

**COMMISSION STATEMENT****December 31, 2017**JEFFREY KAUFMAN
801 Gray Oak DriveBROKER #: 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>								
12/01/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	100.40	1.00	0.00	1.00	90.0	0.90
12/01/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	100.40	1.00	0.00	1.00	90.0	0.90
12/01/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	48.29	0.48	0.00	0.48	90.0	0.43
12/01/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	48.29	0.48	0.00	0.48	90.0	0.43
12/01/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	65.35	0.65	0.00	0.65	90.0	0.59
12/01/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	65.35	0.65	0.00	0.65	90.0	0.59
12/15/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
12/15/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
12/15/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
12/15/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
12/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	61.40	0.61	0.00	0.61	90.0	0.55
12/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	61.40	0.61	0.00	0.61	90.0	0.55
12/01/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	43.34	0.43	0.00	0.43	90.0	0.39
12/01/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	43.34	0.43	0.00	0.43	90.0	0.39
12/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
12/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
12/15/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	47.65	0.48	0.00	0.48	90.0	0.43
12/15/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	47.65	0.48	0.00	0.48	90.0	0.43
12/15/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	29.21	0.29	0.00	0.29	90.0	0.26
12/15/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	29.21	0.29	0.00	0.29	90.0	0.26
12/15/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
12/15/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
12/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	48.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	48.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	67.31	0.67	0.00	0.67	90.0	0.60
12/01/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	67.31	0.67	0.00	0.67	90.0	0.60

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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>								
PRODUCT CATEGORY: MUTUAL FUNDS								
12/15/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
12/15/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
12/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	156.32	1.56	0.00	1.56	90.0	1.40
12/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	364.76	3.65	0.00	3.65	90.0	3.29
12/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	77.08	0.77	0.00	0.77	90.0	0.69
12/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	77.08	0.77	0.00	0.77	90.0	0.69
12/15/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	377.47	3.77	0.00	3.77	90.0	3.39
12/15/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	161.77	1.62	0.00	1.62	90.0	1.46
12/15/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	81.64	0.82	0.00	0.82	90.0	0.74
12/15/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	81.64	0.82	0.00	0.82	90.0	0.74
12/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	27.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	72.00	0.72	0.00	0.72	90.0	0.65
12/15/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
12/15/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
12/01/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	316.78	3.17	0.00	3.17	90.0	2.85
12/01/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	316.78	3.17	0.00	3.17	90.0	2.85
12/01/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	42.11	0.42	0.00	0.42	90.0	0.38
12/01/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	42.11	0.42	0.00	0.42	90.0	0.38
12/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	55.07	0.55	0.00	0.55	90.0	0.50
12/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	55.07	0.55	0.00	0.55	90.0	0.50
12/15/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	172.02	1.72	0.00	1.72	90.0	1.55
12/15/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	172.02	1.72	0.00	1.72	90.0	1.55
12/15/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
12/15/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
12/15/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.16	0.52	0.00	0.52	90.0	0.47
12/15/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.16	0.52	0.00	0.52	90.0	0.47
12/01/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.61	0.21	0.00	0.21	90.0	0.19
12/01/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.61	0.21	0.00	0.21	90.0	0.19
12/15/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.80	0.21	0.00	0.21	90.0	0.19
12/15/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.80	0.21	0.00	0.21	90.0	0.19
11/27/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	110.77	2.22	0.00	2.22	90.0	2.00
12/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
12/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	20.25	0.20	0.00	0.20	90.0	0.18

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	54.00	0.54	0.00	0.54	90.0	0.49
12/11/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	110.77	2.22	0.00	2.22	90.0	2.00
12/15/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
12/15/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	GAMM, SKYLAR	AM FUNDS EUROPACIFIC GROWTH FUND C	300.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	131.52	1.32	0.00	1.32	90.0	1.19
12/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	131.52	1.32	0.00	1.32	90.0	1.19
12/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	85.09	0.85	0.00	0.85	90.0	0.77
12/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	85.09	0.85	0.00	0.85	90.0	0.77
12/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	87.65	0.88	0.00	0.88	90.0	0.79
12/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	87.65	0.88	0.00	0.88	90.0	0.79
12/15/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	54.56	0.55	0.00	0.55	90.0	0.50
12/15/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	54.56	0.55	0.00	0.55	90.0	0.50
12/15/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
12/15/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
12/15/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	53.58	0.54	0.00	0.54	90.0	0.49
12/15/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	53.58	0.54	0.00	0.54	90.0	0.49
11/27/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	114.58	4.87	0.00	4.87	90.0	4.38
11/27/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	387.69	7.75	0.00	7.75	90.0	6.98
12/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
12/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.22	0.41	0.00	0.41	90.0	0.37
12/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.22	0.41	0.00	0.41	90.0	0.37
12/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	17.47	0.17	0.00	0.17	90.0	0.15
12/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	52.40	0.52	0.00	0.52	90.0	0.47
12/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	20.25	0.20	0.00	0.20	90.0	0.18
12/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	54.00	0.54	0.00	0.54	90.0	0.49
12/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	79.97	3.00	0.00	3.00	90.0	2.70
12/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	68.21	2.56	0.00	2.56	90.0	2.30
12/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	163.11	6.12	0.00	6.12	90.0	5.51
12/01/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	225.00	8.44	0.00	8.44	90.0	7.60
12/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	31.68	0.32	0.00	0.32	90.0	0.29
12/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	31.68	0.32	0.00	0.32	90.0	0.29
12/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	57.52	0.58	0.00	0.58	90.0	0.52

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	57.52	0.58	0.00	0.58	90.0	0.52
12/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	47.51	0.48	0.00	0.48	90.0	0.43
12/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	47.51	0.48	0.00	0.48	90.0	0.43
12/11/2017	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	450.00	9.00	0.00	9.00	90.0	8.10
12/11/2017	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	450.00	9.00	0.00	9.00	90.0	8.10
12/11/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	387.69	7.75	0.00	7.75	90.0	6.98
12/15/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.59	0.42	0.00	0.42	90.0	0.38
12/15/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	41.59	0.42	0.00	0.42	90.0	0.38
12/15/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
12/15/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
12/15/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
12/15/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
12/15/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	100.00	3.75	0.00	3.75	90.0	3.38
12/15/2017	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
12/15/2017	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	1,000.00	50.00	0.00	50.00	90.0	45.00
12/15/2017	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	37.50	1.88	0.00	1.88	90.0	1.69
12/15/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
12/15/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
12/15/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	47.46	0.47	0.00	0.47	90.0	0.42
12/15/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	47.46	0.47	0.00	0.47	90.0	0.42
12/15/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	37.01	0.37	0.00	0.37	90.0	0.33
12/15/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	37.01	0.37	0.00	0.37	90.0	0.33
12/01/2017	GAMM, SKYLAR	AM FUNDS GROWTH FUND OF AMERICA C	300.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	WINFREY, LARRY	AM FUNDS ICA A	250.00	9.38	0.00	9.38	90.0	8.44
12/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	77.61	2.91	0.00	2.91	90.0	2.62
12/01/2017	SUMMERS, AARON	AM FUNDS ICA A	68.21	2.56	0.00	2.56	90.0	2.30
12/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	163.12	6.12	0.00	6.12	90.0	5.51
12/01/2017	DILLON, EMMA	AM FUNDS ICA A	10.40	0.10	0.00	0.10	90.0	0.09
12/01/2017	DILLON, EMMA	AM FUNDS ICA A	13.86	0.14	0.00	0.14	90.0	0.13
12/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	64.50	0.65	0.00	0.65	90.0	0.59
12/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	258.00	2.58	0.00	2.58	90.0	2.32
12/15/2017	DILLON, EMMA	AM FUNDS ICA A	15.48	0.15	0.00	0.15	90.0	0.14
12/15/2017	DILLON, EMMA	AM FUNDS ICA A	11.61	0.12	0.00	0.12	90.0	0.11

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/15/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	240.00	2.40	0.00	2.40	90.0	2.16
12/15/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	60.00	0.60	0.00	0.60	90.0	0.54
12/01/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	44.70	0.45	0.00	0.45	90.0	0.41
12/01/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	44.70	0.45	0.00	0.45	90.0	0.41
12/15/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
12/15/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
11/27/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	114.58	4.87	0.00	4.87	90.0	4.38
11/27/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	258.46	5.17	0.00	5.17	90.0	4.65
12/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	16.95	0.17	0.00	0.17	90.0	0.15
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	50.86	0.51	0.00	0.51	90.0	0.46
12/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	77.62	2.91	0.00	2.91	90.0	2.62
12/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	36.35	0.36	0.00	0.36	90.0	0.32
12/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	60.58	0.61	0.00	0.61	90.0	0.55
12/11/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	258.46	5.17	0.00	5.17	90.0	4.65
12/15/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
12/15/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
12/15/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
12/15/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
12/01/2017	GAMM, SKYLAR	AM FUNDS NEW ECONOMY C	300.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.22	0.41	0.00	0.41	90.0	0.37
12/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.22	0.41	0.00	0.41	90.0	0.37
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	16.95	0.17	0.00	0.17	90.0	0.15
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	50.86	0.51	0.00	0.51	90.0	0.46
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	30.76	0.31	0.00	0.31	90.0	0.28
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	30.76	0.31	0.00	0.31	90.0	0.28
12/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	19.05	0.19	0.00	0.19	90.0	0.17
12/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	38.10	0.38	0.00	0.38	90.0	0.34
12/15/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.59	0.42	0.00	0.42	90.0	0.38
12/15/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	41.59	0.42	0.00	0.42	90.0	0.38
12/15/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
12/15/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
12/15/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26

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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>								
12/15/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
12/15/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
12/15/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
12/01/2017	GAMM, SKYLAR	AM FUNDS NEW PERSPECTIVE C	300.00	3.00	0.00	3.00	90.0	2.70
11/27/2017	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	114.58	4.87	0.00	4.87	90.0	4.38
11/27/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	166.16	3.32	0.00	3.32	90.0	2.99
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	30.76	0.31	0.00	0.31	90.0	0.28
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	30.76	0.31	0.00	0.31	90.0	0.28
12/11/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	166.16	3.32	0.00	3.32	90.0	2.99
12/15/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
12/15/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
12/01/2017	GAMM, SKYLAR	AM FUNDS NEW WORLD C	250.00	2.50	0.00	2.50	90.0	2.25
11/27/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	114.58	4.87	0.00	4.87	90.0	4.38
12/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
12/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	127.04	1.27	0.00	1.27	90.0	1.14
12/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	127.04	1.27	0.00	1.27	90.0	1.14
12/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	19.05	0.19	0.00	0.19	90.0	0.17
12/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	38.10	0.38	0.00	0.38	90.0	0.34
12/15/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
12/15/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
12/15/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
12/15/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
12/01/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.35	0.34	0.00	0.34	90.0	0.31
12/01/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.35	0.34	0.00	0.34	90.0	0.31
12/15/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.66	0.35	0.00	0.35	90.0	0.32
12/15/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.66	0.35	0.00	0.35	90.0	0.32
12/04/2017	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	75.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$16,182.68	\$287.25	\$0.00	\$287.25		\$258.64
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
12/04/2017	KAUFMAN, JEFFREY	PAC LIFE VUL	0.00	4.00	0.00	4.00	90.0	3.60
12/04/2017	KAUFMAN, COOPER	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	KAUFMAN, ELLIE	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	GUIER, GREGORY	PAC LIFE VUL	0.00	1.85	0.00	1.85	90.0	1.67

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
12/04/2017	STALEY, MICHAELA	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	ROBINSON, PHYLILS	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
12/04/2017	REDDICK, CRYSTAL	PAC LIFE VUL	0.00	1.50	0.00	1.50	90.0	1.35
12/04/2017	STALEY, JOSELYN	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
12/04/2017	MCNERNEY, SUSAN	PAC LIFE VUL	0.00	30.00	0.00	30.00	90.0	27.00
12/04/2017	MCNERNEY, DASAN	PAC LIFE VUL	0.00	6.00	0.00	6.00	90.0	5.40
12/04/2017	MCNERNEY, ALYSSA	PAC LIFE VUL	0.00	4.50	0.00	4.50	90.0	4.05
12/04/2017	MCNERNEY, DYLAN	PAC LIFE VUL	0.00	4.50	0.00	4.50	90.0	4.05
12/04/2017	STEWART, CHAD	PAC LIFE VUL	0.00	8.40	0.00	8.40	90.0	7.56
12/05/2017	BROCKSMITH, RACHEL	PAC LIFE VUL	0.00	2.00	0.00	2.00	90.0	1.80
12/06/2017	ELLIOTT, PATRICIA	PAC LIFE VUL	0.00	2.00	0.00	2.00	90.0	1.80
12/07/2017	GUIER, CLINT	PAC LIFE VUL	0.00	0.74	0.00	0.74	90.0	0.67
12/07/2017	DANIELS, BEVERLY	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
12/07/2017	GUIER, CLINT	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
12/07/2017	CALLIS, CHARLES	PAC LIFE VUL	0.00	8.33	0.00	8.33	90.0	7.50
12/07/2017	HILL, MIKE	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
* LIFE INSURANCE SUBTOTAL *			\$0.00	\$89.82	\$0.00	\$89.82		\$80.85
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
12/12/2017	ANDING, MARY DIANE	PAC LIFE VUL	0.00	28.00	0.00	28.00	90.0	25.20
12/12/2017	ANDING, MARY DIANE	PAC LIFE VUL	0.00	1.50	0.00	1.50	90.0	1.35
12/12/2017	GRIFFIN, SHAWN	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
12/13/2017	CALLIS, ANNIS	PAC LIFE VUL	0.00	6.00	0.00	6.00	90.0	5.40
12/14/2017	KAUFMAN, KIMBERLY	PAC LIFE VUL	0.00	10.98	0.00	10.98	90.0	9.88
12/14/2017	MURRAY, JEFFREY	PAC LIFE VUL	0.00	11.69	0.00	11.69	90.0	10.52
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$61.17	\$0.00	\$61.17		\$55.05
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.90	0.00	0.90	90.0	0.81
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.91	0.00	0.91	90.0	0.82
/ /	CROWLEY, MICHA	FIDELITY ADV EVENT DRIVEN OPPS	0.00	0.57	0.00	0.57	90.0	0.51
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	2.22	0.00	2.22	90.0	2.00
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.88	0.00	0.88	90.0	0.79
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	0.17	0.00	0.17	90.0	0.15

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.78	0.00	0.78	90.0	0.70
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.65	0.00	0.65	90.0	0.59
/ /	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	10.65	0.00	10.65	90.0	9.59
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.28	0.00	1.28	90.0	1.15
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	8.24	0.00	8.24	90.0	7.42
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.56	0.00	2.56	90.0	2.30
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	0.26	0.00	0.26	90.0	0.23
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	0.70	0.00	0.70	90.0	0.63
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.74	0.00	4.74	90.0	4.27
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.35	0.00	1.35	90.0	1.22
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	6.51	0.00	6.51	90.0	5.86
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	8.21	0.00	8.21	90.0	7.39
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.79	0.00	2.79	90.0	2.51
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	14.39	0.00	14.39	90.0	12.95
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.74	0.00	4.74	90.0	4.27
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.24	0.00	1.24	90.0	1.12
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	0.45	0.00	0.45	90.0	0.41
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	6.21	0.00	6.21	90.0	5.59
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.26	0.00	1.26	90.0	1.13
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.70	0.00	0.70	90.0	0.63
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.98	0.00	0.98	90.0	0.88
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	11.11	0.00	11.11	90.0	10.00
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.37	0.00	2.37	90.0	2.13
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	2.83	0.00	2.83	90.0	2.55
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	9.85	0.00	9.85	90.0	8.87
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.40	0.00	1.40	90.0	1.26
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.56	0.00	2.56	90.0	2.30
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.37	0.00	1.37	90.0	1.23
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.72	0.00	1.72	90.0	1.55
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	1.13	0.00	1.13	90.0	1.02
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.34	0.00	6.34	90.0	5.71
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.33	0.00	1.33	90.0	1.20

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.55	0.00	0.55	90.0	0.50
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	14.69	0.00	14.69	90.0	13.22
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.69	0.00	1.69	90.0	1.52
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	5.55	0.00	5.55	90.0	5.00
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	3.06	0.00	3.06	90.0	2.75
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	0.15	0.00	0.15	90.0	0.14
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	2.58	0.00	2.58	90.0	2.32
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.75	0.00	0.75	90.0	0.68
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	9.88	0.00	9.88	90.0	8.89
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	0.45	0.00	0.45	90.0	0.41
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.82	0.00	0.82	90.0	0.74
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.92	0.00	0.92	90.0	0.83
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	0.35	0.00	0.35	90.0	0.32
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.51	0.00	0.51	90.0	0.46
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	9.03	0.00	9.03	90.0	8.13
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	1.08	0.00	1.08	90.0	0.97
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.98	0.00	0.98	90.0	0.88
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.49	0.00	1.49	90.0	1.34
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.28	0.00	2.28	90.0	2.05
/ /	RICHARDSON, BOBBY	FIDLEITY ADVISOR JAPAN-CL T	0.00	0.83	0.00	0.83	90.0	0.75
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$184.09	\$0.00	\$184.09		\$165.73
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/15/2017	STEVENSON, DAVID	PAC LIFE PACIFIC CHOICE	0.00	5,891.77	0.00	5,891.77	90.0	5,302.59
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$5,891.77	\$0.00	\$5,891.77		\$5,302.59
*** DIRECT TRANSACTIONS TOTAL ***			\$16,182.68	\$6,514.10	\$0.00	\$6,514.10		\$5,862.86

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
12/15/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	51.55	0.29	0.00	0.29	90.0	0.26
12/15/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	51.55	0.29	0.00	0.29	90.0	0.26
12/12/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	33.84	0.79	0.00	0.79	90.0	0.71
12/12/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	1,041.67	24.35	0.00	24.35	90.0	21.92
12/01/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	22.59	0.13	0.00	0.13	90.0	0.12
12/01/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	22.59	0.13	0.00	0.13	90.0	0.12
12/15/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	18.09	0.10	0.00	0.10	90.0	0.09
12/15/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	18.09	0.10	0.00	0.10	90.0	0.09
12/20/2017	HERREN, SARA	AM FUNDS AMERICAN BALANCED A	4,165.07	114.54	0.00	114.54	90.0	103.09
11/28/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
12/01/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	18.60	0.10	0.00	0.10	90.0	0.09
12/01/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	24.80	0.14	0.00	0.14	90.0	0.13
12/01/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	6.54	0.04	0.00	0.04	90.0	0.04
12/01/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
12/01/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	49.09	0.27	0.00	0.27	90.0	0.24
12/01/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	49.09	0.27	0.00	0.27	90.0	0.24
12/01/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	13.30	0.07	0.00	0.07	90.0	0.06
12/01/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	13.30	0.07	0.00	0.07	90.0	0.06
12/01/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	45.75	0.25	0.00	0.25	90.0	0.23
12/01/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	45.75	0.25	0.00	0.25	90.0	0.23
12/12/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	833.34	19.48	0.00	19.48	90.0	17.53
12/12/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	136.61	3.20	0.00	3.20	90.0	2.88
12/15/2017	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	56.45	0.31	0.00	0.31	90.0	0.28
12/15/2017	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	56.45	0.31	0.00	0.31	90.0	0.28
12/15/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
12/15/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
12/15/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	50.59	0.28	0.00	0.28	90.0	0.25
12/15/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	50.59	0.28	0.00	0.28	90.0	0.25
12/15/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
12/15/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
12/15/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	42.00	0.23	0.00	0.23	90.0	0.21
12/15/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	42.00	0.23	0.00	0.23	90.0	0.21
12/15/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48

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>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
12/15/2017	MCNERNEY, DASAN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
12/15/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
12/15/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	4.62	0.03	0.00	0.03	90.0	0.03
12/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	ZELLMER, RIANNON	AM FUNDS ICA A	13.84	0.08	0.00	0.08	90.0	0.07
12/01/2017	ZELLMER, RIANNON	AM FUNDS ICA A	13.84	0.08	0.00	0.08	90.0	0.07
12/01/2017	WAHLIG, KACEY	AM FUNDS ICA A	22.60	0.13	0.00	0.13	90.0	0.12
12/01/2017	WAHLIG, KACEY	AM FUNDS ICA A	22.60	0.13	0.00	0.13	90.0	0.12
12/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	20.04	0.11	0.00	0.11	90.0	0.10
12/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	20.04	0.11	0.00	0.11	90.0	0.10
12/15/2017	ZELLMER, RIANNON	AM FUNDS ICA A	14.85	0.08	0.00	0.08	90.0	0.07
12/15/2017	ZELLMER, RIANNON	AM FUNDS ICA A	14.85	0.08	0.00	0.08	90.0	0.07
12/15/2017	WAHLIG, KACEY	AM FUNDS ICA A	18.10	0.10	0.00	0.10	90.0	0.09
12/15/2017	WAHLIG, KACEY	AM FUNDS ICA A	18.10	0.10	0.00	0.10	90.0	0.09
12/15/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
12/15/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
12/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
12/15/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
12/15/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	18.60	0.10	0.00	0.10	90.0	0.09
12/01/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	24.80	0.14	0.00	0.14	90.0	0.13
12/15/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
12/15/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
12/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	20.04	0.11	0.00	0.11	90.0	0.10
12/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	20.04	0.11	0.00	0.11	90.0	0.10
12/01/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	45.75	0.25	0.00	0.25	90.0	0.23
12/01/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	45.75	0.25	0.00	0.25	90.0	0.23
12/15/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
12/15/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
12/15/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	42.00	0.23	0.00	0.23	90.0	0.21

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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 KAUFMAN/KEMBLE #349</u>								
12/15/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	42.00	0.23	0.00	0.23	90.0	0.21
12/15/2017	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	50.00	1.37	0.00	1.37	90.0	1.23
12/12/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	208.33	4.87	0.00	4.87	90.0	4.38
12/12/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.15	0.80	0.00	0.80	90.0	0.72
12/04/2017	MCNERNEY, DAVID	PAC LIFE VUL	0.00	11.00	0.00	11.00	90.0	9.90
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$10,586.79	\$212.77	\$0.00	\$212.77		\$191.54
*** SPLIT TRANSACTIONS TOTAL ***			\$10,586.79	\$212.77	\$0.00	\$212.77		\$191.54

BROKER COMMISSION TOTALS

Broker Transactions	\$5,862.86
Split Transactions	\$191.54
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	\$6,054.40
Year-to-date Gross	\$166,952.25
Year-to-date Earnings	\$159,383.58

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