



Concorde Investment Services, LLC

06/13/2017

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COMMISSION STATEMENT

June 15, 2017

JOHN ROSS
7261 W. Central Ave.

BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KIEFER, SUSAN	AM FUNDS 2010 TARGET DATE-A	0.00	5.93	0.00	5.93	92.0	5.46
06/01/2017	TROUT, TINA	AM FUNDS 2020 TARGET DATE-A	0.00	7.31	0.00	7.31	92.0	6.73
06/01/2017	STEPHENS, ADAM	AM FUNDS 2025 TARGET DATE-A	0.00	0.04	0.00	0.04	92.0	0.04
06/01/2017	MAWHORTER, TIMOTHY	AM FUNDS 2045 TARGET DATE-A	0.00	8.88	0.00	8.88	92.0	8.17
06/01/2017	KIEFER, SUSAN	AM FUNDS 2055 TARGET DATE-A	0.00	2.27	0.00	2.27	92.0	2.09
06/01/2017	TROUT, TINA	AM FUNDS 2055 TARGET DATE-A	0.00	3.45	0.00	3.45	92.0	3.17
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP 529A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMCAP A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	BLAKE, MIRIAM	AM FUNDS AMCAP A	0.00	2.40	0.00	2.40	92.0	2.21
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMCAP A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMCAP A	0.00	2.60	0.00	2.60	92.0	2.39
06/01/2017	VALADE, JOHN	AM FUNDS AMCAP A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2017	HEINAMAN, ROBERT	AM FUNDS AMCAP A	0.00	13.80	0.00	13.80	92.0	12.70
06/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2017	BOCHI, ANDREW	AM FUNDS AMCAP A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	ROSS, SALLY	AM FUNDS AMCAP A	0.00	1.55	0.00	1.55	92.0	1.43
06/01/2017	KRALL, GARY	AM FUNDS AMCAP A	0.00	2.43	0.00	2.43	92.0	2.24
06/01/2017	GARDNER, SHARYL	AM FUNDS AMCAP A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMCAP A	0.00	2.05	0.00	2.05	92.0	1.89
06/01/2017	RONEY, LINDA	AM FUNDS AMCAP A	0.00	27.86	0.00	27.86	92.0	25.63
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP A	0.00	3.71	0.00	3.71	92.0	3.41

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>								
06/01/2017	DAY, CHERYL	AM FUNDS AMCAP A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2017	PILEWSKI, JOHN	AM FUNDS AMCAP A	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	GOYER, TIMOTHY	AM FUNDS AMCAP A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	SMOOT, C STEVEN	AM FUNDS AMCAP A	0.00	18.85	0.00	18.85	92.0	17.34
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS AMCAP A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	BARE III, HARRY	AM FUNDS AMCAP A	0.00	0.10	0.00	0.10	92.0	0.09
06/01/2017	MURPHY, JACK	AM FUNDS AMCAP A	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2017	GLORE, DANIEL	AM FUNDS AMCAP A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2017	MURPHY, CAROL	AM FUNDS AMCAP A	0.00	4.06	0.00	4.06	92.0	3.74
06/01/2017	SHAFFER, DENISE	AM FUNDS AMCAP A	0.00	3.28	0.00	3.28	92.0	3.02
06/01/2017	ISAACSON, ROBERT	AM FUNDS AMCAP A	0.00	2.13	0.00	2.13	92.0	1.96
06/01/2017	ZINK, KARIS	AM FUNDS AMCAP A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	18.04	0.00	18.04	92.0	16.60
06/01/2017	DECKER, MARY BETH	AM FUNDS AMCAP A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	HAUSER, ROBERT	AM FUNDS AMCAP A	0.00	11.61	0.00	11.61	92.0	10.68
06/01/2017	HAUSER, RONALD	AM FUNDS AMCAP A	0.00	4.23	0.00	4.23	92.0	3.89
06/01/2017	STUBLESKI, DANIEL	AM FUNDS AMCAP A	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2017	TARRIS, CHRISTINE	AM FUNDS AMCAP A	0.00	2.07	0.00	2.07	92.0	1.90
06/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	2.60	0.00	2.60	92.0	2.39
06/01/2017	MOLNAR, JOSEPH	AM FUNDS AMCAP A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	ROSS, DANIEL	AM FUNDS AMCAP A	0.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	FAIRCHILD, DANA	AM FUNDS AMCAP A	0.00	4.76	0.00	4.76	92.0	4.38
06/01/2017	WALBERG, PAUL	AM FUNDS AMCAP A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMCAP A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	CURSON, STEVE	AM FUNDS AMCAP A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2017	LECHUGA, CARRIE	AM FUNDS AMCAP A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	KISER, ELIZABETH	AM FUNDS AMCAP A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	OBERT, DEBORA	AM FUNDS AMCAP A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	FLEMING, ANDREA	AM FUNDS AMCAP A	0.00	6.50	0.00	6.50	92.0	5.98
06/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	1.03	0.00	1.03	92.0	0.95

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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>								
06/01/2017	HILES, MARC	AM FUNDS AMCAP A	0.00	3.00	0.00	3.00	92.0	2.76
06/01/2017	SMITH, SUZANNE	AM FUNDS AMCAP A	0.00	7.13	0.00	7.13	92.0	6.56
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMCAP A	0.00	0.90	0.00	0.90	92.0	0.83
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMCAP A	0.00	2.33	0.00	2.33	92.0	2.14
06/01/2017	GOYER, CALLIE	AM FUNDS AMCAP A	0.00	3.31	0.00	3.31	92.0	3.05
06/01/2017	SMITH, MARK	AM FUNDS AMCAP A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	SMITH, PADRAIC	AM FUNDS AMCAP A	0.00	2.74	0.00	2.74	92.0	2.52
06/01/2017	HALSEY, WILLIAM D	AM FUNDS AMCAP A	0.00	10.76	0.00	10.76	92.0	9.90
06/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	GERMAN, MARIANNE	AM FUNDS AMCAP A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	GODFREY, TIMOTHY	AM FUNDS AMCAP A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2017	ZINK, ROBERT	AM FUNDS AMCAP A	0.00	4.40	0.00	4.40	92.0	4.05
06/01/2017	LARSON, PENNY	AM FUNDS AMCAP A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2017	GOYER, GRACE	AM FUNDS AMCAP A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2017	MCFARLAND, BRANDON	AM FUNDS AMCAP A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	DRAKE, ERIC	AM FUNDS AMCAP A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	GROSVENOR, JOHN	AM FUNDS AMCAP A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2017	MOON, CHARLES	AM FUNDS AMCAP A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	COLEMAN, PARISS	AM FUNDS AMCAP A	0.00	2.96	0.00	2.96	92.0	2.72
06/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN BALANCED 529A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	4.29	0.00	4.29	92.0	3.95
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	0.73	0.00	0.73	92.0	0.67
05/31/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	105.00	3.94	0.00	3.94	92.0	3.62
06/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	DREIER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	VALADE, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.13	0.00	0.13	92.0	0.12
06/01/2017	HEINAMAN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	31.67	0.00	31.67	92.0	29.14
06/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	1.04	0.00	1.04	92.0	0.96

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	MILLER, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2017	SWINDLE, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	KRALL, GARY	AM FUNDS AMERICAN BALANCED A	0.00	5.35	0.00	5.35	92.0	4.92
06/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	RONEY, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	4.89	0.00	4.89	92.0	4.50
06/01/2017	ZUCCARELL, HEATHER	AM FUNDS AMERICAN BALANCED A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	WOODRUFF, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	1.96	0.00	1.96	92.0	1.80
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED A	0.00	2.37	0.00	2.37	92.0	2.18
06/01/2017	MOORE, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN BALANCED A	0.00	1.79	0.00	1.79	92.0	1.65
06/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN BALANCED A	0.00	2.37	0.00	2.37	92.0	2.18
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2017	MURPHY, JACK	AM FUNDS AMERICAN BALANCED A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	HUDAK, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2017	HUDAK, STASIA	AM FUNDS AMERICAN BALANCED A	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	2.58	0.00	2.58	92.0	2.37
06/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN BALANCED A	0.00	2.95	0.00	2.95	92.0	2.71
06/01/2017	WASSERMAN, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	22.84	0.00	22.84	92.0	21.01
06/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	1.13	0.00	1.13	92.0	1.04
06/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	14.12	0.00	14.12	92.0	12.99
06/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.34	0.00	7.34	92.0	6.75
06/01/2017	HUDAK, DARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	2.65	0.00	2.65	92.0	2.44
06/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN BALANCED A	0.00	2.16	0.00	2.16	92.0	1.99
06/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.68	0.00	0.68	92.0	0.63

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	1.71	0.00	1.71	92.0	1.57
06/01/2017	HELMINIYAK, CAROLYN	AM FUNDS AMERICAN BALANCED A	0.00	2.27	0.00	2.27	92.0	2.09
06/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN BALANCED A	0.00	2.70	0.00	2.70	92.0	2.48
06/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	ROSS, KRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2017	KISER, ELIZABETH	AM FUNDS AMERICAN BALANCED A	0.00	2.64	0.00	2.64	92.0	2.43
06/01/2017	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	2.64	0.00	2.64	92.0	2.43
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2017	BRILLHART, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	3.12	0.00	3.12	92.0	2.87
06/01/2017	WASSERMAN, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	15.16	0.00	15.16	92.0	13.95
06/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	7.07	0.00	7.07	92.0	6.50
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2017	SMITH, PADRAIC	AM FUNDS AMERICAN BALANCED A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	5.31	0.00	5.31	92.0	4.89
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	WASSERMAN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	4.34	0.00	4.34	92.0	3.99
06/01/2017	LARSON, PENNY	AM FUNDS AMERICAN BALANCED A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	COUSINO, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.01	0.00	1.01	92.0	0.93
06/01/2017	BAKER-KANOUS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	5.41	0.00	5.41	92.0	4.98
06/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	GROSVENOR, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	STOUT, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2017	FAIRCHILD, KERRY	AM FUNDS AMERICAN BALANCED A	0.00	4.62	0.00	4.62	92.0	4.25
06/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	BIHN, JANELLE	AM FUNDS AMERICAN BALANCED A	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2017	ROSS, NICOLE	AM FUNDS AMERICAN BALANCED A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN BALANCED A	0.00	4.35	0.00	4.35	92.0	4.00

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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>								
06/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
06/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.82	0.00	3.82	92.0	3.51
06/01/2017	DREIER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.99	0.00	7.99	92.0	7.35
06/01/2017	BOCHI, ANDREW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.87	0.00	1.87	92.0	1.72
06/01/2017	KRALL, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	DURIS, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	BARE, HELEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.08	0.00	0.08	92.0	0.07
06/01/2017	PILEWSKI, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.14	0.00	0.14	92.0	0.13
06/01/2017	GOYER, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.09	0.00	6.09	92.0	5.60
06/01/2017	MOORE, LINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	ZAENGER, KYLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	URSITTI, MATTHEW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	KREMPA, CLAUDE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.72	0.00	2.72	92.0	2.50
06/01/2017	SHAFFER, LOREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2017	HUNTER, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.18	0.00	4.18	92.0	3.85
06/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2017	KOTLARCZYK, JANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2017	GLORE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.24	0.00	4.24	92.0	3.90
06/01/2017	BIHN, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	21.76	0.00	21.76	92.0	20.02
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.20	0.00	2.20	92.0	2.02
06/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2017	CASTOR, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	HELMINIAC, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.14	0.00	1.14	92.0	1.05

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	MANN, SUNDAY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	REED, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2017	REED, COLLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	ROSS, PATRICK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2017	ZARAGOZA, JULIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2017	ZARAGOZA, VICTOR	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.58	0.00	5.58	92.0	5.13
06/01/2017	CESSNA, JENI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2017	WARNER, COREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.81	0.00	3.81	92.0	3.51
06/01/2017	SCANLAN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	GERMAN, MARIANNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.26	0.00	1.26	92.0	1.16
06/01/2017	CARVER, DENISE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	FISCHER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2017	FOX, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	HAUTER, GREGORY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.39	0.00	13.39	92.0	12.32
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	9.04	0.00	9.04	92.0	8.32
06/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2017	KORAKAS, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2017	HILES, MARC	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.69	0.00	1.69	92.0	1.55
06/01/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.03	0.00	6.03	92.0	5.55
06/01/2017	CARVER, DENISE	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.86	0.00	2.86	92.0	2.63
06/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.86	0.00	2.86	92.0	2.63

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMERICAN MUTUAL A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	MOORE, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2017	BENSCH, CANDACE	AM FUNDS AMERICAN MUTUAL A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN MUTUAL A	0.00	1.66	0.00	1.66	92.0	1.53
06/01/2017	DREIER, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2017	VALADE, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	REEVES, DIANE	AM FUNDS AMERICAN MUTUAL A	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	ROSS, SALLY	AM FUNDS AMERICAN MUTUAL A	0.00	3.05	0.00	3.05	92.0	2.81
06/01/2017	KRALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN MUTUAL A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMERICAN MUTUAL A	0.00	2.72	0.00	2.72	92.0	2.50
06/01/2017	BARE, HELEN	AM FUNDS AMERICAN MUTUAL A	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2017	MOORE, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	3.73	0.00	3.73	92.0	3.43
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN MUTUAL A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2017	BARE III, HARRY	AM FUNDS AMERICAN MUTUAL A	0.00	0.07	0.00	0.07	92.0	0.06
06/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN MUTUAL A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	MURPHY, JACK	AM FUNDS AMERICAN MUTUAL A	0.00	2.27	0.00	2.27	92.0	2.09
06/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN MUTUAL A	0.00	2.72	0.00	2.72	92.0	2.50
06/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN MUTUAL A	0.00	3.97	0.00	3.97	92.0	3.65
06/01/2017	ISAACSON, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	9.26	0.00	9.26	92.0	8.52
06/01/2017	ZINK, KARIS	AM FUNDS AMERICAN MUTUAL A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	18.03	0.00	18.03	92.0	16.59
06/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	12.70	0.00	12.70	92.0	11.68
06/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	5.13	0.00	5.13	92.0	4.72
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN MUTUAL A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	SUTHERLAND, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.86	0.00	1.86	92.0	1.71
06/01/2017	KORAL, ANDREW	AM FUNDS AMERICAN MUTUAL A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN MUTUAL A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN MUTUAL A	0.00	3.57	0.00	3.57	92.0	3.28

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN MUTUAL A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN MUTUAL A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	3.98	0.00	3.98	92.0	3.66
06/01/2017	CURSON, STEVE	AM FUNDS AMERICAN MUTUAL A	0.00	1.87	0.00	1.87	92.0	1.72
06/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	LECHUGA, CARRIE	AM FUNDS AMERICAN MUTUAL A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	SCHNEE, LEO	AM FUNDS AMERICAN MUTUAL A	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	OBERT, DEBORA	AM FUNDS AMERICAN MUTUAL A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN MUTUAL A	0.00	2.87	0.00	2.87	92.0	2.64
06/01/2017	WASSERMAN, FRANK	AM FUNDS AMERICAN MUTUAL A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN MUTUAL A	0.00	6.35	0.00	6.35	92.0	5.84
06/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.58	0.00	3.58	92.0	3.29
06/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	HILES, MARC	AM FUNDS AMERICAN MUTUAL A	0.00	5.25	0.00	5.25	92.0	4.83
06/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN MUTUAL A	0.00	6.34	0.00	6.34	92.0	5.83
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN MUTUAL A	0.00	10.00	0.00	10.00	92.0	9.20
06/01/2017	MCLAUGHLIN, JAIME	AM FUNDS AMERICAN MUTUAL A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	GODFREY, TIMOTHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.39	0.00	4.39	92.0	4.04
06/01/2017	LARSON, PENNY	AM FUNDS AMERICAN MUTUAL A	0.00	3.49	0.00	3.49	92.0	3.21
06/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN MUTUAL A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	DRAKE, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	STOUT, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.96	0.00	1.96	92.0	1.80
06/01/2017	MOON, CHARLES	AM FUNDS AMERICAN MUTUAL A	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	0.00	14.48	0.00	14.48	92.0	13.32
06/01/2017	VALADE, JOHN	AM FUNDS BALANCED PORT A	0.00	34.23	0.00	34.23	92.0	31.49
06/01/2017	WALBERG, PAUL	AM FUNDS BALANCED PORT A	0.00	36.88	0.00	36.88	92.0	33.93
06/01/2017	LETT, TRACY	AM FUNDS BALANCED PORT A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	HEINAMAN, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	BLAKE, MIRIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	DREIER, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	SANDERSON, CATHY	AM FUNDS BOND FUND OF AMERICA A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	BOCHI, ANDREW	AM FUNDS BOND FUND OF AMERICA A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	MILLER, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	REEVES, DIANE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	PEARSON, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2017	KRALL, GARY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.94	0.00	2.94	92.0	2.70
06/01/2017	GARDNER, SHARYL	AM FUNDS BOND FUND OF AMERICA A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	BARE, HELEN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	MOLNAR, JOSEPH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	DAY, CHERYL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2017	MOORE, LINDA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	BARE III, HARRY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	KREMPA, CLAUDE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.27	0.00	2.27	92.0	2.09
06/01/2017	MURPHY, JACK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2017	IRWIN, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.86	0.00	3.86	92.0	3.55
06/01/2017	HAUSER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	5.25	0.00	5.25	92.0	4.83
06/01/2017	CURSON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	MANN, SUNDAY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	PASCHAL, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	2.19	0.00	2.19	92.0	2.01
06/01/2017	WALBERG, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	WASSERMAN, FRANK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2017	COUSINO, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	1.77	0.00	1.77	92.0	1.63
06/01/2017	DONNELLY, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	LETT, TRACY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.30	0.00	2.30	92.0	2.12
06/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.05	0.00	3.05	92.0	2.81

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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>								
06/01/2017	KALE, DENNIS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.78	0.00	1.78	92.0	1.64
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.65	0.00	3.65	92.0	3.36
06/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.65	0.00	3.65	92.0	3.36
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.25	0.00	3.25	92.0	2.99
06/01/2017	MOORE, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	BENSCH, CANDACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.03	0.00	3.03	92.0	2.79
06/01/2017	VALADE, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.23	0.00	21.23	92.0	19.53
06/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.30	0.00	2.30	92.0	2.12
06/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	0.00	1.93	92.0	1.78
06/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	REEVES, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	92.0	0.96
06/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	ROSS, SALLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.20	0.00	3.20	92.0	2.94
06/01/2017	HENDERSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.81	0.00	1.81	92.0	1.67
06/01/2017	COMBS, ROXANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	KRALL, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.13	0.00	4.13	92.0	3.80
06/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.34	0.00	7.34	92.0	6.75
06/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	BARE, HELEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	92.0	0.06
06/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58

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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>								
06/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	DAY, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	MOORE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	92.0	3.23
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	GRANT, MEGAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	GRANT, AUDREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.84	0.00	21.84	92.0	20.09
06/01/2017	BARE III, HARRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.93	0.00	2.93	92.0	2.70
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.46	0.00	3.46	92.0	3.18
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.74	0.00	2.74	92.0	2.52
06/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	ZENK, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	MURPHY, JACK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.01	0.00	4.01	92.0	3.69
06/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.35	0.00	5.35	92.0	4.92
06/01/2017	BIHN, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.01	0.00	2.01	92.0	1.85
06/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.73	0.00	4.73	92.0	4.35
06/01/2017	ZINK, KARIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.05	0.00	25.05	92.0	23.05
06/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.23	0.00	16.23	92.0	14.93
06/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.87	0.00	7.87	92.0	7.24
06/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.62	0.00	5.62	92.0	5.17

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.89	0.00	6.89	92.0	6.34
06/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.38	0.00	4.38	92.0	4.03
06/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.32	0.00	4.32	92.0	3.97
06/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	ROSS, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.92	0.00	3.92	92.0	3.61
06/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.05	0.00	2.05	92.0	1.89
06/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	92.0	0.67
06/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2017	CURSON, STEVE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.53	0.00	2.53	92.0	2.33
06/01/2017	MANN, SUNDAY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	REED, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	REED, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.55	0.00	2.55	92.0	2.35
06/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	ROSS, KRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.17	0.00	2.17	92.0	2.00
06/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2017	KISER, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.13	0.00	1.13	92.0	1.04
06/01/2017	ROSS, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.33	0.00	13.33	92.0	12.26
06/01/2017	YOSHINO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	WARNER, COREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.35	0.00	10.35	92.0	9.52
06/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.81	0.00	3.81	92.0	3.51
06/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	92.0	0.93

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	KRALL, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2017	BRILLHART, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	FOX, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.56	0.00	3.56	92.0	3.28
06/01/2017	KOZLOWSKI, KENNETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	HAUTER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	92.0	1.76
06/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.37	0.00	12.37	92.0	11.38
06/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2017	WASSERMAN, FRANK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.61	0.00	17.61	92.0	16.20
06/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.26	0.00	3.26	92.0	3.00
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.27	0.00	3.27	92.0	3.01
06/01/2017	IRWIN, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.72	0.00	3.72	92.0	3.42
06/01/2017	HILES, MARC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.25	0.00	4.25	92.0	3.91
06/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.05	0.00	2.05	92.0	1.89
06/01/2017	SMITH, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.56	0.00	4.56	92.0	4.20
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.41	0.00	2.41	92.0	2.22
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2017	PELLIONI, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.77	0.00	5.77	92.0	5.31
06/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.24	0.00	8.24	92.0	7.58
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	92.0	2.80
06/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	92.0	2.80
06/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	WASSERMAN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.43	0.00	5.43	92.0	5.00

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	LARSON, PENNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.25	0.00	3.25	92.0	2.99
06/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	WHITTAKER, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.06	0.00	4.06	92.0	3.74
06/01/2017	GROSVENOR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	STOUT, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.67	0.00	6.67	92.0	6.14
06/01/2017	BIHN, JANELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	92.0	0.93
06/01/2017	SPINKS, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.14	0.00	0.14	92.0	0.13
06/01/2017	MOON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	92.0	1.99
06/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.20	0.00	10.20	92.0	9.38
06/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.01	0.00	2.01	92.0	1.85
06/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL WORLD BOND A	0.00	0.09	0.00	0.09	92.0	0.08
06/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	4.06	0.00	4.06	92.0	3.74
06/01/2017	MOORE, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL WORLD BOND A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	REEVES, DIANE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.07	0.00	0.07	92.0	0.06
06/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.75	0.00	1.75	92.0	1.61
06/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL WORLD BOND A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD BOND A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.09	0.00	0.09	92.0	0.08

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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>								
06/01/2017	MOORE, LINDA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.41	0.00	2.41	92.0	2.22
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2017	MURPHY, JACK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	HUDAK, NICHOLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	HUDAK, STASIA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD BOND A	0.00	2.01	0.00	2.01	92.0	1.85
06/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	9.69	0.00	9.69	92.0	8.91
06/01/2017	ZINK, KARIS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	19.81	0.00	19.81	92.0	18.23
06/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	5.56	0.00	5.56	92.0	5.12
06/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	YOSHINO, DOUGLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.01	0.00	0.01	92.0	0.01
06/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2017	WASSERMAN, FRANK	AM FUNDS CAPITAL WORLD BOND A	0.00	0.90	0.00	0.90	92.0	0.83
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.22	0.00	1.22	92.0	1.12
06/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	4.19	0.00	4.19	92.0	3.85
06/01/2017	LARSON, PENNY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.68	0.00	1.68	92.0	1.55
06/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL WORLD BOND A	0.00	0.14	0.00	0.14	92.0	0.13
06/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL WORLD BOND A	0.00	0.52	0.00	0.52	92.0	0.48

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	WALLS, CONNOR	AM FUNDS CAPITAL WORLD BOND A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2017	MOON, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.58	0.00	3.58	92.0	3.29
06/01/2017	KALE, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.04	0.00	1.04	92.0	0.96
06/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.85	0.00	6.85	92.0	6.30
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	92.0	2.73
06/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	DREIER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.86	0.00	5.86	92.0	5.39
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	92.0	0.67
06/01/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.53	0.00	2.53	92.0	2.33
06/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.84	0.00	13.84	92.0	12.73
06/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	92.0	2.19
06/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	REEVES, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	KOZIARSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2017	COMBS, ROXANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	92.0	0.87
06/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.86	0.00	29.86	92.0	27.47
06/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.86	0.00	4.86	92.0	4.47
06/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	92.0	1.52
06/01/2017	MOLNAR, CONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.64	0.00	3.64	92.0	3.35
06/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2017	DURIS, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	92.0	1.35

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.03	0.00	0.03	92.0	0.03
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	BARE, HELEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	92.0	0.09
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	DAY, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	GOYER, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.04	0.00	4.04	92.0	3.72
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.26	0.00	24.26	92.0	22.32
06/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2017	BENSCH, ARLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
06/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.51	0.00	3.51	92.0	3.23
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.66	0.00	4.66	92.0	4.29
06/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.38	0.00	3.38	92.0	3.11
06/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	92.0	2.41
06/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.17	0.00	7.17	92.0	6.60
06/01/2017	BIHN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.41	0.00	3.41	92.0	3.14
06/01/2017	SHAFFER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.86	0.00	3.86	92.0	3.55
06/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.29	0.00	5.29	92.0	4.87
06/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.62	0.00	17.62	92.0	16.21
06/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.41	0.00	7.41	92.0	6.82
06/01/2017	WALLS, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.47	0.00	3.47	92.0	3.19
06/01/2017	MCLAUGHLIN, JAIME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	KRAUS, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.22	0.00	2.22	92.0	2.04
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.38	0.00	5.38	92.0	4.95
06/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.93	0.00	5.93	92.0	5.46

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.25	0.00	3.25	92.0	2.99
06/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.55	0.00	2.55	92.0	2.35
06/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2017	MANN, SUNDAY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.14	0.00	0.14	92.0	0.13
06/01/2017	REED, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2017	REED, COLLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.15	0.00	3.15	92.0	2.90
06/01/2017	MORRIS, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	92.0	0.25
06/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	KISER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.16	0.00	8.16	92.0	7.51
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.67	0.00	13.67	92.0	12.58
06/01/2017	YOSHINO, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2017	MURD, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	WARNER, COREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.33	0.00	10.33	92.0	9.50
06/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.93	0.00	4.93	92.0	4.54
06/01/2017	OBERT, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	92.0	0.86

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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>								
06/01/2017	CARVER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	YOSHINO, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.16	0.00	1.16	92.0	1.07
06/01/2017	FISCHER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.53	0.00	3.53	92.0	3.25
06/01/2017	FOX, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.34	0.00	2.34	92.0	2.15
06/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.19	0.00	11.19	92.0	10.29
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.30	0.00	17.30	92.0	15.92
06/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	HILES, MARC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.77	0.00	4.77	92.0	4.39
06/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	92.0	1.28
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.24	0.00	2.24	92.0	2.06
06/01/2017	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.58	0.00	3.58	92.0	3.29
06/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.98	0.00	8.98	92.0	8.26
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2017	GOYER, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.71	0.00	2.71	92.0	2.49
06/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.99	0.00	4.99	92.0	4.59
06/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2017	BARE, HELEN	AM FUNDS COLLEGE 2030 FUND 529A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2017	COLEMAN, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2017	HUNTER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	BLAKE, MIRIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	DREIER, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	VALADE, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.23	0.00	1.23	92.0	1.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	COMBS, BRIAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2017	SANDERSON, CATHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.91	0.00	0.91	92.0	0.84
06/01/2017	BOCHI, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	MILLER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	SWINDLE, DARRYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	KOZIARSKI, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.60	0.00	6.60	92.0	6.07
06/01/2017	KOZIARSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	DECKER, MARY BETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	92.0	0.67
06/01/2017	HOLT, JEAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.71	0.00	4.71	92.0	4.33
06/01/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.45	0.00	3.45	92.0	3.17
06/01/2017	COMBS, ROXANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.27	0.00	0.27	92.0	0.25
06/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.48	0.00	3.48	92.0	3.20
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.21	0.00	19.21	92.0	17.67
06/01/2017	KRALL, GARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2017	GARDNER, SHARYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2017	MOLNAR, CONNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.55	0.00	2.55	92.0	2.35
06/01/2017	DURIS, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	BARE, HELEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	PILEWSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	PILEWSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	GOYER, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2017	SMOOT, C STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	23.40	0.00	23.40	92.0	21.53
06/01/2017	MARKJA, BERNADINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.33	0.00	2.33	92.0	2.14
06/01/2017	URSITTI, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	BARE III, HARRY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	SHAFFER, LOREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	HUNTER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.85	0.00	2.85	92.0	2.62
06/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.99	0.00	0.99	92.0	0.91

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	MURPHY, JACK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	KOTLARCYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	KOTLARCYK, JANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	HUDAK, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	HUDAK, STASIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	HARRISON, JEFFERY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.54	0.00	3.54	92.0	3.26
06/01/2017	GLORE, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	MURPHY, CAROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.87	0.00	1.87	92.0	1.72
06/01/2017	SHAFFER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.67	0.00	3.67	92.0	3.38
06/01/2017	STUBLESKI, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.13	0.00	1.13	92.0	1.04
06/01/2017	WALLS, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2017	GLORE, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.96	0.00	2.96	92.0	2.72
06/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2017	WRIGHT, BECKY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.83	0.00	1.83	92.0	1.68
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2017	CURSON, STEVE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	REED, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.86	0.00	1.86	92.0	1.71
06/01/2017	REED, COLLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.86	0.00	1.86	92.0	1.71
06/01/2017	SILLIMAN, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	PASCHAL, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	GARDNER, SHANNON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	GARDNER, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	KISER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2017	KISER, EDWARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.66	0.00	5.66	92.0	5.21
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	25.20	0.00	25.20	92.0	23.18
06/01/2017	YOSHINO, KAREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	92.0	1.21
06/01/2017	WARNER, COREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.05	0.00	6.05	92.0	5.57
06/01/2017	SCANLAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	CARVER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	YOSHINO, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	92.0	0.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	FOX, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.44	0.00	5.44	92.0	5.00
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.47	0.00	7.47	92.0	6.87
06/01/2017	KORAKAS, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2017	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	HALSEY, WILLIAM D	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.01	0.00	4.01	92.0	3.69
06/01/2017	DUNNE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.60	0.00	9.60	92.0	8.83
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	GOYER, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.22	0.00	1.22	92.0	1.12
06/01/2017	WHITTAKER, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.25	0.00	4.25	92.0	3.91
06/01/2017	ROSS, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2017	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	16.26	0.00	16.26	92.0	14.96
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	COLEMAN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2017	HUNTER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.27	0.00	0.27	92.0	0.25
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.46	0.00	0.46	92.0	0.42
05/31/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	3.94	0.00	3.94	92.0	3.62
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2017	DREIER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.86	0.00	7.86	92.0	7.23
06/01/2017	BOCHI, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2017	MILLER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.63	0.00	2.63	92.0	2.42
06/01/2017	REEVES, DIANE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	SWINDLE, DARRYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.96	0.00	1.96	92.0	1.80
06/01/2017	KOZIARSKI, LAURA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	DECKER, MARY BETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	COMBS, ROXANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	PEARSON, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.18	0.00	13.18	92.0	12.13
06/01/2017	KRALL, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.72	0.00	2.72	92.0	2.50

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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>								
06/01/2017	GARDNER, SHARYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	MOLNAR, CONNIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.35	0.00	4.35	92.0	4.00
06/01/2017	RONEY, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.69	0.00	42.69	92.0	39.27
06/01/2017	IRELAN, TED	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2017	DURIS, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	ZUCCARELL, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.46	0.00	2.46	92.0	2.26
06/01/2017	BARE, HELEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.80	0.00	0.80	92.0	0.74
06/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	PILEWSKI, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	WOODRUFF, AUSTIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	92.0	1.84
06/01/2017	GOYER, TIMOTHY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2017	SMOOT, C STEVEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	27.61	0.00	27.61	92.0	25.40
06/01/2017	MARKJA, BERNADINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.72	0.00	4.72	92.0	4.34
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.44	0.00	1.44	92.0	1.32
06/01/2017	BARE III, HARRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	92.0	0.07
06/01/2017	KREMPA, CLAUDE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2017	SHAFFER, LOREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.78	0.00	1.78	92.0	1.64
06/01/2017	HUNTER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2017	MURPHY, JACK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.33	0.00	2.33	92.0	2.14
06/01/2017	KOTLARCZYK, JANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	HUDAK, NICHOLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	HUDAK, STASIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	MURPHY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.30	0.00	5.30	92.0	4.88
06/01/2017	BIHN, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2017	SHAFFER, DENISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.71	0.00	4.71	92.0	4.33
06/01/2017	WASSERMAN, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	IRWIN, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.37	0.00	4.37	92.0	4.02
06/01/2017	GLORE, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.87	0.00	4.87	92.0	4.48
06/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.27	0.00	2.27	92.0	2.09
06/01/2017	WRIGHT, BECKY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.42	0.00	2.42	92.0	2.23

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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>								
06/01/2017	ROSS, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.15	0.00	2.15	92.0	1.98
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.92	0.00	1.92	92.0	1.77
06/01/2017	CURSON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2017	MANN, SUNDAY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	REED, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2017	REED, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.26	0.00	2.26	92.0	2.08
06/01/2017	GARDNER, SHANNON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	GARDNER, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	ROSS, KRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.89	0.00	9.89	92.0	9.10
06/01/2017	YOSHINO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2017	WARNER, COREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.21	0.00	10.21	92.0	9.39
06/01/2017	SCANLAN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.02	0.00	6.02	92.0	5.54
06/01/2017	MURD, FRANCIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	YOSHINO, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	FOX, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	KONZ, ORVEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.43	0.00	2.43	92.0	2.24
06/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.31	0.00	9.31	92.0	8.57
06/01/2017	HORN, TARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	92.0	3.08
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.60	0.00	14.60	92.0	13.43
06/01/2017	HILES, MARC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.28	0.00	3.28	92.0	3.02
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2017	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.06	0.00	3.06	92.0	2.82
06/01/2017	HALSEY, WILLIAM D	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.12	0.00	7.12	92.0	6.55
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	GOYER, GRACE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.38	0.00	2.38	92.0	2.19
06/01/2017	STOUT, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.66	0.00	2.66	92.0	2.45
06/01/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	SCHERMBECK, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	92.0	0.29
06/02/2017	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	16,748.63	460.59	0.00	460.59	92.0	423.74

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS GLOBAL BALANCED A	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	COLEMAN, LINDA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.01	0.00	3.01	92.0	2.77
06/01/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.01	0.00	3.01	92.0	2.77
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	IRWIN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	DREIER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2017	HEINAMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.30	0.00	4.30	92.0	3.96
06/01/2017	REEVES, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	KOZIARSKI, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2017	COMBS, ROXANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.95	0.00	4.95	92.0	4.55
06/01/2017	KRALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	92.0	2.19
06/01/2017	GARDNER, SHARYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	RONEY, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.99	0.00	14.99	92.0	13.79
06/01/2017	DURIS, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	92.0	2.35
06/01/2017	ZUCCARELL, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2017	SANDERSON, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2017	SHAFFER, LOREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	MURPHY, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.30	0.00	2.30	92.0	2.12
06/01/2017	MURPHY, CAROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.58	0.00	2.58	92.0	2.37
06/01/2017	WALLS, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	MCLAUGHLIN, JAIME	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	MOLNAR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	KORAL, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	ROSS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	92.0	1.21
06/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.36	0.00	8.36	92.0	7.69
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	WARNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2017	FLEMING, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.91	0.00	3.91	92.0	3.60

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	HORN, TARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.33	0.00	3.33	92.0	3.06
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.69	0.00	9.69	92.0	8.91
06/01/2017	HILES, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.97	0.00	2.97	92.0	2.73
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	RAY, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	ZABORSKI, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2017	KISER, EDWARD	AM FUNDS ICA 529C	0.00	10.75	0.00	10.75	92.0	9.89
06/01/2017	IRWIN, JOHN	AM FUNDS ICA A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	HEINAMAN, ROBERT	AM FUNDS ICA A	0.00	9.77	0.00	9.77	92.0	8.99
06/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	1.92	0.00	1.92	92.0	1.77
06/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	2.86	0.00	2.86	92.0	2.63
06/01/2017	HAUSER, ROBERT	AM FUNDS ICA A	0.00	16.69	0.00	16.69	92.0	15.35
06/01/2017	FAIRCHILD, DANA	AM FUNDS ICA A	0.00	3.52	0.00	3.52	92.0	3.24
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS ICA A	0.00	11.19	0.00	11.19	92.0	10.29
06/01/2017	HALSEY, DEBORAH	AM FUNDS ICA A	0.00	3.26	0.00	3.26	92.0	3.00
06/01/2017	ZABORSKI, PAUL	AM FUNDS ICA A	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2017	KISER, EDWARD	AM FUNDS ICA A	0.00	1.28	0.00	1.28	92.0	1.18
05/31/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	105.00	3.94	0.00	3.94	92.0	3.62
06/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	BENSCH, CANDACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.72	0.00	6.72	92.0	6.18
06/01/2017	BLAKE, MIRIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.19	0.00	5.19	92.0	4.77
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.11	0.00	4.11	92.0	3.78
06/01/2017	VALADE, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.83	0.00	18.83	92.0	17.32
06/01/2017	BOCHI, ANDREW	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	REEVES, DIANE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	HENDERSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2017	KRALL, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.79	0.00	4.79	92.0	4.41
06/01/2017	GARDNER, SHARYL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.79	0.00	2.79	92.0	2.57
06/01/2017	RONEY, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.88	0.00	4.88	92.0	4.49

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.04	0.00	0.04	92.0	0.04
06/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	WOODRUFF, AUSTIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2017	MOORE, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	MARKJA, BERNADINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.04	0.00	3.04	92.0	2.80
06/01/2017	BARE III, HARRY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2017	BENSCH, ARLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.34	0.00	4.34	92.0	3.99
06/01/2017	BRILLHART, RYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.61	0.00	1.61	92.0	1.48
06/01/2017	MURPHY, JACK	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2017	BIHN, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	ISAACSON, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.16	0.00	6.16	92.0	5.67
06/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	21.07	0.00	21.07	92.0	19.38
06/01/2017	DECKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.77	0.00	54.77	92.0	50.39
06/01/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	45.75	0.00	45.75	92.0	42.09
06/01/2017	STUBLESKI, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.32	0.00	4.32	92.0	3.97
06/01/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.46	0.00	14.46	92.0	13.30
06/01/2017	KRAUS, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2017	GLORE, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.23	0.00	4.23	92.0	3.89
06/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.80	0.00	4.80	92.0	4.42
06/01/2017	ROSS, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	92.0	3.32
06/01/2017	WALBERG, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	BRILLHART, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.46	0.00	4.46	92.0	4.10
06/01/2017	CURSON, STEVE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2017	SILLIMAN, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.80	0.00	0.80	92.0	0.74
06/01/2017	PASCHAL, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	GARDNER, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.59	0.00	5.59	92.0	5.14
06/01/2017	GERMAN, MARIANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2017	KONZ, ORVEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.20	0.00	0.20	92.0	0.18

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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>								
06/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2017	WASSERMAN, FRANK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.52	0.00	2.52	92.0	2.32
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.93	0.00	11.93	92.0	10.98
06/01/2017	HALSEY, DEBORAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.94	0.00	5.94	92.0	5.46
06/01/2017	HILES, MARC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.12	0.00	2.12	92.0	1.95
06/01/2017	SMITH, SUZANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.95	0.00	2.95	92.0	2.71
06/01/2017	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.10	0.00	9.10	92.0	8.37
06/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2017	PELLIONI, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.05	0.00	6.05	92.0	5.57
06/01/2017	NICHOLSON, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.30	0.00	5.30	92.0	4.88
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	ZINK, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.21	0.00	4.21	92.0	3.87
06/01/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	WEBBER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
06/01/2017	MOON, CHARLES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.54	0.00	3.54	92.0	3.26
06/01/2017	SEYMOUR, DONALD	AM FUNDS INCOME FUND OF AMERICA C	0.00	43.21	0.00	43.21	92.0	39.75
06/01/2017	FAIRCHILD, KERRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	11.39	0.00	11.39	92.0	10.48
06/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	IRWIN, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	24.28	0.00	24.28	92.0	22.34
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS INCOME PORTFOLIO A	0.00	69.21	0.00	69.21	92.0	63.67
06/01/2017	VALADE, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	75.97	0.00	75.97	92.0	69.89
06/01/2017	BOCHI, ANDREW	AM FUNDS INCOME PORTFOLIO A	0.00	54.42	0.00	54.42	92.0	50.07
06/01/2017	REEVES, DIANE	AM FUNDS INCOME PORTFOLIO A	0.00	25.01	0.00	25.01	92.0	23.01
06/01/2017	KOZIARSKI, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	31.84	0.00	31.84	92.0	29.29
06/01/2017	COMBS, ROXANNE	AM FUNDS INCOME PORTFOLIO A	0.00	16.63	0.00	16.63	92.0	15.30
06/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	52.15	0.00	52.15	92.0	47.98
06/01/2017	GARDNER, SHARYL	AM FUNDS INCOME PORTFOLIO A	0.00	222.28	0.00	222.28	92.0	204.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	DURIS, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	51.81	0.00	51.81	92.0	47.67
06/01/2017	BARE, HELEN	AM FUNDS INCOME PORTFOLIO A	0.00	17.08	0.00	17.08	92.0	15.71
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	28.39	0.00	28.39	92.0	26.12
06/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	26.02	0.00	26.02	92.0	23.94
06/01/2017	BARE III, HARRY	AM FUNDS INCOME PORTFOLIO A	0.00	27.24	0.00	27.24	92.0	25.06
06/01/2017	ZINK, KARIS	AM FUNDS INCOME PORTFOLIO A	0.00	14.54	0.00	14.54	92.0	13.38
06/01/2017	STUBLESKI, DANIEL	AM FUNDS INCOME PORTFOLIO A	0.00	67.67	0.00	67.67	92.0	62.26
06/01/2017	PASCHAL, MICHAEL	AM FUNDS INCOME PORTFOLIO A	0.00	48.54	0.00	48.54	92.0	44.66
06/01/2017	FLEMING, ANDREA	AM FUNDS INCOME PORTFOLIO A	0.00	110.39	0.00	110.39	92.0	101.56
06/01/2017	WASSERMAN, FRANK	AM FUNDS INCOME PORTFOLIO A	0.00	72.65	0.00	72.65	92.0	66.84
06/01/2017	TROUT, TINA	AM FUNDS INCOME PORTFOLIO A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2017	LETT, TRACY	AM FUNDS INCOME PORTFOLIO A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	KISER, EDWARD	AM FUNDS INCOME PORTFOLIO A	0.00	56.92	0.00	56.92	92.0	52.37
06/01/2017	HENDERSON, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.49	0.00	2.49	92.0	2.29
06/01/2017	STUBLESKI, DANIEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2017	KRAUS, JENNIFER	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.20	0.00	7.20	92.0	6.62
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.17	0.00	5.17	92.0	4.76
06/01/2017	FERRARI, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.62	0.00	5.62	92.0	5.17
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.34	0.00	6.34	92.0	5.83
06/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2017	BLAKE, MIRIAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.70	0.00	2.70	92.0	2.48
06/01/2017	DURIS, JOSEPH	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	MOORE, LINDA	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.56	0.00	1.56	92.0	1.44
06/01/2017	HUNTER, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.65	0.00	2.65	92.0	2.44
06/01/2017	ISAACSON, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2017	ZINK, KARIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	TARRIS, CHRISTINE	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.01	0.00	2.01	92.0	1.85
06/01/2017	SUTHERLAND, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.81	0.00	0.81	92.0	0.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KORAL, ANDREW	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	WALBERG, PAUL	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	LECHUGA, CARRIE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	OBERT, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	OBERT, DEBORA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	FISCHER, DAVID	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.92	0.00	2.92	92.0	2.69
06/01/2017	IRWIN, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.74	0.00	1.74	92.0	1.60
06/01/2017	BENSCH, JEFFREY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2017	HILES, MARC	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.93	0.00	1.93	92.0	1.78
06/01/2017	SMITH, SUZANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.90	0.00	3.90	92.0	3.59
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	GODFREY, TIMOTHY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	ZINK, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.83	0.00	3.83	92.0	3.52
06/01/2017	LARSON, PENNY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	DRAKE, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	MOON, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	COLEMAN, PARISS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	RONEY, LINDA	AM FUNDS MORTGAGE A	0.00	52.04	0.00	52.04	92.0	47.88
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	COLEMAN, LINDA	AM FUNDS NEW ECONOMY 529A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW ECONOMY 529A	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW ECONOMY A	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2017	HEINAMAN, ROBERT	AM FUNDS NEW ECONOMY A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	DREIER, DAVID	AM FUNDS NEW ECONOMY A	0.00	3.39	0.00	3.39	92.0	3.12
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.48	0.00	0.48	92.0	0.44

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	VALADE, JOHN	AM FUNDS NEW ECONOMY A	0.00	2.11	0.00	2.11	92.0	1.94
06/01/2017	REEVES, DIANE	AM FUNDS NEW ECONOMY A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	KOZIARSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	DECKER, MARY BETH	AM FUNDS NEW ECONOMY A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	ROSS, SALLY	AM FUNDS NEW ECONOMY A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	HOLT, JEAN	AM FUNDS NEW ECONOMY A	0.00	5.53	0.00	5.53	92.0	5.09
06/01/2017	PEARSON, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	KOTLARCYK, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	10.92	0.00	10.92	92.0	10.05
06/01/2017	GARDNER, SHARYL	AM FUNDS NEW ECONOMY A	0.00	0.45	0.00	0.45	92.0	0.41
06/01/2017	MOLNAR, CONNIE	AM FUNDS NEW ECONOMY A	0.00	3.36	0.00	3.36	92.0	3.09
06/01/2017	RONEY, LINDA	AM FUNDS NEW ECONOMY A	0.00	15.22	0.00	15.22	92.0	14.00
06/01/2017	BARE, HELEN	AM FUNDS NEW ECONOMY A	0.00	0.07	0.00	0.07	92.0	0.06
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	MOLNAR, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	PILEWSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	DAY, CHERYL	AM FUNDS NEW ECONOMY A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	PILEWSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2017	GOYER, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	2.28	0.00	2.28	92.0	2.10
06/01/2017	MARKJA, BERNADINE	AM FUNDS NEW ECONOMY A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	URSITTI, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	2.80	0.00	2.80	92.0	2.58
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	SHAFFER, LOREN	AM FUNDS NEW ECONOMY A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	HUNTER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2017	BRILLHART, RYAN	AM FUNDS NEW ECONOMY A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	MURPHY, JACK	AM FUNDS NEW ECONOMY A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2017	KOTLARCYK, JANA	AM FUNDS NEW ECONOMY A	0.00	1.04	0.00	1.04	92.0	0.96
06/01/2017	HUDAK, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	GLORE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	MURPHY, CAROL	AM FUNDS NEW ECONOMY A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	SHAFFER, DENISE	AM FUNDS NEW ECONOMY A	0.00	3.50	0.00	3.50	92.0	3.22
06/01/2017	IRWIN, JOHN	AM FUNDS NEW ECONOMY A	0.00	5.91	0.00	5.91	92.0	5.44
06/01/2017	STUBLESKI, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.74	0.00	0.74	92.0	0.68

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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>								
06/01/2017	WALLS, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	KRAUS, JENNIFER	AM FUNDS NEW ECONOMY A	0.00	1.07	0.00	1.07	92.0	0.98
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW ECONOMY A	0.00	1.50	0.00	1.50	92.0	1.38
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	4.65	0.00	4.65	92.0	4.28
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW ECONOMY A	0.00	0.70	0.00	0.70	92.0	0.64
06/01/2017	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	0.00	2.79	0.00	2.79	92.0	2.57
06/01/2017	GODFREY, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	GOYER, GRACE	AM FUNDS NEW ECONOMY A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	ROSS, NICOLE	AM FUNDS NEW ECONOMY A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	COLEMAN, PARISS	AM FUNDS NEW ECONOMY A	0.00	2.45	0.00	2.45	92.0	2.25
06/01/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	0.00	59.69	0.00	59.69	92.0	54.91
06/01/2017	COLEMAN, LINDA	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	BLAKE, MIRIAM	AM FUNDS NEW PERSPECTIVE A	0.00	1.84	0.00	1.84	92.0	1.69
06/01/2017	BENSCH, CANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	2.51	0.00	2.51	92.0	2.31
06/01/2017	VALADE, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.86	0.00	1.86	92.0	1.71
06/01/2017	REEVES, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	DECKER, MARY BETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	HOLT, JEAN	AM FUNDS NEW PERSPECTIVE A	0.00	5.61	0.00	5.61	92.0	5.16
06/01/2017	PEARSON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	EDWARTOSKI, DONNA	AM FUNDS NEW PERSPECTIVE A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	GARDNER, SHARYL	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	RONEY, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	8.82	0.00	8.82	92.0	8.11
06/01/2017	DURIS, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	ZUCCARELL, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	WOODRUFF, AUSTIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.53	0.00	2.53	92.0	2.33
06/01/2017	SWINDLE, DARRYL	AM FUNDS NEW PERSPECTIVE A	0.00	1.14	0.00	1.14	92.0	1.05
06/01/2017	KREMPA, CLAUDE	AM FUNDS NEW PERSPECTIVE A	0.00	4.59	0.00	4.59	92.0	4.22
06/01/2017	SHAFFER, LOREN	AM FUNDS NEW PERSPECTIVE A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2017	MURPHY, JACK	AM FUNDS NEW PERSPECTIVE A	0.00	1.82	0.00	1.82	92.0	1.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	JAKSETIC, ZACHARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	HAUSER, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	12.98	0.00	12.98	92.0	11.94
06/01/2017	STUBLESKI, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	FAIRCHILD, DANA	AM FUNDS NEW PERSPECTIVE A	0.00	3.88	0.00	3.88	92.0	3.57
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	1.54	0.00	1.54	92.0	1.42
06/01/2017	FISCHER, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	6.18	0.00	6.18	92.0	5.69
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	7.12	0.00	7.12	92.0	6.55
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.71	0.00	0.71	92.0	0.65
06/01/2017	KISER, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	COLEMAN, LINDA	AM FUNDS NEW WORLD 529A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD 529A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	1.77	0.00	1.77	92.0	1.63
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	0.61	0.00	0.61	92.0	0.56
06/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.32	0.00	1.32	92.0	1.21
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW WORLD A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	BLAKE, MIRIAM	AM FUNDS NEW WORLD A	0.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	MOORE, GARY	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	DREIER, DAVID	AM FUNDS NEW WORLD A	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2017	VALADE, JOHN	AM FUNDS NEW WORLD A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	COMBS, BRIAN	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	BOCHI, ANDREW	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	MILLER, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	KOZIARSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	ROSS, SALLY	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2017	COMBS, ROXANNE	AM FUNDS NEW WORLD A	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	PEARSON, JOHN	AM FUNDS NEW WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	KRALL, GARY	AM FUNDS NEW WORLD A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	GARDNER, SHARYL	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS NEW WORLD A	0.00	1.64	0.00	1.64	92.0	1.51
06/01/2017	DURIS, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.58	0.00	0.58	92.0	0.53

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	BARE, HELEN	AM FUNDS NEW WORLD A	0.00	0.05	0.00	0.05	92.0	0.05
06/01/2017	MOLNAR, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	PILEWSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	92.0	0.09
06/01/2017	SUTHERLAND, JOHN	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	PILEWSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.19	0.00	0.19	92.0	0.17
06/01/2017	GOYER, TIMOTHY	AM FUNDS NEW WORLD A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2017	MOORE, LINDA	AM FUNDS NEW WORLD A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	0.00	3.40	0.00	3.40	92.0	3.13
06/01/2017	SMOOT, C STEVEN	AM FUNDS NEW WORLD A	0.00	15.09	0.00	15.09	92.0	13.88
06/01/2017	MARKJA, BERNADINE	AM FUNDS NEW WORLD A	0.00	3.52	0.00	3.52	92.0	3.24
06/01/2017	URSITTI, MATTHEW	AM FUNDS NEW WORLD A	0.00	3.87	0.00	3.87	92.0	3.56
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW WORLD A	0.00	4.14	0.00	4.14	92.0	3.81
06/01/2017	BENSCH, ARLYN	AM FUNDS NEW WORLD A	0.00	1.60	0.00	1.60	92.0	1.47
06/01/2017	KREMPA, CLAUDE	AM FUNDS NEW WORLD A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2017	SHAFFER, LOREN	AM FUNDS NEW WORLD A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	MURPHY, JACK	AM FUNDS NEW WORLD A	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW WORLD A	0.00	2.31	0.00	2.31	92.0	2.13
06/01/2017	MURPHY, CAROL	AM FUNDS NEW WORLD A	0.00	3.00	0.00	3.00	92.0	2.76
06/01/2017	SHAFFER, DENISE	AM FUNDS NEW WORLD A	0.00	3.09	0.00	3.09	92.0	2.84
06/01/2017	COUSINO, SUSAN	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	WASSERMAN, JULIE	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	ISAACSON, ROBERT	AM FUNDS NEW WORLD A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	6.06	0.00	6.06	92.0	5.58
06/01/2017	TARRIS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.49	0.00	1.49	92.0	1.37
06/01/2017	MCLAUGHLIN, JAIME	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2017	KRAUS, JENNIFER	AM FUNDS NEW WORLD A	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	GLORE, CHRISTINE	AM FUNDS NEW WORLD A	0.00	2.18	0.00	2.18	92.0	2.01
06/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD A	0.00	0.73	0.00	0.73	92.0	0.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	CURSON, STEVE	AM FUNDS NEW WORLD A	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	GARDNER, PATRICIA	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2017	LECHUGA, CARRIE	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	KISER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2017	KISER, EDWARD	AM FUNDS NEW WORLD A	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	7.92	0.00	7.92	92.0	7.29
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	15.69	0.00	15.69	92.0	14.43
06/01/2017	KANOUS, JOSHUA	AM FUNDS NEW WORLD A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	WARNER, COREY	AM FUNDS NEW WORLD A	0.00	2.71	0.00	2.71	92.0	2.49
06/01/2017	SCANLAN, DAVID	AM FUNDS NEW WORLD A	0.00	1.79	0.00	1.79	92.0	1.65
06/01/2017	OBERT, RONALD	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	OBERT, DEBORA	AM FUNDS NEW WORLD A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	YOSHINO, DOUGLAS	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	FISCHER, DAVID	AM FUNDS NEW WORLD A	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2017	FOX, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	92.0	0.25
06/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	HAUETER, GREGORY	AM FUNDS NEW WORLD A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	5.32	0.00	5.32	92.0	4.89
06/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.12	0.00	1.12	92.0	1.03
06/01/2017	WASSERMAN, FRANK	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	92.0	0.20
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW WORLD A	0.00	7.32	0.00	7.32	92.0	6.73
06/01/2017	HALSEY, DEBORAH	AM FUNDS NEW WORLD A	0.00	1.15	0.00	1.15	92.0	1.06
06/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2017	KORAKAS, SANDRA	AM FUNDS NEW WORLD A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2017	BENSCH, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2017	HILES, MARC	AM FUNDS NEW WORLD A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2017	SMITH, SUZANNE	AM FUNDS NEW WORLD A	0.00	2.80	0.00	2.80	92.0	2.58
06/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	GOYER, CALLIE	AM FUNDS NEW WORLD A	0.00	2.00	0.00	2.00	92.0	1.84
06/01/2017	HALSEY, WILLIAM D	AM FUNDS NEW WORLD A	0.00	3.63	0.00	3.63	92.0	3.34

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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>								
06/01/2017	ZINK, ROBERT	AM FUNDS NEW WORLD A	0.00	2.71	0.00	2.71	92.0	2.49
06/01/2017	LARSON, PENNY	AM FUNDS NEW WORLD A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	COUSINO, NICHOLAS	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	GOYER, GRACE	AM FUNDS NEW WORLD A	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	MCFARLAND, BRANDON	AM FUNDS NEW WORLD A	0.00	0.05	0.00	0.05	92.0	0.05
06/01/2017	DRAKE, ERIC	AM FUNDS NEW WORLD A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2017	ROSS, NICOLE	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	COLEMAN, PARISS	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	92.0	0.88
06/01/2017	SEYMOUR, DONALD	AM FUNDS NEW WORLD C	0.00	11.88	0.00	11.88	92.0	10.93
05/30/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
06/01/2017	IRWIN, JOHN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2017	BLAKE, MIRIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.58	0.00	0.58	92.0	0.53
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	SCHOONOVER, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	HEINAMAN, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.55	0.00	6.55	92.0	6.03
06/01/2017	REEVES, DIANE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	KRALL, GARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2017	GARDNER, SHARYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	DURIS, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	BARE, HELEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.13	0.00	0.13	92.0	0.12
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.06	0.00	0.06	92.0	0.06
06/01/2017	PILEWSKI, JOHN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	BARE III, HARRY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	KREMPA, CLAUDE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	MURPHY, JACK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.35	0.00	0.35	92.0	0.32
06/01/2017	MURPHY, CAROL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.09	0.00	2.09	92.0	1.92
06/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	ROSS, DANIEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.02	0.00	6.02	92.0	5.54
06/01/2017	WALBERG, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.20	0.00	0.20	92.0	0.18

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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>								
06/01/2017	MANN, SUNDAY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	ROSS, KRISTINE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.70	0.00	1.70	92.0	1.56
06/01/2017	ZARAGOZA, JULIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	ZARAGOZA, VICTOR	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	WARNER, COREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2017	SCANLAN, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.74	0.00	1.74	92.0	1.60
06/01/2017	GERMAN, MARIANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	CARVER, DENISE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.11	0.00	1.11	92.0	1.02
06/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	FISCHER, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	FOX, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	HAUTER, GREGORY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	8.03	0.00	8.03	92.0	7.39
06/01/2017	HORN, TARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	WASSERMAN, FRANK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.38	0.00	0.38	92.0	0.35
06/01/2017	BENSCH, JEFFREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.84	0.00	0.84	92.0	0.77
06/01/2017	COLEMAN, LINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2017	SMITH, SUZANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.41	0.00	2.41	92.0	2.22
06/01/2017	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.49	0.00	0.49	92.0	0.45
06/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.49	0.00	3.49	92.0	3.21
06/01/2017	PELLIONI, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.59	0.00	5.59	92.0	5.14
06/01/2017	ROSS, NICOLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	KALE, DENNIS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.84	0.00	2.84	92.0	2.61
06/01/2017	MOLNAR, COURTNEY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	LARSON, PENNY	AM FUNDS SHORT TERM TAXEXEMPT BND A	0.00	0.38	0.00	0.38	92.0	0.35
05/31/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	35.00	1.31	0.00	1.31	92.0	1.21
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS SMALLCAP WORLD A	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	DREIER, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	1.89	0.00	1.89	92.0	1.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	VALADE, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	1.75	0.00	1.75	92.0	1.61
06/01/2017	BOCHI, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	KOZIARSKI, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2017	HOLT, JEAN	AM FUNDS SMALLCAP WORLD A	0.00	5.57	0.00	5.57	92.0	5.12
06/01/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	2.34	0.00	2.34	92.0	2.15
06/01/2017	PEARSON, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	16.06	0.00	16.06	92.0	14.78
06/01/2017	KRALL, GARY	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	92.0	1.37
06/01/2017	GARDNER, SHARYL	AM FUNDS SMALLCAP WORLD A	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	BEE, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2017	MOLNAR, CONNIE	AM FUNDS SMALLCAP WORLD A	0.00	2.90	0.00	2.90	92.0	2.67
06/01/2017	RONEY, LINDA	AM FUNDS SMALLCAP WORLD A	0.00	5.94	0.00	5.94	92.0	5.46
06/01/2017	BARE, HELEN	AM FUNDS SMALLCAP WORLD A	0.00	0.08	0.00	0.08	92.0	0.07
06/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS SMALLCAP WORLD A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	MOLNAR, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	PILEWSKI, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SMALLCAP WORLD A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	GOYER, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	SWINDLE, DARRYL	AM FUNDS SMALLCAP WORLD A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	MARKJA, BERNADINE	AM FUNDS SMALLCAP WORLD A	0.00	1.94	0.00	1.94	92.0	1.78
06/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	SHAFFER, LOREN	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	MURPHY, JACK	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	GLORE, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	MURPHY, CAROL	AM FUNDS SMALLCAP WORLD A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	SHAFFER, DENISE	AM FUNDS SMALLCAP WORLD A	0.00	3.10	0.00	3.10	92.0	2.85
06/01/2017	ZINK, KARIS	AM FUNDS SMALLCAP WORLD A	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	IRWIN, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	6.05	0.00	6.05	92.0	5.57
06/01/2017	WALLS, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	GLORE, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	1.76	0.00	1.76	92.0	1.62

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	5.10	0.00	5.10	92.0	4.69
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	14.70	0.00	14.70	92.0	13.52
06/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	6.70	0.00	6.70	92.0	6.16
06/01/2017	HORN, TARA	AM FUNDS SMALLCAP WORLD A	0.00	2.96	0.00	2.96	92.0	2.72
06/01/2017	HILES, MARC	AM FUNDS SMALLCAP WORLD A	0.00	1.98	0.00	1.98	92.0	1.82
06/01/2017	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	0.00	2.65	0.00	2.65	92.0	2.44
06/01/2017	SMITH, PADRAIC	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2017	HALSEY, WILLIAM D	AM FUNDS SMALLCAP WORLD A	0.00	4.68	0.00	4.68	92.0	4.31
06/01/2017	GOYER, GRACE	AM FUNDS SMALLCAP WORLD A	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	ZABORSKI, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	0.00	30.56	0.00	30.56	92.0	28.12
06/01/2017	COLEMAN, LINDA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.89	0.00	0.89	92.0	0.82
05/22/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	200.00	6.00	0.00	6.00	92.0	5.52
05/31/2017	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	3,000.00	82.50	0.00	82.50	92.0	75.90
06/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.26	0.00	0.26	92.0	0.24
06/01/2017	BRUMMETT, DOUGLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	30.73	0.00	30.73	92.0	28.27
06/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.49	0.00	1.49	92.0	1.37
06/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	MILLER, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2017	REEVES, DIANE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2017	ROSS, SALLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	GARDNER, SHARYL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	SUTHERLAND, BARBARA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.36	0.00	3.36	92.0	3.09
06/01/2017	MOORE, LINDA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.96	0.00	0.96	92.0	0.88

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.83	0.00	0.83	92.0	0.76
06/01/2017	MARKJA, BERNADINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.87	0.00	1.87	92.0	1.72
06/01/2017	BARE III, HARRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.31	0.00	3.31	92.0	3.05
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	WASSERMAN, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2017	ISAACSON, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	16.62	0.00	16.62	92.0	15.29
06/01/2017	ZINK, KARIS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.11	0.00	0.11	92.0	0.10
06/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	31.12	0.00	31.12	92.0	28.63
06/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
06/01/2017	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.82	0.00	5.82	92.0	5.35
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.55	0.00	3.55	92.0	3.27
06/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2017	ROSS, DANIEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	12.44	0.00	12.44	92.0	11.44
06/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.94	0.00	0.94	92.0	0.86
06/01/2017	BRILLHART, SHARON	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.22	0.00	2.22	92.0	2.04
06/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	RUPP, MARJORIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.78	0.00	1.78	92.0	1.64
06/01/2017	PASCHAL, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.81	0.00	0.81	92.0	0.75
06/01/2017	ROSS, KRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.04	0.00	3.04	92.0	2.80
06/01/2017	LECHUGA, CARRIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2017	KISER, ELIZABETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.84	0.00	0.84	92.0	0.77
06/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	ZARAGOZA, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.42	0.00	0.42	92.0	0.39
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.23	0.00	1.23	92.0	1.13
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.46	0.00	2.46	92.0	2.26
06/01/2017	SCHNEE, LEO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.59	0.00	0.59	92.0	0.54
06/01/2017	GERMAN, MARIANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	BRILLHART, GREGORY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	FLEMING, ANDREA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.91	0.00	2.91	92.0	2.68
06/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	WASSERMAN, FRANK	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	12.28	0.00	12.28	92.0	11.30

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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>								
06/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.61	0.00	3.61	92.0	3.32
06/01/2017	IRWIN, JOYCE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.48	0.00	0.48	92.0	0.44
06/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
06/01/2017	WASSERMAN, RICHARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	LARSON, PENNY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.04	0.00	5.04	92.0	4.64
06/01/2017	GROSVENOR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.72	0.00	1.72	92.0	1.58
06/01/2017	FAIRCHILD, KERRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.00	0.00	6.00	92.0	5.52
06/01/2017	WEBBER, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.17	0.00	0.17	92.0	0.16
06/01/2017	BIHN, JANELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.42	0.00	2.42	92.0	2.23
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2017	MOON, CHARLES	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	ROSS, NICOLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.58	0.00	2.58	92.0	2.37
06/01/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	70.88	0.00	70.88	92.0	65.21
06/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	BENSCH, CANDACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2017	HEINAMAN, ROBERT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.69	0.00	12.69	92.0	11.67
06/01/2017	SANDERSON, CATHY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	MILLER, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	REEVES, DIANE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.16	0.00	0.16	92.0	0.15
06/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2017	HENDERSON, BARBARA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	92.0	1.15
06/01/2017	GARDNER, SHARYL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.67	0.00	1.67	92.0	1.54
06/01/2017	RONEY, LINDA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	51.09	0.00	51.09	92.0	47.00
06/01/2017	BARE, HELEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.10	0.00	0.10	92.0	0.09
06/01/2017	BARE III, HARRY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.13	0.00	0.13	92.0	0.12
06/01/2017	KREMPA, CLAUDE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.14	0.00	2.14	92.0	1.97
06/01/2017	SANDVIG TRUST, ANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.45	0.00	1.45	92.0	1.33
06/01/2017	BRILLHART, RYAN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	IRWIN, JOHN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.45	0.00	11.45	92.0	10.53

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	SILLIMAN, JEFFREY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	ROSS, DANIEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.34	0.00	3.34	92.0	3.07
06/01/2017	SILLIMAN, GRACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	ROSS, KRISTINE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.07	0.00	3.07	92.0	2.82
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.46	0.00	1.46	92.0	1.34
06/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	21.36	0.00	21.36	92.0	19.65
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.68	0.00	8.68	92.0	7.99
06/01/2017	SMITH, SUZANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	SMITH, PADRAIC	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2017	NICHOLSON, JAMES	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	5.33	0.00	5.33	92.0	4.90
06/01/2017	WOODRUFF, STEPHANIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
06/01/2017	DONNELLY, EMILY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.16	0.00	6.16	92.0	5.67
06/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	92.0	1.96
06/01/2017	BLAKE, MIRIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	BENSCH, CANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	92.0	1.64
06/01/2017	DREIER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2017	VALADE, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	92.0	0.92
06/01/2017	COMBS, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2017	BOCHI, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	92.0	0.66
06/01/2017	SWINDLE, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.89	0.00	0.89	92.0	0.82
06/01/2017	REEVES, DIANE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	KOZIARSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	92.0	0.46
06/01/2017	ROSS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	92.0	2.34
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.48	0.00	8.48	92.0	7.80
06/01/2017	KRALL, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.69	0.00	3.69	92.0	3.39
06/01/2017	GARDNER, SHARYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	RONEY, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.61	0.00	31.61	92.0	29.08
06/01/2017	ZUCCARELL, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.15	0.00	2.15	92.0	1.98

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	BARE, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	92.0	0.56
06/01/2017	PILEWSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	WOODRUFF, AUSTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2017	DAY, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	PILEWSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	SMOOT, C STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.44	0.00	17.44	92.0	16.04
06/01/2017	HANUDEL, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.45	0.00	7.45	92.0	6.85
06/01/2017	URSITTI, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.92	0.00	3.92	92.0	3.61
06/01/2017	BARE III, HARRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.09	0.00	0.09	92.0	0.08
06/01/2017	HUNTER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.87	0.00	1.87	92.0	1.72
06/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.39	0.00	2.39	92.0	2.20
06/01/2017	KOTLARCZYK, JANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	HARRISON, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.82	0.00	3.82	92.0	3.51
06/01/2017	MURPHY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.02	0.00	5.02	92.0	4.62
06/01/2017	SHAFFER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.02	0.00	3.02	92.0	2.78
06/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	JAKSETIC, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	92.0	0.34
06/01/2017	HAUSER, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.57	0.00	11.57	92.0	10.64
06/01/2017	HAUSER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.26	0.00	3.26	92.0	3.00
06/01/2017	STUBLESKI, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.60	0.00	3.60	92.0	3.31
06/01/2017	WALLS, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	KRAUS, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.08	0.00	2.08	92.0	1.91
06/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.80	0.00	2.80	92.0	2.58
06/01/2017	KORAL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	92.0	0.36
06/01/2017	ROSS, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	92.0	1.44
06/01/2017	CASTOR, TIMOTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	92.0	0.59
06/01/2017	HELMINIAK, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2017	CURSON, STEVE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	ROSS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	92.0	0.56

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.82	0.00	11.82	92.0	10.87
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	92.0	1.32
06/01/2017	FLEMING, ANDREA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.94	0.00	5.94	92.0	5.46
06/01/2017	WASSERMAN, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	92.0	0.47
06/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.68	0.00	11.68	92.0	10.75
06/01/2017	HALSEY, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.51	0.00	2.51	92.0	2.31
06/01/2017	KORAKAS, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	BENSCH, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.45	0.00	3.45	92.0	3.17
06/01/2017	HILES, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2017	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2017	GOYER, GRACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	STOUT, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.61	0.00	2.61	92.0	2.40
06/01/2017	FAIRCHILD, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.12	0.00	2.12	92.0	1.95
06/01/2017	KISER, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.59	0.00	1.59	92.0	1.46
06/01/2017	COLEMAN, PARISS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.41	0.00	5.41	92.0	4.98
06/01/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	132.83	0.00	132.83	92.0	122.20
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.95	0.00	5.95	92.0	5.47
06/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	0.00	20.11	0.00	20.11	92.0	18.50
06/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2020 TARGET DATE-C	0.00	36.43	0.00	36.43	92.0	33.52
06/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	17.05	0.00	17.05	92.0	15.69
06/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	17.05	0.00	17.05	92.0	15.69
06/01/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	62.58	0.00	62.58	92.0	57.57
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	1.90	0.00	1.90	92.0	1.75
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.34	0.00	1.34	92.0	1.23
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	0.91	0.00	0.91	92.0	0.84
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.31	0.00	1.31	92.0	1.21
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.09	0.00	1.09	92.0	1.00
06/01/2017	WOODRUFF, STEPHANIE	INFLATION LINKED BOND FUND A	0.00	0.43	0.00	0.43	92.0	0.40
05/12/2017	BLAKE, MIRIAM	LORD ABBETT AFFILIATED A	0.00	4.64	0.00	4.64	92.0	4.27
05/12/2017	ROSSCO INVESTMENT CL	LORD ABBETT BOND DEBENTURE A	0.00	0.25	0.00	0.25	92.0	0.23
05/12/2017	BLAKE, MIRIAM	LORD ABBETT DEVELOPING GROWTH A	0.00	1.19	0.00	1.19	92.0	1.09

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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>								
05/12/2017	BLAKE, MIRIAM	LORD ABBETT EMERGING MARKETS A	0.00	0.05	0.00	0.05	92.0	0.05
05/12/2017	BLAKE, MIRIAM	LORD ABBETT INCOME A	0.00	3.44	0.00	3.44	92.0	3.16
05/12/2017	ROSSCO INVESTMENT CL	LORD ABBETT MID CAP STOCK A	0.00	1.15	0.00	1.15	92.0	1.06
05/22/2017	MANN, JAMES	OPPENHEIMER MAIN STREET A	400.00	19.00	0.00	19.00	92.0	17.48
* MUTUAL FUNDS SUBTOTAL *			\$21,013.63	\$6,160.59	\$0.00	\$6,160.59		\$5,667.90
<u>PRODUCT CATEGORY: STOCKS</u>								
06/02/2017	OBERT, RONALD	WELLS FARGO & CO NEW COM	5,190.70	45.00	22.50	22.50	92.0	20.70
06/02/2017	OBERT, RONALD	WELLTOWER INC COM STK	-29,600.00	45.00	22.60	22.40	92.0	20.61
* STOCKS SUBTOTAL *			\$-24,409.30	\$90.00	\$45.10	\$44.90		\$41.31
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/31/2017	IRWIN, JOHN	JNL ELITE ACCESS	141,496.13	29.48	0.00	29.48	92.0	27.12
05/31/2017	DEMKO, VERA	JNL PERSPECTIVE	50,766.37	10.58	0.00	10.58	92.0	9.73
05/31/2017	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,412.34	1.42	0.00	1.42	92.0	1.31
05/31/2017	LONG, LORI	JNL PERSPECTIVE L	14,679.07	12.23	0.00	12.23	92.0	11.25
05/31/2017	BENSCH, ARLYN	JNL PERSPECTIVE L	31,888.18	26.57	0.00	26.57	92.0	24.44
05/31/2017	BENSCH, CANDACE	JNL PERSPECTIVE L	27,115.44	22.60	0.00	22.60	92.0	20.79
05/31/2017	KRALL, JERRY	JOHN HANCOCK VENTURE III	42,647.36	35.54	0.00	35.54	92.0	32.70
05/31/2017	KEEFE, GERALD	JOHN HANCOCK VENTURE III	14,369.07	11.97	0.00	11.97	92.0	11.01
05/31/2017	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	111,238.13	92.70	0.00	92.70	92.0	85.28
05/31/2017	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	42,162.82	35.14	0.00	35.14	92.0	32.33
05/31/2017	GARDNER, WM	JOHN HANCOCK VENTURE III	124,376.84	103.65	0.00	103.65	92.0	95.36
05/31/2017	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	63,893.79	53.24	0.00	53.24	92.0	48.98
05/31/2017	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	61,825.85	51.52	0.00	51.52	92.0	47.40
05/31/2017	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	97,417.67	81.18	0.00	81.18	92.0	74.69
05/31/2017	MOORE, GARY	JOHN HANCOCK VENTURE III	84,324.52	70.27	0.00	70.27	92.0	64.65
05/31/2017	IRWIN, JOHN	JOHN HANCOCK VENTURE III	71,877.75	59.90	0.00	59.90	92.0	55.11
05/31/2017	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	55,762.56	46.47	0.00	46.47	92.0	42.75
05/31/2017	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	55,413.06	46.18	0.00	46.18	92.0	42.49
05/25/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
06/07/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
06/09/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
05/14/2017	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	147,207.86	122.67	0.00	122.67	92.0	112.86

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/20/2017	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	101,822.44	84.85	0.00	84.85	92.0	78.06
05/21/2017	DEMKO, VERNA	TRANSAMERICA LIBERTY	79,907.93	66.59	0.00	66.59	92.0	61.26
05/22/2017	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	195,262.67	162.72	0.00	162.72	92.0	149.70
05/27/2017	ROSS, SUSAN	TRANSAMERICA LIBERTY	4,359.11	3.63	0.00	3.63	92.0	3.34
05/29/2017	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	27,161.68	22.63	0.00	22.63	92.0	20.82
* VARIABLE ANNUITIES SUBTOTAL *			\$1,650,628.64	\$1,266.93	\$0.00	\$1,266.93		\$1,165.57
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	CAMPBELL, ROBERT	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.49	0.00	2.49	92.0	2.29
05/31/2017	ROSS, JEROME	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	4.38	0.00	4.38	92.0	4.03
05/25/2017	DRAKE, ERIC	PUTNAM MULTI-CAP VALUE A	0.00	3.26	0.00	3.26	92.0	3.00
05/11/2017	OBERT, RONALD	TEMPLETON GROWTH A	0.00	0.13	0.00	0.13	92.0	0.12
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$10.26	\$0.00	\$10.26		\$9.44
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
05/22/2017	YOSHINO, KAREN	ING PREMIUM PLUS	0.00	47.94	0.00	47.94	92.0	44.10
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$47.94	\$0.00	\$47.94		\$44.10
*** BROKER TRANSACTIONS TOTAL ***			\$1,647,232.97	\$7,575.72	\$45.10	\$7,530.62		\$6,928.32

OVERRIDE TRANSACTIONS**BROKER: THOMAS HALSEY #82**

06/01/2017	ALDRICH, JAMI	AM FUNDS AMCAP A	0.00	0.40	0.00	0.40	85.0	0.03
06/01/2017	ABBE JR, GARY	AM FUNDS AMCAP A	0.00	1.70	0.00	1.70	85.0	0.12
06/01/2017	PAPIO, AARON	AM FUNDS AMCAP A	0.00	0.57	0.00	0.57	85.0	0.04
05/22/2017	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	1,000.00	42.50	0.00	42.50	85.0	2.98
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	5.53	0.00	5.53	85.0	0.39
06/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN BALANCED A	0.00	0.82	0.00	0.82	85.0	0.06
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS AMERICAN BALANCED A	0.00	3.55	0.00	3.55	85.0	0.25
06/01/2017	FOSTER, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	85.0	0.03
06/01/2017	WRAY, KIM	AM FUNDS AMERICAN BALANCED A	0.00	10.38	0.00	10.38	85.0	0.73
06/01/2017	PAPIO, JOE	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2017	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	9.33	0.00	9.33	85.0	0.65

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	85.0	0.02
06/01/2017	MEREDITH, TERESE	AM FUNDS AMERICAN BALANCED A	0.00	2.25	0.00	2.25	85.0	0.16
06/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.29	0.00	4.29	85.0	0.30
06/01/2017	KRAMER, DELANEY	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	85.0	0.01
06/01/2017	KRAMER, KARYS	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2017	ALDRICH, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	85.0	0.01
06/01/2017	LEININGER, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	2.95	0.00	2.95	85.0	0.21
06/01/2017	PERRY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	6.85	0.00	6.85	85.0	0.48
06/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	9.17	0.00	9.17	85.0	0.64
06/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.01	0.00	1.01	85.0	0.07
06/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.25	0.00	1.25	85.0	0.09
06/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.40	0.00	0.40	85.0	0.03
06/01/2017	RICHARDS, STEPHEN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.81	0.00	1.81	85.0	0.13
06/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.20	0.00	0.20	85.0	0.01
06/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.17	0.00	0.17	85.0	0.01
06/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.12	0.00	2.12	85.0	0.15
06/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	5.91	0.00	5.91	85.0	0.41
06/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.34	0.00	0.34	85.0	0.02
06/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	19.27	0.00	19.27	85.0	1.35
06/01/2017	DESELMS, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.64	0.00	1.64	85.0	0.11
06/01/2017	DESELMS, ELEVLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.78	0.00	6.78	85.0	0.47
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.78	0.00	3.78	85.0	0.26
06/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.67	0.00	0.67	85.0	0.05
06/01/2017	BAKER, ELAINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.20	0.00	5.20	85.0	0.36
06/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2017	BAUMGARTNER, DIANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.60	0.00	5.60	85.0	0.39
06/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.19	0.00	1.19	85.0	0.08
06/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2017	HAWBLITZ, PETER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.35	0.00	3.35	85.0	0.23
06/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.33	0.00	5.33	85.0	0.37
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.71	0.00	7.71	85.0	0.54

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2017	ABBE JR, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.75	0.00	1.75	85.0	0.12
06/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.40	0.00	1.40	85.0	0.10
06/01/2017	DREEZE, MARCELINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.73	0.00	0.73	85.0	0.05
06/01/2017	MI/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.49	0.00	1.49	85.0	0.10
06/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.59	0.00	10.59	85.0	0.74
06/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.73	0.00	0.73	85.0	0.05
06/01/2017	MEREDITH, JEFFERY	AM FUNDS AMERICAN MUTUAL A	0.00	2.28	0.00	2.28	85.0	0.16
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.30	0.00	3.30	85.0	0.23
06/01/2017	FOSTER, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.25	0.00	4.25	85.0	0.30
06/01/2017	RIEBE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.33	0.00	3.33	85.0	0.23
06/01/2017	HALSEY, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.16	0.00	0.16	85.0	0.01
06/01/2017	DIENER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.82	0.00	8.82	85.0	0.62
06/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.42	0.00	8.42	85.0	0.59
06/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	85.0	0.05
06/01/2017	LEININGER, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	85.0	0.09
06/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.25	0.00	1.25	85.0	0.09
06/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.56	0.00	5.56	85.0	0.39
06/01/2017	NOWAK, COLETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	85.0	0.08
06/01/2017	BAUMGARTNER, DIANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.50	0.00	4.50	85.0	0.32
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.37	0.00	2.37	85.0	0.17
06/01/2017	FOSTER, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.10	0.00	3.10	85.0	0.22
06/01/2017	WRAY, KIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.56	0.00	13.56	85.0	0.95
06/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.01	0.00	6.01	85.0	0.42
06/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.97	0.00	0.97	85.0	0.07
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.46	0.00	12.46	85.0	0.87
06/01/2017	MEREDITH, TERESE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.74	0.00	1.74	85.0	0.12
06/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.82	0.00	8.82	85.0	0.62
06/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.72	0.00	3.72	85.0	0.26

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
06/01/2017	FISHER, SCOTT TW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.24	0.00	3.24	85.0	0.23
06/01/2017	FRENCH, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	FRENCH, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	85.0	0.04
06/01/2017	KRAL, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.37	0.00	2.37	85.0	0.17
06/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.38	0.00	1.38	85.0	0.10
06/01/2017	STACY, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	85.0	0.02
06/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2017	LATTA, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	85.0	0.06
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.53	0.00	6.53	85.0	0.46
06/01/2017	MI/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.18	0.00	4.18	85.0	0.29
06/01/2017	PERRY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.40	0.00	5.40	85.0	0.38
06/01/2017	VESEY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	85.0	0.05
06/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	9.22	0.00	9.22	85.0	0.65
06/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS CAPITAL WORLD BOND A	0.00	5.67	0.00	5.67	85.0	0.40
06/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS CAPITAL WORLD BOND A	0.00	5.67	0.00	5.67	85.0	0.40
06/01/2017	HALSEY, WILLIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.16	0.00	0.16	85.0	0.01
06/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.31	0.00	0.31	85.0	0.02
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.48	0.00	1.48	85.0	0.10
06/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.39	0.00	2.39	85.0	0.17
06/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	85.0	0.03
06/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.01	0.00	10.01	85.0	0.70
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.43	0.00	7.43	85.0	0.52
06/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	85.0	0.05
06/01/2017	LEININGER, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.94	0.00	1.94	85.0	0.14
06/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	85.0	0.03
06/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.20	0.00	10.20	85.0	0.71
06/01/2017	JOHNSON, ZACHARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	85.0	0.06
06/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.59	0.00	2.59	85.0	0.18
06/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.67	0.00	2.67	85.0	0.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	JOHNSON, CHLOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	85.0	0.06
06/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.45	0.00	1.45	85.0	0.10
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	85.0	0.09
06/01/2017	WRAY, KIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.50	0.00	6.50	85.0	0.46
06/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.48	0.00	5.48	85.0	0.38
06/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	85.0	0.03
06/01/2017	PAPIO, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	85.0	0.03
06/01/2017	PAPIO, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	85.0	0.03
06/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	85.0	0.08
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.39	0.00	8.39	85.0	0.59
06/01/2017	MEREDITH, JEFFERY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.75	0.00	2.75	85.0	0.19
06/01/2017	KRAMER, TRISTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	85.0	0.03
06/01/2017	ZORNOW, JORDAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.03	0.00	1.03	85.0	0.07
06/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.40	0.00	8.40	85.0	0.59
06/01/2017	LEININGER, CHRISTAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2017	ABBE JR, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	85.0	0.03
06/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	85.0	0.03
06/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	85.0	0.03
06/01/2017	HARRISON, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	85.0	0.10
06/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	85.0	0.07
06/01/2017	STACY, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	85.0	0.03
06/01/2017	GRAHAM, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	85.0	0.01
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.96	0.00	7.96	85.0	0.56
06/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.64	0.00	5.64	85.0	0.39
06/01/2017	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.81	0.00	2.81	85.0	0.20
06/01/2017	PERRY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.86	0.00	9.86	85.0	0.69
06/01/2017	VESEY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	85.0	0.03
06/01/2017	FRANTZ, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	WRAY, KIM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.96	0.00	4.96	85.0	0.35
06/01/2017	ZORNOW, JORDAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	85.0	0.09
06/01/2017	FISHER, SCOTT TW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.18	0.00	3.18	85.0	0.22

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	LEININGER, KENNETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.36	0.00	1.36	85.0	0.10
06/01/2017	DIENER, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.13	0.00	7.13	85.0	0.50
06/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	0.00	1.18	85.0	0.08
06/01/2017	DESELMS, ELEVLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.12	0.00	11.12	85.0	0.78
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.15	0.00	17.15	85.0	1.20
06/01/2017	KREMPEC, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.08	0.00	1.08	85.0	0.08
06/01/2017	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	85.0	0.18
06/01/2017	FOSTER, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.74	0.00	0.74	85.0	0.05
06/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.01	0.00	1.01	85.0	0.07
06/01/2017	BAKER, ELAINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.21	0.00	7.21	85.0	0.50
06/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.27	0.00	2.27	85.0	0.16
06/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.07	0.00	2.07	85.0	0.14
06/01/2017	WRAY, KIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.30	0.00	6.30	85.0	0.44
06/01/2017	EYLER, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.99	0.00	12.99	85.0	0.91
06/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	85.0	0.17
06/01/2017	DENHAM, CONSTANCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.38	0.00	0.38	85.0	0.03
06/01/2017	JOHNSON, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.52	0.00	1.52	85.0	0.11
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.74	0.00	13.74	85.0	0.96
06/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2017	MEREDITH, TERESE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.94	0.00	2.94	85.0	0.21
06/01/2017	MEREDITH, JEFFERY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.35	0.00	2.35	85.0	0.16
06/01/2017	KRAMER, TRISTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.81	0.00	0.81	85.0	0.06
06/01/2017	ZORNOW, JORDAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.61	0.00	2.61	85.0	0.18
06/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2017	LEININGER, CHRISTAH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.56	0.00	0.56	85.0	0.04
06/01/2017	FISHER, SCOTT TW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.89	0.00	4.89	85.0	0.34
06/01/2017	HALSEY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.19	0.00	0.19	85.0	0.01
06/01/2017	LEININGER, ZACHARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	LEININGER, ELI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	ALDRICH, JAMI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	85.0	0.03
06/01/2017	FRENCH, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	85.0	0.03
06/01/2017	FRENCH, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	85.0	0.03
06/01/2017	KRAMER, DELANEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.24	0.00	0.24	85.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
06/01/2017	ABBE JR, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.92	0.00	3.92	85.0	0.27
06/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2017	KRAMER, KARYS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2017	HARRISON, JERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.35	0.00	2.35	85.0	0.16
06/01/2017	DREEZE, MARCELINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	85.0	0.11
06/01/2017	STACY, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.69	0.00	0.69	85.0	0.05
06/01/2017	CANNON, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.65	0.00	0.65	85.0	0.05
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.96	0.00	0.96	85.0	0.07
06/01/2017	LATTA, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.15	0.00	1.15	85.0	0.08
06/01/2017	ALDRICH, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.09	0.00	11.09	85.0	0.78
06/01/2017	MI/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.17	0.00	7.17	85.0	0.50
06/01/2017	PAPIO, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.34	0.00	0.34	85.0	0.02
06/01/2017	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.93	0.00	2.93	85.0	0.21
06/01/2017	PERRY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.42	0.00	9.42	85.0	0.66
05/22/2017	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	450.00	19.13	0.00	19.13	85.0	1.34
06/01/2017	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	0.00	0.41	0.00	0.41	85.0	0.03
06/01/2017	DIENER, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.42	0.00	2.42	85.0	0.17
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	85.0	0.26
06/01/2017	BAKER, ELAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.19	0.00	6.19	85.0	0.43
06/01/2017	NOWAK, COLETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	85.0	0.03
06/01/2017	BAUMGARTNER, DIANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.74	0.00	2.74	85.0	0.19
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	85.0	0.18
06/01/2017	FOSTER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.10	0.00	1.10	85.0	0.08
06/01/2017	WRAY, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.43	0.00	3.43	85.0	0.24
06/01/2017	DESELMS, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	85.0	0.03
06/01/2017	KRAMER, DELANEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	BELKOFER, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2017	KRAMER, KARYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.31	0.00	0.31	85.0	0.02
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	85.0	0.01
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.63	0.00	3.63	85.0	0.25
06/01/2017	LEININGER, KENNETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	85.0	0.10

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
06/01/2017	DIENER, RONALD	AM FUNDS ICA A	0.00	6.49	0.00	6.49	85.0	0.45
06/01/2017	MEREDITH, TERESE	AM FUNDS ICA A	0.00	2.21	0.00	2.21	85.0	0.15
06/01/2017	ZORNOW, JORDAN	AM FUNDS ICA A	0.00	2.39	0.00	2.39	85.0	0.17
06/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS ICA A	0.00	8.19	0.00	8.19	85.0	0.57
06/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS ICA A	0.00	8.23	0.00	8.23	85.0	0.58
06/01/2017	KRIEGER, RENEE	AM FUNDS ICA A	0.00	10.49	0.00	10.49	85.0	0.73
06/01/2017	BELKOFER, STACEY	AM FUNDS ICA A	0.00	0.63	0.00	0.63	85.0	0.04
06/01/2017	GRAHAM, DAVID	AM FUNDS ICA A	0.00	0.28	0.00	0.28	85.0	0.02
05/22/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	500.00	21.25	0.00	21.25	85.0	1.49
06/01/2017	DIENER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	21.58	0.00	21.58	85.0	1.51
06/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.58	0.00	0.58	85.0	0.04
06/01/2017	FOSTER, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.74	0.00	0.74	85.0	0.05
06/01/2017	BAKER, ELAINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.45	0.00	4.45	85.0	0.31
06/01/2017	HAWBLITZ, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.95	0.00	3.95	85.0	0.28
06/01/2017	PAPPIO, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.36	0.00	0.36	85.0	0.03
06/01/2017	PAPPIO, JOE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.32	0.00	13.32	85.0	0.93
06/01/2017	FRANTZ, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.35	0.00	0.35	85.0	0.02
06/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.89	0.00	15.89	85.0	1.11
06/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.15	0.00	16.15	85.0	1.13
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.62	0.00	0.62	85.0	0.04
06/01/2017	ALDRICH, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	LEININGER, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.44	0.00	3.44	85.0	0.24
06/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.70	0.00	0.70	85.0	0.05
06/01/2017	DIENER, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	9.03	0.00	9.03	85.0	0.63
06/01/2017	RIEBE, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.54	0.00	3.54	85.0	0.25
06/01/2017	KRAL, ADAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.38	0.00	1.38	85.0	0.10
06/01/2017	LATTA, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.57	0.00	0.57	85.0	0.04
06/01/2017	ALDRICH, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.18	0.00	0.18	85.0	0.01
06/01/2017	LEININGER, KENNETH	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.73	0.00	2.73	85.0	0.19
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS MORTGAGE A	0.00	0.30	0.00	0.30	85.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	DESELMS, ELEVLYN	AM FUNDS NEW ECONOMY A	0.00	11.21	0.00	11.21	85.0	0.78
06/01/2017	KRIEGER, RENEE	AM FUNDS NEW ECONOMY A	0.00	9.69	0.00	9.69	85.0	0.68
06/01/2017	FISHER, SCOTT TW	AM FUNDS NEW ECONOMY A	0.00	4.74	0.00	4.74	85.0	0.33
06/01/2017	LEININGER, ZACHARY	AM FUNDS NEW ECONOMY A	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2017	LEININGER, ELI	AM FUNDS NEW ECONOMY A	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	3.20	0.00	3.20	85.0	0.22
06/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.46	0.00	0.46	85.0	0.03
06/01/2017	BAKER, ELAINE	AM FUNDS NEW PERSPECTIVE A	0.00	6.06	0.00	6.06	85.0	0.42
06/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	85.0	0.04
06/01/2017	WRAY, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	3.11	0.00	3.11	85.0	0.22
06/01/2017	KRIEGER, RENEE	AM FUNDS NEW PERSPECTIVE A	0.00	7.81	0.00	7.81	85.0	0.55
06/01/2017	ABBE JR, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.79	0.00	0.79	85.0	0.06
06/01/2017	PAPIO, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.32	0.00	0.32	85.0	0.02
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.95	0.00	2.95	85.0	0.21
06/01/2017	LEININGER, LISA	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	85.0	0.04
06/01/2017	WRAY, KIM	AM FUNDS NEW WORLD A	0.00	4.48	0.00	4.48	85.0	0.31
06/01/2017	EYLER, BARBARA	AM FUNDS NEW WORLD A	0.00	3.05	0.00	3.05	85.0	0.21
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	9.19	0.00	9.19	85.0	0.64
06/01/2017	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	1.00	0.00	1.00	85.0	0.07
06/01/2017	BAKER, ELAINE	AM FUNDS SMALLCAP WORLD A	0.00	5.24	0.00	5.24	85.0	0.37
06/01/2017	WRAY, KIM	AM FUNDS SMALLCAP WORLD A	0.00	5.92	0.00	5.92	85.0	0.41
06/01/2017	EYLER, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	3.49	0.00	3.49	85.0	0.24
06/01/2017	MEREDITH, TERESE	AM FUNDS SMALLCAP WORLD A	0.00	1.99	0.00	1.99	85.0	0.14
06/01/2017	MEREDITH, JEFFERY	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	85.0	0.10
06/01/2017	ZORNOW, JORDAN	AM FUNDS SMALLCAP WORLD A	0.00	2.28	0.00	2.28	85.0	0.16
06/01/2017	LEININGER, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2017	LEININGER, ELI	AM FUNDS SMALLCAP WORLD A	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2017	ALDRICH, JAMI	AM FUNDS SMALLCAP WORLD A	0.00	0.33	0.00	0.33	85.0	0.02
06/01/2017	FRENCH, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.19	0.00	0.19	85.0	0.01
06/01/2017	FRENCH, RICHARD	AM FUNDS SMALLCAP WORLD A	0.00	0.19	0.00	0.19	85.0	0.01
06/01/2017	ABBE JR, GARY	AM FUNDS SMALLCAP WORLD A	0.00	2.67	0.00	2.67	85.0	0.19
06/01/2017	BELKOFER, STACEY	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	85.0	0.03
06/01/2017	KRAL, ADAM	AM FUNDS SMALLCAP WORLD A	0.00	1.85	0.00	1.85	85.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	DREEZE, MARCELINA	AM FUNDS SMALLCAP WORLD A	0.00	0.96	0.00	0.96	85.0	0.07
06/01/2017	CANNON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	0.54	0.00	0.54	85.0	0.04
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS SMALLCAP WORLD A	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	LATTA, MARY	AM FUNDS SMALLCAP WORLD A	0.00	0.91	0.00	0.91	85.0	0.06
06/01/2017	ALDRICH, SUSAN	AM FUNDS SMALLCAP WORLD A	0.00	0.20	0.00	0.20	85.0	0.01
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS SMALLCAP WORLD A	0.00	9.93	0.00	9.93	85.0	0.70
06/01/2017	MI/TOD	AM FUNDS SMALLCAP WORLD A	0.00	8.87	0.00	8.87	85.0	0.62
06/01/2017	PAPIO, AARON	AM FUNDS SMALLCAP WORLD A	0.00	0.30	0.00	0.30	85.0	0.02
06/01/2017	LEININGER, KENNETH	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	85.0	0.10
05/22/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	447.88	19.03	0.00	19.03	85.0	1.33
05/30/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
06/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	85.0	1.19
06/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.28	0.00	3.28	85.0	0.23
06/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.98	0.00	3.98	85.0	0.28
06/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.10	0.00	1.10	85.0	0.08
06/01/2017	TANGEMAN, JEANETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.91	0.00	28.91	85.0	2.02
06/01/2017	DESELMS, ELEVLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.34	0.00	9.34	85.0	0.65
06/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.64	0.00	12.64	85.0	0.88
06/01/2017	FILIPEK, BETHANY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.64	0.00	2.64	85.0	0.18
06/01/2017	DESELMS, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.13	0.00	4.13	85.0	0.29
06/01/2017	BASSETT, HANNAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	85.0	0.08
06/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.21	0.00	4.21	85.0	0.29
06/01/2017	BEISWENGER, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.37	0.00	6.37	85.0	0.45
06/01/2017	COUSINO, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.84	0.00	30.84	85.0	2.16
06/01/2017	TAYLOR, GERALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.69	0.00	11.69	85.0	0.82
06/01/2017	KREMPEC, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2017	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.15	0.00	2.15	85.0	0.15
06/01/2017	FILIPEK, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.80	0.00	19.80	85.0	1.39
06/01/2017	AUGUSTYNIAK, SETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	85.0	0.03
06/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	85.0	0.06
06/01/2017	BAKER, ELAINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.67	0.00	6.67	85.0	0.47

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	DIERKSHEIDE, TRACI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.74	0.00	1.74	85.0	0.12
06/01/2017	JOHNSON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	85.0	0.04
06/01/2017	FRANTZ, KAYLYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.81	0.00	0.81	85.0	0.06
06/01/2017	FRANTZ, CASSANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.71	0.00	0.71	85.0	0.05
06/01/2017	NOWAK, COLETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.85	0.00	0.85	85.0	0.06
06/01/2017	BAUMGARTNER, DIANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.21	0.00	7.21	85.0	0.50
06/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	85.0	0.14
06/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.02	0.00	2.02	85.0	0.14
06/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.97	0.00	9.97	85.0	0.70
06/01/2017	JACKSON, MARNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.02	0.00	13.02	85.0	0.91
06/01/2017	JOHNSON, CHLOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.80	0.00	0.80	85.0	0.06
06/01/2017	BASSETT, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	85.0	0.04
06/01/2017	COOK, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	85.0	0.04
06/01/2017	KRIEGER, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.35	0.00	3.35	85.0	0.23
06/01/2017	FRANTZ, KARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.66	0.00	0.66	85.0	0.05
06/01/2017	RIEBE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.98	0.00	1.98	85.0	0.14
06/01/2017	HAWBLITZ, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.99	0.00	5.99	85.0	0.42
06/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.31	0.00	4.31	85.0	0.30
06/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.17	0.00	3.17	85.0	0.22
06/01/2017	WRAY, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.23	0.00	14.23	85.0	1.00
06/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	85.0	0.03
06/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.78	0.00	2.78	85.0	0.19
06/01/2017	THANASIU, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	85.0	0.10
06/01/2017	PAPIO, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	85.0	0.04
06/01/2017	PAPIO, JOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	85.0	0.04
06/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	85.0	0.05
06/01/2017	ZORNOW TRUST, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.80	0.00	18.80	85.0	1.32
06/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	85.0	0.03
06/01/2017	MEREDITH, TERESE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
06/01/2017	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.52	0.00	4.52	85.0	0.32
06/01/2017	KRAMER, TRISTON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	85.0	0.05
06/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.91	0.00	8.91	85.0	0.62
06/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.98	0.00	8.98	85.0	0.63

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
06/01/2017	KRIEGER, RENEE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.82	0.00	8.82	85.0	0.62
06/01/2017	FISHER, SCOTT TW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.15	0.00	4.15	85.0	0.29
06/01/2017	LEININGER, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2017	LEININGER, ELI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
06/01/2017	ALDRICH, JAMI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	85.0	0.03
06/01/2017	FRENCH, VICTORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	FRENCH, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	85.0	0.02
06/01/2017	KRAMER, DELANEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	85.0	0.02
06/01/2017	ABBE JR, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.48	0.00	3.48	85.0	0.24
06/01/2017	BELKOFER, STACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	85.0	0.03
06/01/2017	KRAMER, KARYS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.28	0.00	0.28	85.0	0.02
06/01/2017	KRAL, ADAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	85.0	0.21
06/01/2017	DREEZE, MARCELINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.87	0.00	1.87	85.0	0.13
06/01/2017	STACY, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	85.0	0.03
06/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	85.0	0.04
06/01/2017	SAPP, ANGELAMARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.24	0.00	1.24	85.0	0.09
06/01/2017	LATTA, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.26	0.00	1.26	85.0	0.09
06/01/2017	GRAHAM, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	85.0	0.01
06/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.87	0.00	11.87	85.0	0.83
06/01/2017	MI/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.27	0.00	8.27	85.0	0.58
06/01/2017	PAPIO, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	85.0	0.04
06/01/2017	LEININGER, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.32	0.00	4.32	85.0	0.30
06/01/2017	PERRY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.27	0.00	15.27	85.0	1.07
06/01/2017	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
06/01/2017	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.14	0.00	4.14	85.0	0.29
06/01/2017	VESEY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.09	0.00	1.09	85.0	0.08
04/30/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	0.00	0.40	0.00	0.40	85.0	0.03
04/30/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	0.00	0.40	0.00	0.40	85.0	0.03
04/30/2017	LEROUX, LAURA	BLK MOD 10-12 AGE BASED A	0.00	7.45	0.00	7.45	85.0	0.52
04/30/2017	BUEHRER, SARAH	BLK MOD 10-12 AGE BASED A	0.00	1.14	0.00	1.14	85.0	0.08
04/30/2017	BUEHRER, SARAH	BLK MOD 13-16 AGE BASED A	0.00	1.14	0.00	1.14	85.0	0.08
/ /	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	11.25	0.00	11.25	85.0	0.79
04/30/2017	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	10.77	0.00	10.77	85.0	0.75

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	7.34	0.00	7.34	85.0	0.51
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	3.30	0.00	3.30	85.0	0.23
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	4.62	0.00	4.62	85.0	0.32
/ /	KRAL, ADAM	FIDELITY ADV HEALTH CARE T	0.00	1.14	0.00	1.14	85.0	0.08
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	6.07	0.00	6.07	85.0	0.42
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	4.11	0.00	4.11	85.0	0.29
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	4.14	0.00	4.14	85.0	0.29
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	5.96	0.00	5.96	85.0	0.42
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	6.42	0.00	6.42	85.0	0.45
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	8.51	0.00	8.51	85.0	0.60
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY GROWTH T	0.00	3.21	0.00	3.21	85.0	0.22
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	5.12	0.00	5.12	85.0	0.36
/ /	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	6.09	0.00	6.09	85.0	0.43
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	6.00	0.00	6.00	85.0	0.42
/ /	KRAL, ADAM	FIDELITY MIDCAP T	0.00	0.95	0.00	0.95	85.0	0.07
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	14.15	0.00	14.15	85.0	0.99
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	6.53	0.00	6.53	85.0	0.46
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	6.25	0.00	6.25	85.0	0.44
05/31/2017	BUEHRER, DANIEL	JNL PERSPECTIVE L	178,496.10	148.75	0.00	148.75	85.0	10.41
05/31/2017	NOWAK, DAVID	JOHN HANCOCK VENTURE III	18,313.51	15.26	0.00	15.26	85.0	1.07
05/31/2017	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	52,061.23	43.38	0.00	43.38	85.0	3.04
05/31/2017	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	41,166.68	34.31	0.00	34.31	85.0	2.40
06/01/2017	DESELMS, ROBERT	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.66	0.00	0.66	85.0	0.05
05/25/2017	PRZYBYLSKI, JEREMIAH	MML ARTISTRY	100.00	5.50	0.00	5.50	85.0	0.39
06/07/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
05/02/2017	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	133,312.81	111.09	0.00	111.09	85.0	7.78
05/05/2017	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	103,431.36	86.19	0.00	86.19	85.0	6.03
05/05/2017	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	85,641.63	71.37	0.00	71.37	85.0	5.00
05/06/2017	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	227,041.46	189.20	0.00	189.20	85.0	13.24
05/07/2017	EYLER, BARBARA	TRANSAMERICA LIBERTY	97,581.63	81.32	0.00	81.32	85.0	5.69
05/07/2017	BUEHRER, SARAH	TRANSAMERICA LIBERTY	133,307.24	111.09	0.00	111.09	85.0	7.78
05/07/2017	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	145,970.69	121.64	0.00	121.64	85.0	8.51
05/07/2017	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	185,831.96	154.86	0.00	154.86	85.0	10.84

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
05/08/2017	FERGUSON, MARK	TRANSAMERICA LIBERTY	229,168.20	190.97	0.00	190.97	85.0	13.37
05/08/2017	DE SELMS, KAREN	TRANSAMERICA LIBERTY	130,338.23	108.62	0.00	108.62	85.0	7.60
05/09/2017	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	176,504.75	147.09	0.00	147.09	85.0	10.30
05/10/2017	THANASIU, THOMAS	TRANSAMERICA LIBERTY	107,680.78	89.73	0.00	89.73	85.0	6.28
05/10/2017	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	93,592.03	77.99	0.00	77.99	85.0	5.46
05/10/2017	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	87,332.09	72.78	0.00	72.78	85.0	5.09
05/12/2017	DIENER, JUDITH	TRANSAMERICA LIBERTY	133,906.96	111.59	0.00	111.59	85.0	7.81
05/12/2017	RUCH, RONALD	TRANSAMERICA LIBERTY	65,523.84	54.60	0.00	54.60	85.0	3.82
05/13/2017	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	29,053.42	24.21	0.00	24.21	85.0	1.69
05/16/2017	BAKER, ELAINE	TRANSAMERICA LIBERTY	209,629.38	174.69	0.00	174.69	85.0	12.23
05/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	74,445.51	62.04	0.00	62.04	85.0	4.34
05/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	74,445.51	62.04	0.00	62.04	85.0	4.34
05/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	74,445.51	62.04	0.00	62.04	85.0	4.34
05/21/2017	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	189,073.00	157.56	0.00	157.56	85.0	11.03
05/22/2017	AUGUSTYNIAK JR, ROGER	TRANSAMERICA LIBERTY	423,541.88	352.95	0.00	352.95	85.0	24.71
05/22/2017	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	92,532.73	77.11	0.00	77.11	85.0	5.40
05/25/2017	PERRY, ALAN	TRANSAMERICA LIBERTY	393,138.10	327.62	0.00	327.62	85.0	22.93
05/25/2017	TAYLOR, LILY	TRANSAMERICA LIBERTY	74,465.79	62.05	0.00	62.05	85.0	4.34
05/26/2017	ANNESSER, CAROL	TRANSAMERICA LIBERTY	127,236.73	106.03	0.00	106.03	85.0	7.42
05/27/2017	DESELMS, KAREN	TRANSAMERICA LIBERTY	120,623.32	100.52	0.00	100.52	85.0	7.04
05/27/2017	WRAY, JOCELYN	TRANSAMERICA LIBERTY	28,115.04	23.43	0.00	23.43	85.0	1.64
05/27/2017	WRAY, KIM	TRANSAMERICA LIBERTY	65,463.86	54.55	0.00	54.55	85.0	3.82
05/27/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	36,927.39	30.77	0.00	30.77	85.0	2.15
05/30/2017	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	47,277.07	39.40	0.00	39.40	85.0	2.76
* THOMAS HALSEY SUBTOTAL *			\$4,489,615.30	\$5,217.53	\$0.00	\$5,217.53		\$365.21
<u> BROKER: ROBERT THOMPSON #83 </u>								
06/01/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	6.57	0.00	6.57	90.0	0.13
06/01/2017	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	11.39	0.00	11.39	90.0	0.23
06/01/2017	NEITZ, DONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	3.19	0.00	3.19	90.0	0.06
06/01/2017	SCHUMACHER, ROSEMARY	AM FUNDS BOND FUND OF AMERICA A	0.00	5.13	0.00	5.13	90.0	0.10
06/01/2017	MAXFIELD, RICHARD	AM FUNDS BOND FUND OF AMERICA A	0.00	18.52	0.00	18.52	90.0	0.37
06/01/2017	PENNINGTON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	12.39	0.00	12.39	90.0	0.25
06/01/2017	SHAFFER TRUST, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	14.51	0.00	14.51	90.0	0.29

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
06/01/2017	GRAHAM, JUDY	AM FUNDS BOND FUND OF AMERICA A	0.00	7.06	0.00	7.06	90.0	0.14
06/01/2017	DAVIS, HOWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	6.59	0.00	6.59	90.0	0.13
06/01/2017	MICHALSKI, PAIGE	AM FUNDS BOND FUND OF AMERICA A	0.00	7.76	0.00	7.76	90.0	0.16
06/01/2017	HILEMAN, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	28.16	0.00	28.16	90.0	0.56
06/01/2017	MOORE CHARIT TRUST, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	16.71	0.00	16.71	90.0	0.33
06/01/2017	BLADEL, JACQUELYN	AM FUNDS BOND FUND OF AMERICA A	0.00	34.97	0.00	34.97	90.0	0.70
06/01/2017	RICE, GREGG	AM FUNDS BOND FUND OF AMERICA A	0.00	57.36	0.00	57.36	90.0	1.15
06/01/2017	MITTEN, ETTA	AM FUNDS BOND FUND OF AMERICA A	0.00	40.26	0.00	40.26	90.0	0.81
06/01/2017	GRUBB, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	0.00	30.43	0.00	30.43	90.0	0.61
06/01/2017	MICHALSKI, GERALDINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.01
06/01/2017	JACOB TRUST, MARILYN	AM FUNDS BOND FUND OF AMERICA A	0.00	33.06	0.00	33.06	90.0	0.66
06/01/2017	RICE, PAMELA	AM FUNDS BOND FUND OF AMERICA A	0.00	10.52	0.00	10.52	90.0	0.21
06/01/2017	ROSSWURM, ELAINE	AM FUNDS BOND FUND OF AMERICA A	0.00	14.93	0.00	14.93	90.0	0.30
06/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.94	0.00	3.94	90.0	0.08
06/01/2017	JACOB TRUST, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.43	0.00	4.43	90.0	0.09
06/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD BOND A	0.00	6.66	0.00	6.66	90.0	0.13
06/01/2017	JEFFERS, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	4.85	0.00	4.85	90.0	0.10
06/01/2017	GAJEWSKI, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	3.25	0.00	3.25	90.0	0.07
06/01/2017	JACOB, MARILYN	AM FUNDS CAPITAL WORLD BOND A	0.00	18.58	0.00	18.58	90.0	0.37
06/01/2017	BUEHLER, ARNOLD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.05	0.00	18.05	90.0	0.36
06/01/2017	SCHWEINHAGEN, RUPERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.92	0.00	32.92	90.0	0.66
06/01/2017	NEITZ, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.42	0.00	15.42	90.0	0.31
06/01/2017	PENNINGTON, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.60	0.00	24.60	90.0	0.49
06/01/2017	MAXFIELD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	36.39	0.00	36.39	90.0	0.73
06/01/2017	BESTOR, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.29	0.00	16.29	90.0	0.33
06/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	55.70	0.00	55.70	90.0	1.11
06/01/2017	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.83	0.00	28.83	90.0	0.58
06/01/2017	GRIM, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.98	0.00	0.98	90.0	0.02
06/01/2017	ROSSWURM, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.34	0.00	22.34	90.0	0.45
06/01/2017	RECKNER, GARTH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.71	0.00	1.71	90.0	0.03
06/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.39	0.00	34.39	90.0	0.69
06/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	45.99	0.00	45.99	90.0	0.92
06/01/2017	SHAFFER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
06/01/2017	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	38.24	0.00	38.24	90.0	0.76
06/01/2017	RICE, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.70	0.00	3.70	90.0	0.07
06/01/2017	RICE JR, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.90	0.00	4.90	90.0	0.10
06/01/2017	WODA, HELENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.92	0.00	2.92	90.0	0.06
06/01/2017	SWEARINGEN, ERIC	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	29.73	0.00	29.73	90.0	0.59
06/01/2017	RINGGER, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.11	0.00	13.11	90.0	0.26
06/01/2017	JEFFERS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.30	0.00	9.30	90.0	0.19
06/01/2017	FLECK, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.99	0.00	12.99	90.0	0.26
06/01/2017	SHAFFER, JAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.53	0.00	19.53	90.0	0.39
06/01/2017	RICE, GREGG	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.40	0.00	3.40	90.0	0.07
06/01/2017	PENNINGTON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	26.93	0.00	26.93	90.0	0.54
06/01/2017	RICE, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.07	0.00	4.07	90.0	0.08
06/01/2017	GRIM, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
06/01/2017	RICE JR, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.01
06/01/2017	SEITZINGER, MARK	AM FUNDS ICA A	0.00	15.47	0.00	15.47	90.0	0.31
06/01/2017	MOORE, EILEEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	56.10	0.00	56.10	90.0	1.12
06/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	13.85	0.00	13.85	90.0	0.28
06/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	22.60	0.00	22.60	90.0	0.45
06/01/2017	DAVIS, HOWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	12.05	0.00	12.05	90.0	0.24
06/01/2017	SWEARINGEN, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.11	0.00	2.11	90.0	0.04
06/01/2017	LYKES, EMMANUEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.57	0.00	1.57	90.0	0.03
06/01/2017	NEITZ, CHRISTINA	AM FUNDS NEW WORLD A	0.00	4.51	0.00	4.51	90.0	0.09
06/01/2017	GRIM, SUSAN	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	90.0	0.01
06/01/2017	PENNINGTON, SANDRA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	22.32	0.00	22.32	90.0	0.45
06/01/2017	MAXFIELD, RICHARD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.57	0.00	10.57	90.0	0.21
06/01/2017	PENNINGTON, STEVE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.61	0.00	6.61	90.0	0.13
06/01/2017	WODA, HELENE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.87	0.00	4.87	90.0	0.10
06/01/2017	MOORE, EILEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	13.47	0.00	13.47	90.0	0.27
06/01/2017	JACOB, MARILYN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.24	0.00	5.24	90.0	0.10
06/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.79	0.00	5.79	90.0	0.12
06/01/2017	SHAFFER, JAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	16.68	0.00	16.68	90.0	0.33
06/01/2017	JEFFERS, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	7.27	0.00	7.27	90.0	0.15
06/01/2017	FLECK, GERALD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.04	0.00	9.04	90.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
06/01/2017	GRIM, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.31	0.00	0.31	90.0	0.01
04/30/2017	SHAFFER, CLARK	ICON BOND FUND C	0.00	13.84	0.00	13.84	90.0	0.28
04/30/2017	RICE, CHERYL	ICON BOND FUND C	0.00	2.11	0.00	2.11	90.0	0.04
04/30/2017	GECIK, STANLEY	ICON BOND FUND C	0.00	4.31	0.00	4.31	90.0	0.09
04/30/2017	RECKNER, GARTH	ICON BOND FUND C	0.00	1.09	0.00	1.09	90.0	0.02
05/31/2017	RICHARDS, MILDRED	JNL PERSPECTIVE	38,478.93	8.02	0.00	8.02	90.0	0.16
05/31/2017	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,141.93	1.34	0.00	1.34	90.0	0.03
05/31/2017	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	41,708.64	34.76	0.00	34.76	90.0	0.70
05/31/2017	SMITH, FRANK	JOHN HANCOCK VENTURE III	102,392.71	85.33	0.00	85.33	90.0	1.71
05/31/2017	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	26,760.19	22.30	0.00	22.30	90.0	0.45
05/31/2017	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	38,294.16	31.91	0.00	31.91	90.0	0.64
05/31/2017	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	129,407.50	107.84	0.00	107.84	90.0	2.16
05/31/2017	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	137,775.24	114.81	0.00	114.81	90.0	2.30
05/31/2017	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	172,866.38	144.06	0.00	144.06	90.0	2.88
05/31/2017	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	25,245.87	21.04	0.00	21.04	90.0	0.42
05/31/2017	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	46,521.39	38.77	0.00	38.77	90.0	0.78
05/31/2017	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	18,043.68	15.04	0.00	15.04	90.0	0.30
05/31/2017	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	25,152.18	20.96	0.00	20.96	90.0	0.42
05/31/2017	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	169,322.24	141.10	0.00	141.10	90.0	2.82
05/31/2017	ELWING, LOUISE	JOHN HANCOCK VENTURE III	160,121.12	133.43	0.00	133.43	90.0	2.67
05/31/2017	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	155,030.35	129.19	0.00	129.19	90.0	2.58
05/31/2017	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	219,267.35	182.72	0.00	182.72	90.0	3.65
05/31/2017	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	42,791.37	35.66	0.00	35.66	90.0	0.71
05/31/2017	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	118,467.39	98.72	0.00	98.72	90.0	1.97
05/31/2017	RICE, PAMELA	JOHN HANCOCK VENTURE III	110,604.85	92.17	0.00	92.17	90.0	1.84
05/31/2017	RINGGER, LINDA	JOHN HANCOCK VENTURE III	120,297.15	100.25	0.00	100.25	90.0	2.01
05/31/2017	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	23,904.28	19.92	0.00	19.92	90.0	0.40
05/31/2017	WODA, HELENE	JOHN HANCOCK VENTURE III	29,184.16	24.32	0.00	24.32	90.0	0.49
06/01/2017	HALL, SCOTT	NW DESTINATION B2 05	300,000.00	10,500.00	0.00	10,500.00	90.0	210.00
05/29/2017	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	56,006.52	58.34	0.00	58.34	90.0	1.17
05/02/2017	RINGGER, MARK	TRANSAMERICA LIBERTY	133,423.65	111.19	0.00	111.19	90.0	2.22
05/04/2017	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,509.01	3.76	0.00	3.76	90.0	0.08
05/05/2017	MOORE, EILEEN	TRANSAMERICA LIBERTY	250,910.71	209.09	0.00	209.09	90.0	4.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
05/05/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	23,779.33	19.82	0.00	19.82	90.0	0.40
05/07/2017	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	6,041.81	5.03	0.00	5.03	90.0	0.10
05/07/2017	FRAZIER, JULIE	TRANSAMERICA LIBERTY	54,228.66	45.19	0.00	45.19	90.0	0.90
05/08/2017	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	93,765.91	78.14	0.00	78.14	90.0	1.56
05/09/2017	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	48,801.06	40.67	0.00	40.67	90.0	0.81
05/12/2017	LABERDEE, LARRY	TRANSAMERICA LIBERTY	31,130.18	25.94	0.00	25.94	90.0	0.52
05/13/2017	WODA, HELENE	TRANSAMERICA LIBERTY	39,070.89	32.56	0.00	32.56	90.0	0.65
05/13/2017	FURNEY, DANNY	TRANSAMERICA LIBERTY	254,604.47	212.17	0.00	212.17	90.0	4.24
05/13/2017	MERZ, EDWIN	TRANSAMERICA LIBERTY	156,831.89	130.69	0.00	130.69	90.0	2.61
05/13/2017	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	77,022.58	64.19	0.00	64.19	90.0	1.28
05/15/2017	THOMPSON, ROBERT	TRANSAMERICA LIBERTY	496.05	0.41	0.00	0.41	90.0	0.01
05/15/2017	RICE, CHERYL	TRANSAMERICA LIBERTY	2,579.45	2.15	0.00	2.15	90.0	0.04
05/15/2017	JACOB, MARILYN	TRANSAMERICA LIBERTY	229,458.75	191.22	0.00	191.22	90.0	3.82
05/16/2017	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	115,803.54	96.50	0.00	96.50	90.0	1.93
05/16/2017	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,621.47	2.18	0.00	2.18	90.0	0.04
05/16/2017	RICE, SUSAN	TRANSAMERICA LIBERTY	122,463.84	102.05	0.00	102.05	90.0	2.04
05/17/2017	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,704.49	22.25	0.00	22.25	90.0	0.45
05/21/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	99,119.93	82.60	0.00	82.60	90.0	1.65
05/22/2017	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	83,185.55	69.32	0.00	69.32	90.0	1.39
05/22/2017	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	39,618.74	33.02	0.00	33.02	90.0	0.66
05/22/2017	JEFFERS, DAVID	TRANSAMERICA LIBERTY	110,285.08	91.90	0.00	91.90	90.0	1.84
05/23/2017	SEITZINGER, MARK	TRANSAMERICA LIBERTY	68,937.61	57.45	0.00	57.45	90.0	1.15
05/23/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	98,033.00	81.69	0.00	81.69	90.0	1.63
05/24/2017	HALL, WAYNE	TRANSAMERICA LIBERTY	173,389.72	144.49	0.00	144.49	90.0	2.89
05/24/2017	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	213,987.68	178.32	0.00	178.32	90.0	3.57
05/26/2017	WENZ, JAMES	TRANSAMERICA LIBERTY	26,882.06	22.40	0.00	22.40	90.0	0.45
05/26/2017	FISH, SANDRA	TRANSAMERICA LIBERTY	77,786.24	64.82	0.00	64.82	90.0	1.30
05/26/2017	ZAWODNI, CAROL	TRANSAMERICA LIBERTY	150,685.72	125.57	0.00	125.57	90.0	2.51
05/26/2017	RICE, PAMELA	TRANSAMERICA LIBERTY	59,420.76	49.52	0.00	49.52	90.0	0.99
05/27/2017	DAVIS, HOWARD	TRANSAMERICA LIBERTY	31,977.52	26.65	0.00	26.65	90.0	0.53
05/28/2017	COOPER, MARK	TRANSAMERICA LIBERTY	111,787.41	93.16	0.00	93.16	90.0	1.86
05/29/2017	SHAFFER, EMILY	TRANSAMERICA LIBERTY	168,140.83	140.12	0.00	140.12	90.0	2.80
* ROBERT THOMPSON SUBTOTAL *			\$5,497,271.17	\$15,975.78	\$0.00	\$15,975.78		\$319.53

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
*** OVERRIDE TRANSACTIONS TOTAL ***			\$9,986,886.47	\$21,193.31	\$0.00	\$21,193.31		\$684.74
<u>ADJUSTMENTS</u>								
06/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
06/15/2017		*TECHNOLOGY: ADMIN - DEB RYAN	0.00					-100.00
06/15/2017		*TECHNOLOGY: ADMIN - J BOYERS	0.00					-100.00
06/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-775.00

BROKER COMMISSION TOTALS

Broker Transactions	\$6,928.32
Split Transactions	\$0.00
Override Transactions	\$684.74
Adjustments	\$-775.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,838.06
Year-to-date Gross	\$57,953.18
Year-to-date Earnings	\$55,973.85

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