

**COMMISSION STATEMENT****December 15, 2017****STAN WEBB**300 N. Main Street
Suite 309
Wichita, KS 67202**BROKER #: W121**

BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
12/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
11/20/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	150.00	5.63	0.00	5.63	92.0	5.18
11/21/2017	HAINES, EDWARD	AM FUNDS AMERICAN BALANCED A	8,880.28	244.21	0.00	244.21	92.0	224.67
11/20/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	150.00	5.63	0.00	5.63	92.0	5.18
11/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
11/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
11/21/2017	HAINES, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	4,440.14	122.10	0.00	122.10	92.0	112.33
12/06/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
12/06/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
11/21/2017	HAINES, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS A	3,330.10	91.58	0.00	91.58	92.0	84.25
11/20/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	25.00	0.94	0.00	0.94	92.0	0.86
11/20/2017	HILGER, GERALD	AM FUNDS ICA A	50.00	1.88	0.00	1.88	92.0	1.73
11/20/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	25.00	0.94	0.00	0.94	92.0	0.86
11/21/2017	HAINES, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	3,330.10	91.58	0.00	91.58	92.0	84.25
12/01/2017	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	100.00	2.75	0.00	2.75	92.0	2.53
12/01/2017	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	100.00	2.75	0.00	2.75	92.0	2.53
12/01/2017	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	100.00	2.75	0.00	2.75	92.0	2.53
11/20/2017	THOMAS, DAVID	FT FOUNDING FUNDS ALLOC A	150.00	7.50	0.00	7.50	92.0	6.90
11/20/2017	NELSON, JIM	INVESCO AMERICAN FRANCHISE A	100.00	3.00	0.00	3.00	92.0	2.76
11/20/2017	NELSON, DENE	INVESCO CHARTER FUND A	200.00	6.00	0.00	6.00	92.0	5.52
11/20/2017	NELSON, JIM	INVESCO CHARTER FUND A	250.00	7.50	0.00	7.50	92.0	6.90
11/20/2017	NELSON, JIM	INVESCO DEVELOPING MARKETS A	50.00	1.50	0.00	1.50	92.0	1.38
11/20/2017	NELSON, DENE	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
11/20/2017	NELSON, JIM	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
11/20/2017	NELSON, DENE	INVESCO MODERATE ALLOCATION A	200.00	6.00	0.00	6.00	92.0	5.52

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
* MUTUAL FUNDS SUBTOTAL *			\$22,030.62	\$619.00	\$0.00	\$619.00		\$569.44
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/02/2017	ERKER, LAWRENCE	AM GEN POLARIS FLEX PYMT DEF ANNUIT	59,516.72	59.52	0.00	59.52	92.0	54.76
11/25/2017	BAZIL, RALPH	AM GEN POLARIS PLATINUM III	117,656.85	73.54	0.00	73.54	92.0	67.66
11/30/2017	SPRAGUE, KRISTY	JNL ELITE ACCESS	32,355.69	13.48	0.00	13.48	92.0	12.40
11/30/2017	BAZIL, RALPH	JNL ELITE ACCESS	56,424.17	11.76	0.00	11.76	92.0	10.82
11/30/2017	CLEARY, MICHAEL	JNL ELITE ACCESS	64,718.17	13.48	0.00	13.48	92.0	12.40
11/30/2017	ARVANITIS, MICHELLE	JNL PERSPECTIVE II 05/05	26,824.23	22.35	0.00	22.35	92.0	20.56
11/30/2017	STOCKHAM, THOMAS	JNL PERSPECTIVE II 05/05	17,246.85	7.19	0.00	7.19	92.0	6.61
11/30/2017	KELLEY, JAMES	JNL PERSPECTIVE II 05/05	166,346.19	69.31	0.00	69.31	92.0	63.77
11/30/2017	CARPENTER JR, ROBERT	JNL PERSPECTIVE II 05/05	41,148.89	17.15	0.00	17.15	92.0	15.78
11/30/2017	HOFFMAN, FRANCIS	JNL PERSPECTIVE II 05/05	127,641.71	53.18	0.00	53.18	92.0	48.93
11/30/2017	EVERETT, TRAVIS	JNL PERSPECTIVE II 05/05	105,820.53	44.09	0.00	44.09	92.0	40.56
11/30/2017	BRIMER JR, ALBERT	JNL PERSPECTIVE II 05/05	76,053.80	31.69	0.00	31.69	92.0	29.15
11/30/2017	GREENING, CHRISTOPHER	JNL PERSPECTIVE II 05/05	55,464.64	23.11	0.00	23.11	92.0	21.26
11/30/2017	RHEA, JONNIE	JNL PERSPECTIVE II 05/05	81,009.92	33.75	0.00	33.75	92.0	31.05
11/30/2017	PRACHT, MARK	JNL PERSPECTIVE II 05/05	118,048.25	49.19	0.00	49.19	92.0	45.25
11/30/2017	ENGEL, CALVIN	JNL PERSPECTIVE II 05/05	164,799.18	68.67	0.00	68.67	92.0	63.18
11/30/2017	HESSE, RICHARD	JNL PERSPECTIVE II 05/05	46,609.15	19.42	0.00	19.42	92.0	17.87
11/30/2017	BROWN, MARY	JNL PERSPECTIVE L	9,133.41	9.89	0.00	9.89	92.0	9.10
11/30/2017	CRANE, BEVERLY	JNL PERSPECTIVE L	156,872.49	169.95	0.00	169.95	92.0	156.35
11/30/2017	DANDURAND, BEVERLY	JNL PERSPECTIVE L	163,127.31	176.72	0.00	176.72	92.0	162.58
11/30/2017	ROBINSON, DENNIS	JOHN HANCOCK VANTAGE	72,610.16	15.13	0.00	15.13	92.0	13.92
11/30/2017	KENNEDY, ROBERT	JOHN HANCOCK VENTURE	36,216.51	22.64	0.00	22.64	92.0	20.83
11/30/2017	HEARD, DAVID	JOHN HANCOCK VENTURE	15,385.26	9.62	0.00	9.62	92.0	8.85
11/30/2017	HEIMERMAN, JANET	JOHN HANCOCK VENTURE 2006	42,201.98	8.79	0.00	8.79	92.0	8.09
11/30/2017	ROBINSON, DENNIS	JOHN HANCOCK VENTURE III	120,772.60	100.64	0.00	100.64	92.0	92.59
11/29/2017	ROBINSON, VIRGINIA	SBL ADVISOR PROGRAM	64,012.55	13.33	0.00	13.33	92.0	12.26
11/29/2017	CRANE, JEANNE	SBL ADVISOR PROGRAM	216.66	0.14	0.00	0.14	92.0	0.13
11/29/2017	BROWN, MARSHALL	SBL ADVISOR PROGRAM	5,307.28	3.54	0.00	3.54	92.0	3.26
11/29/2017	BLUMENTHAL, JAY	SBL ADVISOR PROGRAM	42,258.82	28.17	0.00	28.17	92.0	25.92
11/29/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,378.90	13.59	0.00	13.59	92.0	12.50
11/29/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,623.69	4.30	0.00	4.30	92.0	3.96

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/29/2017	PRATT, DAN	SBL ADVISOR PROGRAM	75,648.47	50.44	0.00	50.44	92.0	46.40
11/29/2017	PRATT, DAN	SBL ADVISOR PROGRAM	9,955.04	6.64	0.00	6.64	92.0	6.11
11/29/2017	WILSON, MICHAEL	SBL ADVISOR PROGRAM	11,256.23	2.35	0.00	2.35	92.0	2.16
11/29/2017	SCOTT, MELANIE	SBL ADVISOR PROGRAM	36,637.22	24.42	0.00	24.42	92.0	22.47
11/29/2017	KIMBROUGH, MICHAEL	SBL ADVISOR PROGRAM	25,383.06	16.92	0.00	16.92	92.0	15.57
11/29/2017	GAMMON, RICHARD	SBL ADVISOR PROGRAM	7,262.77	4.84	0.00	4.84	92.0	4.45
11/29/2017	SPARTAN, STEPHEN	SBL ADVISOR PROGRAM	17,170.15	11.45	0.00	11.45	92.0	10.53
11/29/2017	HUGGINS, LINDA	SBL ADVISOR PROGRAM	6,248.50	4.17	0.00	4.17	92.0	3.84
11/29/2017	GREENFIELD, CHARLES	SBL ADVISOR PROGRAM	42.00	0.03	0.00	0.03	92.0	0.03
11/29/2017	SCHILLING, BARBARA	SBL ADVISOR PROGRAM	12,621.03	8.41	0.00	8.41	92.0	7.74
11/29/2017	SMITH, MAURICE	SBL ADVISOR PROGRAM	64.37	0.04	0.00	0.04	92.0	0.04
11/29/2017	HAYNES, VICKIE	SBL ADVISOR PROGRAM	9,961.55	6.64	0.00	6.64	92.0	6.11
11/29/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	21,752.58	14.50	0.00	14.50	92.0	13.34
11/29/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	8,495.03	5.66	0.00	5.66	92.0	5.21
11/29/2017	LEIGHTON, CAROL	SBL ADVISOR PROGRAM	13,359.30	8.91	0.00	8.91	92.0	8.20
11/29/2017	NOVAK, JAY	SBL ADVISOR PROGRAM	42,075.71	28.05	0.00	28.05	92.0	25.81
11/29/2017	LAHMANN, CYNTHIA	SBL ADVISOR PROGRAM	51,905.95	34.60	0.00	34.60	92.0	31.83
11/29/2017	WOLF, LORRAINE	SBL ADVISOR PROGRAM	1,615.18	1.08	0.00	1.08	92.0	0.99
11/29/2017	HILL, MICHAEL	SBL ADVISOR PROGRAM	14,094.25	9.40	0.00	9.40	92.0	8.65
11/29/2017	MOREHOUSE, MARIA	SBL ADVISOR PROGRAM	5,043.91	3.36	0.00	3.36	92.0	3.09
11/29/2017	LAHMANN, JAMES	SBL ADVISOR PROGRAM	40,368.01	33.64	0.00	33.64	92.0	30.95
11/29/2017	NEFF, SHERRILL	SBL ADVISOR PROGRAM	5,717.73	3.81	0.00	3.81	92.0	3.51
11/29/2017	CHASTAIN, ANDREA	SBL ADVISOR PROGRAM	53,824.91	35.88	0.00	35.88	92.0	33.01
11/29/2017	JOHNSON, JUDY	SBL ADVISOR PROGRAM	56,301.41	37.53	0.00	37.53	92.0	34.53
11/29/2017	DARR, YVONNE	SBL ADVISOR PROGRAM	24,485.83	16.32	0.00	16.32	92.0	15.01
11/29/2017	TUNG, CHAN	SBL ADVISOR PROGRAM	15,808.80	10.54	0.00	10.54	92.0	9.70
11/29/2017	COOPER, KATHERINE	SBL ADVISOR PROGRAM	7,323.77	4.88	0.00	4.88	92.0	4.49
11/29/2017	DAVIS, JOANNE	SBL ADVISOR PROGRAM	8,256.99	5.50	0.00	5.50	92.0	5.06
11/29/2017	YEAZEL, JOHN	SBL ADVISOR PROGRAM	57,114.60	38.08	0.00	38.08	92.0	35.03
11/29/2017	SAUNDERS, TONI	SBL ADVISOR PROGRAM	383.36	0.26	0.00	0.26	92.0	0.24
11/29/2017	POWELL, MATTHEW	SBL ADVISOR PROGRAM	13,623.54	9.08	0.00	9.08	92.0	8.35
11/29/2017	MCDOWELL, DENISE	SBL ADVISOR PROGRAM	34,705.85	23.14	0.00	23.14	92.0	21.29
11/29/2017	SUTTON, LINDA	SBL ADVISOR PROGRAM	2,398.26	1.60	0.00	1.60	92.0	1.47

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/29/2017	DUFFENDACK, PAULA	SBL SECUREDESIGNS VA	25,078.83	9.41	0.00	9.41	92.0	8.66
11/29/2017	MCADAM, DANIEL	SBL SECUREDESIGNS VA	100,319.79	20.87	0.00	20.87	92.0	19.20
11/29/2017	RHEA, JONNIE	SBL SECUREDESIGNS VA	101,476.20	21.12	0.00	21.12	92.0	19.43
11/29/2017	BENNETT, CARA	SBL SECUREDESIGNS VA	11,710.85	2.45	0.00	2.45	92.0	2.25
12/07/2017	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
12/07/2017	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
11/03/2017	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	1,943.57	1.62	0.00	1.62	92.0	1.49
11/04/2017	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	7,036.15	5.86	0.00	5.86	92.0	5.39
11/24/2017	HOSS, JODENE	TRANSAMERICA PRINCIPIUM	269,705.85	112.38	0.00	112.38	92.0	103.39
* VARIABLE ANNUITIES SUBTOTAL *			\$3,335,169.16	\$1,832.71	\$0.00	\$1,832.71		\$1,686.11
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
11/30/2017	SCHMIDT, ALAN	ING RELIASTAR LIFE	0.00	7.76	0.00	7.76	92.0	7.14
11/30/2017	SCHMIDT, ALAN	ING RELIASTAR LIFE	0.00	0.20	0.00	0.20	92.0	0.18
11/30/2017	SCHMIDT, SYLVIA	ING RELIASTAR LIFE	0.00	8.79	0.00	8.79	92.0	8.09
11/30/2017	SCHMIDT, SYLVIA	ING RELIASTAR LIFE	0.00	0.20	0.00	0.20	92.0	0.18
11/30/2017	SCHMITT, SUSAN	ING RELIASTAR LIFE	0.00	5.94	0.00	5.94	92.0	5.46
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$22.89	\$0.00	\$22.89		\$21.05
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/09/2017	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	4.32	0.00	4.32	92.0	3.97
11/09/2017	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.77	0.00	2.77	92.0	2.55
11/09/2017	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.34	0.00	0.34	92.0	0.31
11/09/2017	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.49	0.00	0.49	92.0	0.45
11/20/2017	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	7.12	0.00	7.12	92.0	6.55
11/20/2017	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.45	0.00	2.45	92.0	2.25
12/01/2017	MILLER, WARREN	AM FUNDS AMCAP A	0.00	23.19	0.00	23.19	92.0	21.33
12/01/2017	SCHMIDT, SYLVIA	AM FUNDS AMCAP A	0.00	48.26	0.00	48.26	92.0	44.40
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMCAP A	0.00	9.61	0.00	9.61	92.0	8.84
12/01/2017	BOWMAN, DANIEL	AM FUNDS AMCAP A	0.00	0.84	0.00	0.84	92.0	0.77
12/01/2017	JENKINS, MARTY	AM FUNDS AMCAP A	0.00	10.99	0.00	10.99	92.0	10.11
12/01/2017	REED, MARK	AM FUNDS AMCAP A	0.00	27.33	0.00	27.33	92.0	25.14
12/01/2017	BOWMAN, JAMES	AM FUNDS AMCAP A	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	BOWMAN, ROBIN	AM FUNDS AMCAP A	0.00	0.71	0.00	0.71	92.0	0.65

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMCAP A	0.00	5.10	0.00	5.10	92.0	4.69
12/01/2017	STROOT, SANDRA	AM FUNDS AMCAP A	0.00	4.89	0.00	4.89	92.0	4.50
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMCAP A	0.00	7.60	0.00	7.60	92.0	6.99
12/01/2017	HAMPTON, ANNDRE	AM FUNDS AMCAP A	0.00	2.80	0.00	2.80	92.0	2.58
12/01/2017	GALLARDO, KAREN	AM FUNDS AMCAP A	0.00	9.17	0.00	9.17	92.0	8.44
12/01/2017	REED TRUST, MARK	AM FUNDS AMCAP A	0.00	101.16	0.00	101.16	92.0	93.07
11/20/2017	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.66	0.00	4.66	92.0	4.29
12/01/2017	RACER, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	8.05	0.00	8.05	92.0	7.41
12/01/2017	RHEA, JONNIE	AM FUNDS AMERICAN BALANCED A	0.00	170.98	0.00	170.98	92.0	157.30
12/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	56.78	0.00	56.78	92.0	52.24
12/01/2017	MILLER, ELAINE	AM FUNDS AMERICAN BALANCED A	0.00	29.26	0.00	29.26	92.0	26.92
12/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN BALANCED A	0.00	34.40	0.00	34.40	92.0	31.65
12/01/2017	BOWMAN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.84	0.00	0.84	92.0	0.77
12/01/2017	DANDURAND, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	36.21	0.00	36.21	92.0	33.31
12/01/2017	PETERSEN, RAYMOND	AM FUNDS AMERICAN BALANCED A	0.00	13.82	0.00	13.82	92.0	12.71
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	74.25	0.00	74.25	92.0	68.31
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMERICAN BALANCED A	0.00	13.38	0.00	13.38	92.0	12.31
12/01/2017	PRACHT, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	3.13	0.00	3.13	92.0	2.88
12/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	88.64	0.00	88.64	92.0	81.55
12/01/2017	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	0.00	3.55	0.00	3.55	92.0	3.27
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	8.31	0.00	8.31	92.0	7.65
12/01/2017	LAWSON, SYLVIA	AM FUNDS AMERICAN BALANCED A	0.00	11.72	0.00	11.72	92.0	10.78
12/01/2017	DELPH TRUST, NORMA	AM FUNDS AMERICAN BALANCED A	0.00	133.98	0.00	133.98	92.0	123.26
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	92.0	0.20
12/01/2017	CLEMENS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	7.43	0.00	7.43	92.0	6.84
12/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.60	0.00	1.60	92.0	1.47
12/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	3.93	0.00	3.93	92.0	3.62
12/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	SNELLENBERGER, ELFRIEDA	AM FUNDS AMERICAN BALANCED A	0.00	24.14	0.00	24.14	92.0	22.21
12/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	77.93	0.00	77.93	92.0	71.70
12/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS AMERICAN BALANCED A	0.00	16.03	0.00	16.03	92.0	14.75
12/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	128.30	0.00	128.30	92.0	118.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HIEGER, KIM	AM FUNDS AMERICAN BALANCED A	0.00	4.70	0.00	4.70	92.0	4.32
12/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	4.26	0.00	4.26	92.0	3.92
12/01/2017	SMITH, SHARRILYN	AM FUNDS AMERICAN BALANCED A	0.00	10.44	0.00	10.44	92.0	9.60
12/01/2017	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	1.85	0.00	1.85	92.0	1.70
12/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	10.22	0.00	10.22	92.0	9.40
12/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.82	0.00	1.82	92.0	1.67
12/01/2017	GOODMAN, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	21.47	0.00	21.47	92.0	19.75
12/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	2.25	0.00	2.25	92.0	2.07
12/01/2017	JENKINS, MARTY	AM FUNDS AMERICAN BALANCED A	0.00	2.24	0.00	2.24	92.0	2.06
12/01/2017	HIEGER, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	11.61	0.00	11.61	92.0	10.68
12/01/2017	HEIMERMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.85	0.00	4.85	92.0	4.46
12/01/2017	BROWN, MERRI	AM FUNDS AMERICAN BALANCED A	0.00	9.59	0.00	9.59	92.0	8.82
12/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN BALANCED A	0.00	19.95	0.00	19.95	92.0	18.35
12/01/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	5.37	0.00	5.37	92.0	4.94
12/01/2017	KELLEY, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	60.82	0.00	60.82	92.0	55.95
12/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	3.04	0.00	3.04	92.0	2.80
12/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.82	0.00	1.82	92.0	1.67
12/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	12.14	0.00	12.14	92.0	11.17
12/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	1.60	0.00	1.60	92.0	1.47
12/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	4.10	0.00	4.10	92.0	3.77
12/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS AMERICAN BALANCED A	0.00	7.04	0.00	7.04	92.0	6.48
12/01/2017	BOHANNON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	6.19	0.00	6.19	92.0	5.69
12/01/2017	CRANE, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	35.32	0.00	35.32	92.0	32.49
12/01/2017	MCADAM, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	5.16	0.00	5.16	92.0	4.75
12/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	3.69	0.00	3.69	92.0	3.39
12/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	28.76	0.00	28.76	92.0	26.46
12/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	21.61	0.00	21.61	92.0	19.88
12/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMERICAN BALANCED A	0.00	5.77	0.00	5.77	92.0	5.31
12/01/2017	HAVERFIELD, KARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.38	0.00	3.38	92.0	3.11
12/01/2017	STROOT, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	5.64	0.00	5.64	92.0	5.19
12/01/2017	GOULD, HILARY	AM FUNDS AMERICAN BALANCED A	0.00	1.95	0.00	1.95	92.0	1.79
12/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	92.0	0.31
12/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	92.0	0.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	92.0	0.55
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	4.95	0.00	4.95	92.0	4.55
12/01/2017	SMITH, PHILLIP	AM FUNDS AMERICAN BALANCED A	0.00	9.69	0.00	9.69	92.0	8.91
12/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	31.67	0.00	31.67	92.0	29.14
12/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	31.13	0.00	31.13	92.0	28.64
12/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	30.74	0.00	30.74	92.0	28.28
12/01/2017	SANDERS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	92.0	0.11
12/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS AMERICAN BALANCED A	0.00	5.34	0.00	5.34	92.0	4.91
12/01/2017	HAMPTON, ANNDRE	AM FUNDS AMERICAN BALANCED A	0.00	10.98	0.00	10.98	92.0	10.10
12/01/2017	SPONSEL, VICKY	AM FUNDS AMERICAN BALANCED A	0.00	0.58	0.00	0.58	92.0	0.53
12/01/2017	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	17.72	0.00	17.72	92.0	16.30
12/01/2017	KS/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.93	0.00	0.93	92.0	0.86
12/01/2017	HAINES, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	15.13	0.00	15.13	92.0	13.92
12/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	92.0	0.02
12/01/2017	JONES-CLARK, DORETHEA	AM FUNDS AMERICAN BALANCED A	0.00	1.61	0.00	1.61	92.0	1.48
12/01/2017	BOHANNON, DONNA	AM FUNDS AMERICAN BALANCED A	0.00	8.51	0.00	8.51	92.0	7.83
12/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS AMERICAN BALANCED A	0.00	1.43	0.00	1.43	92.0	1.32
12/01/2017	MULLINIX, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	VALDIVIA, HOLLY	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	MULLINIX, JONATHAN	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	WELCH, COLLEEN	AM FUNDS AMERICAN BALANCED A	0.00	4.23	0.00	4.23	92.0	3.89
12/01/2017	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	0.01	0.00	0.01	92.0	0.01
12/01/2017	WILLIAMS, JAIMIE	AM FUNDS AMERICAN BALANCED C	0.00	18.84	0.00	18.84	92.0	17.33
12/01/2017	KS/TOD	AM FUNDS AMERICAN BALANCED C	0.00	60.87	0.00	60.87	92.0	56.00
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.86	0.00	13.86	92.0	12.75
12/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.57	0.00	8.57	92.0	7.88
12/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	25.36	0.00	25.36	92.0	23.33
12/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	36.87	0.00	36.87	92.0	33.92
12/01/2017	REED, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	11.20	0.00	11.20	92.0	10.30
12/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.74	0.00	7.74	92.0	7.12
12/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.32	0.00	23.32	92.0	21.45
12/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.67	0.00	22.67	92.0	20.86
12/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.67	0.00	22.67	92.0	20.86

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	92.0	0.01
12/01/2017	REED TRUST, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	40.12	0.00	40.12	92.0	36.91
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	128.90	0.00	128.90	92.0	118.59
12/01/2017	THOMPSON, JESSICA	AM FUNDS AMERICAN MUTUAL A	0.00	2.95	0.00	2.95	92.0	2.71
12/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN MUTUAL A	0.00	46.89	0.00	46.89	92.0	43.14
12/01/2017	BAZIL, RALPH	AM FUNDS AMERICAN MUTUAL A	0.00	7.53	0.00	7.53	92.0	6.93
12/01/2017	BAZIL, REBECCA	AM FUNDS AMERICAN MUTUAL A	0.00	9.35	0.00	9.35	92.0	8.60
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.52	0.00	9.52	92.0	8.76
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS BOND FUND OF AMERICA A	0.00	7.08	0.00	7.08	92.0	6.51
12/01/2017	KELLEY, RUTH	AM FUNDS BOND FUND OF AMERICA A	0.00	21.07	0.00	21.07	92.0	19.38
12/01/2017	HART, WALLACE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.46	0.00	2.46	92.0	2.26
12/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.05	0.00	2.05	92.0	1.89
12/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.05	0.00	2.05	92.0	1.89
11/20/2017	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.61	0.00	4.61	92.0	4.24
11/20/2017	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.81	0.00	5.81	92.0	5.35
11/20/2017	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	92.0	1.68
11/20/2017	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	SCHMIDT, ALAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.71	0.00	9.71	92.0	8.93
12/01/2017	WERNER TRUST, WANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.85	0.00	18.85	92.0	17.34
12/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.25	0.00	11.25	92.0	10.35
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.15	0.00	11.15	92.0	10.26
12/01/2017	PRACHT, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.12	0.00	5.12	92.0	4.71
12/01/2017	LAWSON, SYLVIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.78	0.00	2.78	92.0	2.56
12/01/2017	IORIO, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	92.0	1.81
12/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	92.0	1.49
12/01/2017	IORIO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.29	0.00	14.29	92.0	13.15
12/01/2017	STOCKHAM, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	92.0	0.53
12/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	82.75	0.00	82.75	92.0	76.13
12/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.75	0.00	24.75	92.0	22.77
12/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	92.0	0.74
12/01/2017	BELL, GRIFFIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	92.0	0.52
12/01/2017	DUSH, THERESA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.55	0.00	9.55	92.0	8.79

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.94	0.00	21.94	92.0	20.18
12/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	40.99	0.00	40.99	92.0	37.71
12/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.04	0.00	10.04	92.0	9.24
12/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.60	0.00	22.60	92.0	20.79
12/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.51	0.00	1.51	92.0	1.39
12/01/2017	GOODMAN, KEITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.73	0.00	19.73	92.0	18.15
12/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.68	0.00	11.68	92.0	10.75
12/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	92.0	0.84
12/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.96	0.00	4.96	92.0	4.56
12/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.96	0.00	20.96	92.0	19.28
12/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.75	0.00	4.75	92.0	4.37
12/01/2017	IORIO, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.34	0.00	1.34	92.0	1.23
12/01/2017	REED, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.87	0.00	9.87	92.0	9.08
12/01/2017	BROWN, MERRI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.48	0.00	5.48	92.0	5.04
12/01/2017	KELLEY, RUTH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	36.52	0.00	36.52	92.0	33.60
12/01/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.57	0.00	11.57	92.0	10.64
12/01/2017	KELLEY, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.40	0.00	17.40	92.0	16.01
12/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	92.0	0.61
12/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	92.0	1.81
12/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.07	0.00	2.07	92.0	1.90
12/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	92.0	1.24
12/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.16	0.00	10.16	92.0	9.35
12/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.51	0.00	8.51	92.0	7.83
12/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.38	0.00	21.38	92.0	19.67
12/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.89	0.00	5.89	92.0	5.42
12/01/2017	CRANE, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.84	0.00	14.84	92.0	13.65
12/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.05	0.00	8.05	92.0	7.41
12/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.93	0.00	12.93	92.0	11.90
12/01/2017	THOMAS, IAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	92.0	1.32
12/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.11	0.00	3.11	92.0	2.86
12/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	92.0	1.14
12/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.36	0.00	19.36	92.0	17.81

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.93	0.00	12.93	92.0	11.90
12/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.22	0.00	22.22	92.0	20.44
12/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
12/01/2017	GOULD, HILARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	92.0	1.52
12/01/2017	HOUSTON, JACOB	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.13	0.00	1.13	92.0	1.04
12/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	SMITH, PHILLIP	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	92.0	0.85
12/01/2017	FLATTERY, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.07	0.00	16.07	92.0	14.78
12/01/2017	OTTAWAY, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.99	0.00	8.99	92.0	8.27
12/01/2017	OTTAWAY, DANNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.30	0.00	8.30	92.0	7.64
12/01/2017	SANDERS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.14	0.00	0.14	92.0	0.13
12/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.95	0.00	4.95	92.0	4.55
12/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	92.0	0.24
12/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.03	0.00	5.03	92.0	4.63
12/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	92.0	1.34
12/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.34	0.00	3.34	92.0	3.07
12/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.26	0.00	8.26	92.0	7.60
12/01/2017	HAINES, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.41	0.00	7.41	92.0	6.82
12/01/2017	STUPASKY, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	92.0	0.02
12/01/2017	JONES-CLARK, DORETHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.07	0.00	1.07	92.0	0.98
12/01/2017	BOHANNON, DONNA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.63	0.00	3.63	92.0	3.34
12/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	MULLINIX, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	92.0	0.75
12/01/2017	VALDIVIA, HOLLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	MULLINIX, JONATHAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	WELCH, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	92.0	3.23
12/01/2017	REED TRUST, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	35.48	0.00	35.48	92.0	32.64
12/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.25	0.00	3.25	92.0	2.99
12/01/2017	PYRON, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	79.73	0.00	79.73	92.0	73.35

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WILLIAMS, JAIMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	16.03	0.00	16.03	92.0	14.75
12/01/2017	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	39.42	0.00	39.42	92.0	36.27
12/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.45	0.00	0.45	92.0	0.41
12/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD BOND A	0.00	8.98	0.00	8.98	92.0	8.26
11/20/2017	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.00	0.00	4.00	92.0	3.68
12/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.08	0.00	3.08	92.0	2.83
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.37	0.00	28.37	92.0	26.10
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	92.0	0.93
12/01/2017	ROGERS, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.47	0.00	6.47	92.0	5.95
12/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.15	0.00	10.15	92.0	9.34
12/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	58.74	0.00	58.74	92.0	54.04
12/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.24	0.00	29.24	92.0	26.90
12/01/2017	DUSH, THERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.12	0.00	8.12	92.0	7.47
12/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.92	0.00	11.92	92.0	10.97
12/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.58	0.00	14.58	92.0	13.41
12/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.87	0.00	21.87	92.0	20.12
12/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	38.83	0.00	38.83	92.0	35.72
12/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.85	0.00	17.85	92.0	16.42
12/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	92.0	0.99
12/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	92.0	0.63
12/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	92.0	10.06
12/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.00	0.00	1.00	92.0	0.92
12/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.07	0.00	4.07	92.0	3.74
12/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.36	0.00	6.36	92.0	5.85
12/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.07	0.00	2.07	92.0	1.90
12/01/2017	REED, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.50	0.00	7.50	92.0	6.90
12/01/2017	BROWN, MERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.71	0.00	2.71	92.0	2.49
12/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	92.0	0.24
12/01/2017	CARPENTER JR, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
12/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.62	0.00	1.62	92.0	1.49
12/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.64	0.00	1.64	92.0	1.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	JENDEL, TERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	92.0	0.87
12/01/2017	BAZIL, RALPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.26	0.00	3.26	92.0	3.00
12/01/2017	BAZIL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.20	0.00	2.20	92.0	2.02
12/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.29	0.00	6.29	92.0	5.79
12/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.71	0.00	2.71	92.0	2.49
12/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.85	0.00	5.85	92.0	5.38
12/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.48	0.00	3.48	92.0	3.20
12/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	92.0	1.24
12/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.37	0.00	2.37	92.0	2.18
12/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.91	0.00	9.91	92.0	9.12
12/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	92.0	0.32
12/01/2017	THOMAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	92.0	0.23
12/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.13	0.00	3.13	92.0	2.88
12/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	92.0	0.28
12/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.66	0.00	2.66	92.0	2.45
12/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	92.0	0.40
12/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	92.0	0.30
12/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.44	0.00	1.44	92.0	1.32
12/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	BOHANNON, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	92.0	2.28
12/01/2017	VALDIVIA, HOLLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	92.0	0.44
12/01/2017	MULLINIX, JONATHAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	REED TRUST, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.50	0.00	27.50	92.0	25.30
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	37.72	0.00	37.72	92.0	34.70
12/01/2017	CLEMENS, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.72	0.00	3.72	92.0	3.42
12/01/2017	DUSH, THERESA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.61	0.00	11.61	92.0	10.68
12/01/2017	HOFFMAN, FRANCIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.16	0.00	9.16	92.0	8.43
12/01/2017	LANDGREN, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.97	0.00	0.97	92.0	0.89
12/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.79	0.00	0.79	92.0	0.73
12/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	92.0	0.58
12/01/2017	RAYMER, DEBRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.65	0.00	2.65	92.0	2.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	KOSANKE, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	92.0	0.16
12/01/2017	HIEGER, STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.50	0.00	8.50	92.0	7.82
12/01/2017	CARPENTER, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	BAZIL, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.52	0.00	1.52	92.0	1.40
12/01/2017	BAZIL, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.37	0.00	1.37	92.0	1.26
12/01/2017	CRANE, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.71	0.00	3.71	92.0	3.41
11/20/2017	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.30	0.00	2.30	92.0	2.12
12/01/2017	SCHMIDT, ALAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.76	0.00	12.76	92.0	11.74
12/01/2017	SCHMIDT, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	44.82	0.00	44.82	92.0	41.23
12/01/2017	DANDURAND, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.58	0.00	5.58	92.0	5.13
12/01/2017	LAWSON, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.64	0.00	3.64	92.0	3.35
12/01/2017	ROGERS, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.81	0.00	7.81	92.0	7.19
12/01/2017	STOCKHAM, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	SPRAGUE, KRISTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	26.64	0.00	26.64	92.0	24.51
12/01/2017	DUSH, THERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.11	0.00	6.11	92.0	5.62
12/01/2017	SMITH, SHARRILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.66	0.00	14.66	92.0	13.49
12/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.90	0.00	0.90	92.0	0.83
12/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.45	0.00	14.45	92.0	13.29
12/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.88	0.00	0.88	92.0	0.81
12/01/2017	GOODMAN, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.70	0.00	3.70	92.0	3.40
12/01/2017	REED, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.64	0.00	11.64	92.0	10.71
12/01/2017	BROWN, MERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.68	0.00	5.68	92.0	5.23
12/01/2017	KELLEY, LUCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.42	0.00	8.42	92.0	7.75
12/01/2017	DAVIS, ELISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	92.0	0.43
12/01/2017	CARPENTER JR, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.95	0.00	4.95	92.0	4.55
12/01/2017	CARPENTER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.96	0.00	2.96	92.0	2.72
12/01/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.41	0.00	14.41	92.0	13.26
12/01/2017	GAUNA, DOMINIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.01	0.00	7.01	92.0	6.45
12/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	92.0	0.53
12/01/2017	JENDEL, TERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.22	0.00	1.22	92.0	1.12
12/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.04	0.00	38.04	92.0	35.00
12/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.51	0.00	13.51	92.0	12.43
12/01/2017	RACER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.30	0.00	4.30	92.0	3.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	CRANE, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.93	0.00	14.93	92.0	13.74
12/01/2017	LOTT TRUST, EDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.84	0.00	8.84	92.0	8.13
12/01/2017	HOUSTON, CAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.76	0.00	18.76	92.0	17.26
12/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	92.0	1.50
12/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.93	0.00	7.93	92.0	7.30
12/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.08	0.00	16.08	92.0	14.79
12/01/2017	HEIMERMAN, DOYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.41	0.00	7.41	92.0	6.82
12/01/2017	HAVERFIELD, KARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.35	0.00	7.35	92.0	6.76
12/01/2017	STROOT, SANDRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.41	0.00	7.41	92.0	6.82
12/01/2017	GOULD, HILARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.48	0.00	1.48	92.0	1.36
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.08	0.00	9.08	92.0	8.35
12/01/2017	OTTAWAY, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.96	0.00	9.96	92.0	9.16
12/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.58	0.00	3.58	92.0	3.29
12/01/2017	HAMPTON, ANNDRE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.04	0.00	6.04	92.0	5.56
12/01/2017	SPONSEL, ERNEST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	92.0	1.17
12/01/2017	KERSTING, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.93	0.00	13.93	92.0	12.82
12/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.83	0.00	9.83	92.0	9.04
12/01/2017	KS/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.90	0.00	0.90	92.0	0.83
12/01/2017	HAINES, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.14	0.00	6.14	92.0	5.65
12/01/2017	SCHMITT, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.02	0.00	0.02	92.0	0.02
12/01/2017	STUPASKY, BRIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.04	0.00	0.04	92.0	0.04
12/01/2017	JONES-CLARK, DORETHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	BOHANNON, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.95	0.00	4.95	92.0	4.55
12/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.97	0.00	0.97	92.0	0.89
12/01/2017	MULLINIX, JAMES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.84	0.00	0.84	92.0	0.77
12/01/2017	VALDIVIA, HOLLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	MULLINIX, JONATHAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	WELCH, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.54	0.00	3.54	92.0	3.26
12/01/2017	REED TRUST, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.90	0.00	42.90	92.0	39.47
12/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.01	0.00	0.01	92.0	0.01
12/01/2017	WILLIAMS, JAIMIE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	16.37	0.00	16.37	92.0	15.06
12/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH AND INCOME A	0.00	5.03	0.00	5.03	92.0	4.63
12/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.33	0.00	0.33	92.0	0.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/20/2017	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.70	0.00	3.70	92.0	3.40
11/20/2017	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.10	0.00	9.10	92.0	8.37
12/01/2017	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
12/01/2017	SCHMIDT, SYLVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	54.40	0.00	54.40	92.0	50.05
12/01/2017	BOWMAN, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	92.0	0.86
12/01/2017	REED, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.68	0.00	17.68	92.0	16.27
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.94	0.00	6.94	92.0	6.38
12/01/2017	PRACHT, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.10	0.00	9.10	92.0	8.37
12/01/2017	THOMPSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.76	0.00	3.76	92.0	3.46
12/01/2017	SMITH, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	92.0	0.98
12/01/2017	IORIO, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.14	0.00	5.14	92.0	4.73
12/01/2017	THOMAS, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.96	0.00	1.96	92.0	1.80
12/01/2017	CLEMENS, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.46	0.00	10.46	92.0	9.62
12/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.06	0.00	2.06	92.0	1.90
12/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.04	0.00	5.04	92.0	4.64
12/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	92.0	1.47
12/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS GROWTH FUND OF AMERICA A	0.00	14.21	0.00	14.21	92.0	13.07
12/01/2017	SMITH, BAILEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	SMITH, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	92.0	0.82
12/01/2017	HIEGER, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.47	0.00	5.47	92.0	5.03
12/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	92.0	0.63
12/01/2017	BELL, GRIFFIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
12/01/2017	DUSH, THERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.77	0.00	4.77	92.0	4.39
12/01/2017	HOFFMAN, FRANCIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.04	0.00	17.04	92.0	15.68
12/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.46	0.00	12.46	92.0	11.46
12/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.45	0.00	23.45	92.0	21.57
12/01/2017	WIRTH, MARJORIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	48.23	0.00	48.23	92.0	44.37
12/01/2017	SMITH, SHARRILYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.55	0.00	15.55	92.0	14.31
12/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.38	0.00	1.38	92.0	1.27
12/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.76	0.00	6.76	92.0	6.22
12/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	92.0	0.80
12/01/2017	GOODMAN, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.26	0.00	6.26	92.0	5.76
12/01/2017	JENKINS, MARTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.29	0.00	5.29	92.0	4.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	HIEGER, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.32	0.00	8.32	92.0	7.65
12/01/2017	HEIMERMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.88	0.00	1.88	92.0	1.73
12/01/2017	KELLEY, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.89	0.00	3.89	92.0	3.58
12/01/2017	DAVIS, ELISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	92.0	0.42
12/01/2017	CARPENTER JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
12/01/2017	CARPENTER, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.86	0.00	1.86	92.0	1.71
12/01/2017	ROTHS, GLEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.92	0.00	4.92	92.0	4.53
12/01/2017	GAUNA, DOMINIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.28	0.00	2.28	92.0	2.10
12/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	92.0	0.98
12/01/2017	BAZIL, RALPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.43	0.00	6.43	92.0	5.92
12/01/2017	BAZIL, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.86	0.00	3.86	92.0	3.55
12/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.24	0.00	6.24	92.0	5.74
12/01/2017	CRANE, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.08	0.00	13.08	92.0	12.03
12/01/2017	HOUSTON, CAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.64	0.00	4.64	92.0	4.27
12/01/2017	MCADAM, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.09	0.00	6.09	92.0	5.60
12/01/2017	CROSBY, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	92.0	0.40
12/01/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	92.0	3.13
12/01/2017	HOUSTON, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.77	0.00	3.77	92.0	3.47
12/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	92.0	0.67
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.60	0.00	6.60	92.0	6.07
12/01/2017	WILLIAMS, JAIMIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
12/01/2017	KERSTING, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.59	0.00	1.59	92.0	1.46
12/01/2017	GALLARDO, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	92.0	0.03
12/01/2017	SCHMITT, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
12/01/2017	JONES-CLARK, DORETHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.55	0.00	0.55	92.0	0.51
12/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	DUSH, THERESA	AM FUNDS GROWTH PORT A	0.00	9.57	0.00	9.57	92.0	8.80
12/01/2017	HEIMERMAN, DOYLE	AM FUNDS GROWTH PORT A	0.00	4.99	0.00	4.99	92.0	4.59
12/01/2017	HAVERFIELD, KARLA	AM FUNDS GROWTH PORT A	0.00	4.96	0.00	4.96	92.0	4.56
12/01/2017	STROOT, SANDRA	AM FUNDS GROWTH PORT A	0.00	4.91	0.00	4.91	92.0	4.52
11/20/2017	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.95	0.00	3.95	92.0	3.63
11/20/2017	KONECNY, MARK	AM FUNDS ICA A	0.00	6.51	0.00	6.51	92.0	5.99

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/20/2017	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.86	0.00	0.86	92.0	0.79
11/20/2017	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS ICA A	0.00	142.30	0.00	142.30	92.0	130.92
12/01/2017	SCHMIDT, ALAN	AM FUNDS ICA A	0.00	6.46	0.00	6.46	92.0	5.94
12/01/2017	CLEMENS, SUSAN	AM FUNDS ICA A	0.00	17.89	0.00	17.89	92.0	16.46
12/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS ICA A	0.00	30.29	0.00	30.29	92.0	27.87
12/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	27.31	0.00	27.31	92.0	25.13
12/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	28.51	0.00	28.51	92.0	26.23
12/01/2017	WIRTH, MARJORIE	AM FUNDS ICA A	0.00	86.62	0.00	86.62	92.0	79.69
12/01/2017	SMITH, SHARRILYN	AM FUNDS ICA A	0.00	12.15	0.00	12.15	92.0	11.18
12/01/2017	HIEGER, STEVEN	AM FUNDS ICA A	0.00	11.28	0.00	11.28	92.0	10.38
12/01/2017	HEIMERMAN, JANET	AM FUNDS ICA A	0.00	8.39	0.00	8.39	92.0	7.72
12/01/2017	IORIO, ISABELLA	AM FUNDS ICA A	0.00	1.72	0.00	1.72	92.0	1.58
12/01/2017	REED, MARK	AM FUNDS ICA A	0.00	2.46	0.00	2.46	92.0	2.26
12/01/2017	BROWN, MERRI	AM FUNDS ICA A	0.00	6.97	0.00	6.97	92.0	6.41
12/01/2017	KELLEY, RUTH	AM FUNDS ICA A	0.00	56.64	0.00	56.64	92.0	52.11
12/01/2017	GALLARDO, KAREN	AM FUNDS ICA A	0.00	8.49	0.00	8.49	92.0	7.81
12/01/2017	BOHANNON, RONALD	AM FUNDS ICA A	0.00	3.84	0.00	3.84	92.0	3.53
12/01/2017	MCADAM, DANIEL	AM FUNDS ICA A	0.00	4.78	0.00	4.78	92.0	4.40
12/01/2017	MCADAM, JEANNETTE	AM FUNDS ICA A	0.00	11.36	0.00	11.36	92.0	10.45
12/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	0.38	0.00	0.38	92.0	0.35
12/01/2017	HEIMERMAN, DOYLE	AM FUNDS ICA A	0.00	8.06	0.00	8.06	92.0	7.42
12/01/2017	HAVERFIELD, KARLA	AM FUNDS ICA A	0.00	3.78	0.00	3.78	92.0	3.48
12/01/2017	STROOT, SANDRA	AM FUNDS ICA A	0.00	7.86	0.00	7.86	92.0	7.23
12/01/2017	LAWSON, THOMAS	AM FUNDS ICA A	0.00	0.66	0.00	0.66	92.0	0.61
12/01/2017	HILGER, GERALD	AM FUNDS ICA A	0.00	5.16	0.00	5.16	92.0	4.75
12/01/2017	SMITH, PHILLIP	AM FUNDS ICA A	0.00	9.47	0.00	9.47	92.0	8.71
12/01/2017	STUPASKY, BRIAN	AM FUNDS ICA A	0.00	0.01	0.00	0.01	92.0	0.01
12/01/2017	REED TRUST, MARK	AM FUNDS ICA A	0.00	9.10	0.00	9.10	92.0	8.37
12/01/2017	RAYMER, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	48.54	0.00	48.54	92.0	44.66
12/01/2017	SALISBURY, CLEOTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	39.80	0.00	39.80	92.0	36.62
12/01/2017	WERNER TRUST, WANDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.35	0.00	25.35	92.0	23.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SPRAGUE, KRISTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	90.24	0.00	90.24	92.0	83.02
12/01/2017	HIEGER, KIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	92.0	3.32
12/01/2017	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.83	0.00	0.83	92.0	0.76
12/01/2017	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.75	0.00	0.75	92.0	0.69
12/01/2017	MCADAM, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.20	0.00	10.20	92.0	9.38
12/01/2017	MULLINIX, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.03	0.00	20.03	92.0	18.43
12/01/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.88	0.00	2.88	92.0	2.65
12/01/2017	HOUSTON, GARRETT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.25	0.00	1.25	92.0	1.15
12/01/2017	REED, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.54	0.00	5.54	92.0	5.10
12/01/2017	REED TRUST, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	19.65	0.00	19.65	92.0	18.08
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW ECONOMY A	0.00	42.98	0.00	42.98	92.0	39.54
12/01/2017	GOODMAN, KEITH	AM FUNDS NEW ECONOMY A	0.00	9.81	0.00	9.81	92.0	9.03
11/20/2017	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	8.15	0.00	8.15	92.0	7.50
12/01/2017	SCHMIDT, SYLVIA	AM FUNDS NEW PERSPECTIVE A	0.00	42.86	0.00	42.86	92.0	39.43
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	43.25	0.00	43.25	92.0	39.79
12/01/2017	PRACHT, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.97	0.00	1.97	92.0	1.81
12/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS NEW PERSPECTIVE A	0.00	19.31	0.00	19.31	92.0	17.77
12/01/2017	HIEGER, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	2.21	0.00	2.21	92.0	2.03
12/01/2017	HOFFMAN, VERLA	AM FUNDS NEW PERSPECTIVE A	0.00	13.34	0.00	13.34	92.0	12.27
12/01/2017	SMITH, SHARRILYN	AM FUNDS NEW PERSPECTIVE A	0.00	10.03	0.00	10.03	92.0	9.23
12/01/2017	LANDGREN, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	92.0	0.57
12/01/2017	BUCKO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	6.37	0.00	6.37	92.0	5.86
12/01/2017	REED, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	29.02	0.00	29.02	92.0	26.70
12/01/2017	BUCKO, ETHAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.49	0.00	2.49	92.0	2.29
12/01/2017	REED TRUST, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	106.10	0.00	106.10	92.0	97.61
12/01/2017	THOMAS, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	CLEMENS, SUSAN	AM FUNDS NEW WORLD A	0.00	4.60	0.00	4.60	92.0	4.23
12/01/2017	BELL, BRAYDEN	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	92.0	0.49
12/01/2017	BELL, GRIFFIN	AM FUNDS NEW WORLD A	0.00	0.49	0.00	0.49	92.0	0.45
12/01/2017	DUSH, THERESA	AM FUNDS NEW WORLD A	0.00	3.90	0.00	3.90	92.0	3.59
12/01/2017	GOODMAN, KEITH	AM FUNDS NEW WORLD A	0.00	5.96	0.00	5.96	92.0	5.48
12/01/2017	LOTT TRUST, EDITH	AM FUNDS NEW WORLD A	0.00	3.88	0.00	3.88	92.0	3.57
12/01/2017	MULLINIX, JANICE	AM FUNDS NEW WORLD A	0.00	3.81	0.00	3.81	92.0	3.51

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS NEW WORLD A	0.00	3.00	0.00	3.00	92.0	2.76
11/20/2017	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	5.45	0.00	5.45	92.0	5.01
11/20/2017	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.20	0.00	6.20	92.0	5.70
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	74.93	0.00	74.93	92.0	68.94
12/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	169.47	0.00	169.47	92.0	155.91
12/01/2017	SCHMIDT, ALAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	56.98	0.00	56.98	92.0	52.42
12/01/2017	REED, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	104.49	0.00	104.49	92.0	96.13
12/01/2017	BOWMAN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	92.0	0.83
12/01/2017	DANDURAND, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.02	0.00	18.02	92.0	16.58
12/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.93	0.00	21.93	92.0	20.18
12/01/2017	SPRAGUE, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.28	0.00	57.28	92.0	52.70
12/01/2017	PRACHT, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.60	0.00	15.60	92.0	14.35
12/01/2017	PRACHT, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.43	0.00	6.43	92.0	5.92
12/01/2017	THOMPSON, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.15	0.00	3.15	92.0	2.90
12/01/2017	BELL, CONNOR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.62	0.00	13.62	92.0	12.53
12/01/2017	SMITH, KATELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.06	0.00	1.06	92.0	0.98
12/01/2017	IORIO, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.27	0.00	4.27	92.0	3.93
12/01/2017	IORIO, NICHOLAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.19	0.00	3.19	92.0	2.93
12/01/2017	ROGERS, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	27.21	0.00	27.21	92.0	25.03
12/01/2017	CLEMENS, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.50	0.00	22.50	92.0	20.70
12/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.14	0.00	2.14	92.0	1.97
12/01/2017	STOCKHAM, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.51	0.00	5.51	92.0	5.07
12/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.18	0.00	1.18	92.0	1.09
12/01/2017	MCGUIRE, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.11	0.00	11.11	92.0	10.22
12/01/2017	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.78	0.00	5.78	92.0	5.32
12/01/2017	HIEGER REV TRUST, STEVEN & KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.11	0.00	19.11	92.0	17.58
12/01/2017	HIEGER, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.91	0.00	3.91	92.0	3.60
12/01/2017	MCLEAN, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	92.0	0.33
12/01/2017	MCLEAN, GAVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	92.0	1.41
12/01/2017	DUSH, THERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.32	0.00	8.32	92.0	7.65
12/01/2017	SMITH, SHARRILYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.24	0.00	5.24	92.0	4.82
12/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	92.0	1.64
12/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.62	0.00	10.62	92.0	9.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.26	0.00	1.26	92.0	1.16
12/01/2017	JENKINS, MARTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.27	0.00	6.27	92.0	5.77
12/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.12	0.00	8.12	92.0	7.47
12/01/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.79	0.00	12.79	92.0	11.77
12/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	92.0	0.91
12/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.78	0.00	11.78	92.0	10.84
12/01/2017	CROSBY, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.56	0.00	0.56	92.0	0.52
12/01/2017	GOULD, HILARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.45	0.00	1.45	92.0	1.33
12/01/2017	WILLIAMS, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.99	0.00	3.99	92.0	3.67
12/01/2017	SMITH, PHILLIP	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.49	0.00	9.49	92.0	8.73
12/01/2017	FLATTERY, VICKI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.02	0.00	16.02	92.0	14.74
12/01/2017	OTTAWAY, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.11	0.00	19.11	92.0	17.58
12/01/2017	OTTAWAY, DANNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.75	0.00	11.75	92.0	10.81
12/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.55	0.00	4.55	92.0	4.19
12/01/2017	SPONSEL, ERNEST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.42	0.00	1.42	92.0	1.31
12/01/2017	SPONSEL, VICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	92.0	0.64
12/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.03	0.00	0.03	92.0	0.03
12/01/2017	HAINES, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.02	0.00	6.02	92.0	5.54
12/01/2017	JONES-CLARK, DORETHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.09	0.00	1.09	92.0	1.00
12/01/2017	BOHANNON, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.95	0.00	4.95	92.0	4.55
12/01/2017	JONES-CLARK, DOROTHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	92.0	0.88
12/01/2017	MULLINIX, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.84	0.00	0.84	92.0	0.77
12/01/2017	VALDIVIA, HOLLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	MULLINIX, JONATHAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	92.0	0.59
12/01/2017	WELCH, COLLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.81	0.00	2.81	92.0	2.59
12/01/2017	REED TRUST, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	29.95	0.00	29.95	92.0	27.55
12/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.01	0.00	0.01	92.0	0.01
11/20/2017	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	13.85	0.00	13.85	92.0	12.74
11/13/2017	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.10	0.00	0.10	92.0	0.09
11/13/2017	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	5.41	0.00	5.41	92.0	4.98
11/13/2017	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.69	0.00	0.69	92.0	0.63
11/13/2017	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.71	0.00	4.71	92.0	4.33
11/22/2017	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	25.15	0.00	25.15	92.0	23.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/14/2017	MULLINIX, JANICE	LORD ABBETT AFFILIATED A	0.00	72.30	0.00	72.30	92.0	66.52
11/21/2017	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.36	0.00	2.36	92.0	2.17
11/14/2017	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.48	0.00	0.48	92.0	0.44
11/24/2017	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.61	0.00	6.61	92.0	6.08
11/14/2017	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.05	0.00	1.05	92.0	0.97
11/14/2017	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.27	0.00	1.27	92.0	1.17
11/13/2017	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	6.35	0.00	6.35	92.0	5.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,624.81	\$0.00	\$6,624.81		\$6,094.73
*** DIRECT TRANSACTIONS TOTAL ***			\$3,357,199.78	\$9,099.41	\$0.00	\$9,099.41		\$8,371.33

ADJUSTMENTS

12/15/2017	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
12/15/2017	*ALBRIDGE: LIGHT USER	0.00						-76.00
12/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
12/15/2017	*GLOBAL RELAY: FACEBOOK	0.00						-5.00
12/15/2017	*GLOBAL RELAY: WEBSITE	0.00						-15.00
12/15/2017	*GLOBAL RELAY: YOUTUBE	0.00						-25.00
12/15/2017	*MARKETING LIBRARY: MARKETING LIBRA	0.00						-20.00
12/15/2017	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-628.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$8,371.33
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-628.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,743.33
Year-to-date Gross	\$90,344.95
Year-to-date Earnings	\$82,825.78