A	0.00	1.74	0.00	1.74	90.0	1.57
09/01/2017	PARADISE, MICHEAL	AM FUNDS ICA A	0.00	1.07	0.00	1.07	90.0	0.96
09/01/2017	ATKINSON, ANGELA	AM FUNDS ICA A	0.00	6.48	0.00	6.48	90.0	5.83
09/01/2017	JACKER, RITA	AM FUNDS ICA A	0.00	12.10	0.00	12.10	90.0	10.89
09/01/2017	KOVACH, ERIC	AM FUNDS ICA A	0.00	4.77	0.00	4.77	90.0	4.29
09/01/2017	GREINER, PAUL	AM FUNDS ICA A	0.00	7.07	0.00	7.07	90.0	6.36
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS ICA A	0.00	1.65	0.00	1.65	90.0	1.49
09/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	0.00	6.35	0.00	6.35	90.0	5.72
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS ICA A	0.00	10.25	0.00	10.25	90.0	9.23
09/01/2017	HEIMANN, MARK	AM FUNDS ICA A	0.00	1.38	0.00	1.38	90.0	1.24
09/01/2017	LOIKA, GREGORY	AM FUNDS ICA A	0.00	1.44	0.00	1.44	90.0	1.30
09/01/2017	CHILDS, EVON	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	1.14
09/01/2017	HOLLENBECK, MARISSA	AM FUNDS ICA A	0.00	4.14	0.00	4.14	90.0	3.73
09/01/2017	TOLLEFSON, LOUANN	AM FUNDS ICA A	0.00	4.29	0.00	4.29	90.0	3.86
09/01/2017	CATANESE, SARAH	AM FUNDS ICA A	0.00	1.82	0.00	1.82	90.0	1.64

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	RAY, SARA	AM FUNDS ICA A	0.00	1.37	0.00	1.37	90.0	1.23
09/01/2017	MANSKE, DONNA	AM FUNDS ICA A	0.00	5.87	0.00	5.87	90.0	5.28
09/01/2017	WILKINS, LYN	AM FUNDS ICA A	0.00	1.96	0.00	1.96	90.0	1.76
09/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS ICA A	0.00	5.70	0.00	5.70	90.0	5.13
09/01/2017	STETTER, MARIA	AM FUNDS ICA A	0.00	3.61	0.00	3.61	90.0	3.25
09/01/2017	BIEGERT, LAUREN	AM FUNDS ICA A	0.00	1.08	0.00	1.08	90.0	0.97
09/01/2017	LIEBERMAN, SHARON	AM FUNDS ICA A	0.00	2.27	0.00	2.27	90.0	2.04
09/15/2017	WEIDENFELLER, KIRSTEN	AM FUNDS ICA A	50.00	2.13	0.00	2.13	90.0	1.92
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS ICA C	0.00	45.91	0.00	45.91	90.0	41.32
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS ICA C	125.00	1.25	0.00	1.25	90.0	1.13
09/01/2017	JACKER, RITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.24	0.00	7.24	90.0	6.52
09/01/2017	LIEBERMAN, DAVID	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.04	0.00	2.04	90.0	1.84
09/01/2017	WELLINGTON, AARON	AM FUNDS NEW ECONOMY A	0.00	5.59	0.00	5.59	90.0	5.03
09/01/2017	BRANSON, GARRETT	AM FUNDS NEW PERSPECTIVE A	0.00	1.35	0.00	1.35	90.0	1.22
09/01/2017	BRANSON, GARRETT	AM FUNDS NEW WORLD A	0.00	1.00	0.00	1.00	90.0	0.90
09/01/2017	WELLINGTON, AARON	AM FUNDS NEW WORLD A	0.00	2.41	0.00	2.41	90.0	2.17
09/01/2017	RAPATA, DANIEL	AM FUNDS NEW WORLD A	0.00	3.21	0.00	3.21	90.0	2.89
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS NEW WORLD A	0.00	5.26	0.00	5.26	90.0	4.73
09/01/2017	DEUTSCH, SCOTT	AM FUNDS NEW WORLD A	0.00	1.83	0.00	1.83	90.0	1.65
09/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS NEW WORLD C	0.00	12.90	0.00	12.90	90.0	11.61
09/11/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS NEW WORLD C	50.00	0.50	0.00	0.50	90.0	0.45
09/01/2017	BRANSON, GARRETT	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
09/01/2017	SAYRE, ROSS	AM FUNDS SMALLCAP WORLD A	0.00	7.46	0.00	7.46	90.0	6.71
09/01/2017	HIRSTIUS, CHARLES	AM FUNDS SMALLCAP WORLD A	0.00	2.86	0.00	2.86	90.0	2.57
09/01/2017	WINTER, JASON	AM FUNDS SMALLCAP WORLD A	0.00	7.22	0.00	7.22	90.0	6.50
09/01/2017	PARADISE, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	1.74	0.00	1.74	90.0	1.57
09/01/2017	PARADISE, MICHEAL	AM FUNDS SMALLCAP WORLD A	0.00	0.95	0.00	0.95	90.0	0.86
09/01/2017	FUSCO, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	1.63	0.00	1.63	90.0	1.47
09/01/2017	WELLINGTON, AARON	AM FUNDS SMALLCAP WORLD A	0.00	2.52	0.00	2.52	90.0	2.27
09/01/2017	FUSCO, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	1.85	0.00	1.85	90.0	1.67
09/01/2017	KENNEDY, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	2.29	0.00	2.29	90.0	2.06
09/01/2017	LIM, SUSIE	AM FUNDS SMALLCAP WORLD A	0.00	1.11	0.00	1.11	90.0	1.00
09/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	5.82	0.00	5.82	90.0	5.24

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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>								
09/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	8.48	0.00	8.48	90.0	7.63
09/01/2017	GREINER, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	6.19	0.00	6.19	90.0	5.57
09/01/2017	MARASOVICH, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	5.09	0.00	5.09	90.0	4.58
09/01/2017	SANTOS, JAIMEE	AM FUNDS SMALLCAP WORLD A	0.00	4.05	0.00	4.05	90.0	3.65
09/01/2017	DELLAPORTAS, VASILIS	AM FUNDS SMALLCAP WORLD A	0.00	0.95	0.00	0.95	90.0	0.86
09/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	3.34	0.00	3.34	90.0	3.01
09/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD A	0.00	5.08	0.00	5.08	90.0	4.57
09/01/2017	WEIL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	0.00	4.82	0.00	4.82	90.0	4.34
09/01/2017	RAY, SARA	AM FUNDS SMALLCAP WORLD A	0.00	1.35	0.00	1.35	90.0	1.22
09/11/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
09/15/2017	SANTOS, JAIMEE	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
09/01/2017	PRUS, CARRIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.01	0.00	0.01	90.0	0.01
09/15/2017	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	100.00	1.00	0.00	1.00	90.0	0.90
* MUTUAL FUNDS SUBTOTAL *			\$1,450.00	\$898.29	\$0.00	\$898.29		\$808.55
*** BROKER TRANSACTIONS TOTAL ***			\$1,450.00	\$898.29	\$0.00	\$898.29		\$808.55

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BROKER COMMISSION TOTALS

Broker Transactions	\$808.55
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$808.55
Year-to-date Gross	\$467,994.82
Year-to-date Earnings	\$421,196.86