



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2017

03/14/2017
 Page No. 1

KEITH LAYMAN
 4321 Flagstaff

BROKER #: L128
 BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
02/27/2017	BYRUM, GERALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.92	0.00	0.92	90.0	0.83
02/27/2017	BUSH, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.72	0.00	0.72	90.0	0.65
02/27/2017	DIETSCH, RHONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.61	0.00	0.61	90.0	0.55
02/27/2017	PEPPLE, GLEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.29	0.00	0.29	90.0	0.26
02/27/2017	WILLING, LEONARD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.39	0.00	0.39	90.0	0.35
02/27/2017	MURPHY, SUSAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.49	0.00	0.49	90.0	0.44
02/27/2017	LOWDEN TRUST, KATHERINE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.43	0.00	0.43	90.0	0.39
02/27/2017	ZINN, JEANETTE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.72	0.00	0.72	90.0	0.65
02/27/2017	HARMEYER, SHARYN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.83	0.00	0.83	90.0	0.75
02/27/2017	DERBYSHIRE, JAMES	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.77	0.00	0.77	90.0	0.69
02/27/2017	DERBYSHIRE TRUST, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.28	0.00	4.28	90.0	3.85
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$10.45	\$0.00	\$10.45		\$9.41
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WALLACE, BARBARA	AM FUNDS AMCAP A	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	SAINSBURY, DALE	AM FUNDS AMCAP A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2017	CSUHTA, JULIE	AM FUNDS AMCAP A	0.00	5.57	0.00	5.57	90.0	5.01
03/01/2017	GREENWALT, ROBIN	AM FUNDS AMCAP A	0.00	4.71	0.00	4.71	90.0	4.24
03/01/2017	WIGGINS, CHRISTA	AM FUNDS AMCAP A	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2017	LOWDEN, KATHERINE	AM FUNDS AMCAP A	0.00	8.56	0.00	8.56	90.0	7.70
03/01/2017	SLATER, JUSTIN	AM FUNDS AMCAP F1	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	NEWBAUER, CAMERON	AM FUNDS AMERICAN BALANCED 529A	0.00	6.51	0.00	6.51	90.0	5.86
02/21/2017	GALENTINE, STEPHANIE	AM FUNDS AMERICAN BALANCED A	416.00	15.60	0.00	15.60	90.0	14.04
02/23/2017	EAGLESON, AMBER	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
02/24/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	2,000.00	24.00	0.00	24.00	90.0	21.60
02/27/2017	HALE, AMBER	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
02/28/2017	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	70.00	1.93	0.00	1.93	90.0	1.74

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/28/2017	ISLEY, TERRY	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	4.50
02/28/2017	LOWE, MELISSA	AM FUNDS AMERICAN BALANCED A	500.00	25.00	0.00	25.00	90.0	22.50
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	SEELY, BRENDAN	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	PIERCE, MARILYN	AM FUNDS AMERICAN BALANCED A	0.00	5.68	0.00	5.68	90.0	5.11
03/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	0.00	9.22	0.00	9.22	90.0	8.30
03/01/2017	SHANK, DEAN	AM FUNDS AMERICAN BALANCED A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN BALANCED A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	BROCKMANO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	1.63
03/01/2017	MARTZ, PHILLIS	AM FUNDS AMERICAN BALANCED A	0.00	11.30	0.00	11.30	90.0	10.17
03/01/2017	WINDSOR, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	3.59	0.00	3.59	90.0	3.23
03/01/2017	SEWARD, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	HOFFMAN, JOANN	AM FUNDS AMERICAN BALANCED A	0.00	2.73	0.00	2.73	90.0	2.46
03/01/2017	HOFFMAN, MARK	AM FUNDS AMERICAN BALANCED A	0.00	2.67	0.00	2.67	90.0	2.40
03/01/2017	BAILEY, BRUCE	AM FUNDS AMERICAN BALANCED A	0.00	5.94	0.00	5.94	90.0	5.35
03/01/2017	BAILEY, LOIS	AM FUNDS AMERICAN BALANCED A	0.00	5.94	0.00	5.94	90.0	5.35
03/01/2017	PLATT, GINA	AM FUNDS AMERICAN BALANCED A	0.00	2.36	0.00	2.36	90.0	2.12
03/01/2017	MEIER, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	2.12	0.00	2.12	90.0	1.91
03/01/2017	BURNS, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.49	0.00	1.49	90.0	1.34
03/01/2017	EAGLESON, MARTHA	AM FUNDS AMERICAN BALANCED A	0.00	3.85	0.00	3.85	90.0	3.47
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS AMERICAN BALANCED A	0.00	7.83	0.00	7.83	90.0	7.05
03/01/2017	MILLER, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	7.72	0.00	7.72	90.0	6.95
03/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	0.00	15.86	0.00	15.86	90.0	14.27
03/01/2017	MURPHY, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	10.64	0.00	10.64	90.0	9.58
03/01/2017	EAGLESON, MARTHA	AM FUNDS AMERICAN BALANCED A	0.00	6.99	0.00	6.99	90.0	6.29
03/01/2017	SCHISLER, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	11.56	0.00	11.56	90.0	10.40
03/01/2017	ZINN, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	5.53	0.00	5.53	90.0	4.98
03/01/2017	ISLEY, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	GALENTINE, ASHLEY	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.45
03/01/2017	KAGE, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	10.24	0.00	10.24	90.0	9.22
03/01/2017	THOMAS, BRADFORD	AM FUNDS AMERICAN BALANCED A	0.00	6.58	0.00	6.58	90.0	5.92
03/01/2017	NICOLET, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	27.80	0.00	27.80	90.0	25.02
03/01/2017	MULDOON, MARGARET	AM FUNDS AMERICAN BALANCED A	0.00	1.33	0.00	1.33	90.0	1.20

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	19.99	0.00	19.99	90.0	17.99
03/01/2017	REMONSCHNEIDER, MARY	AM FUNDS AMERICAN BALANCED A	0.00	3.36	0.00	3.36	90.0	3.02
03/01/2017	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	0.00	8.75	0.00	8.75	90.0	7.88
03/01/2017	DAVIS, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	GREENWALT, ROBIN	AM FUNDS AMERICAN BALANCED A	0.00	4.31	0.00	4.31	90.0	3.88
03/01/2017	GREENWALT, ROBIN	AM FUNDS AMERICAN BALANCED A	0.00	3.48	0.00	3.48	90.0	3.13
03/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	3.06	0.00	3.06	90.0	2.75
03/01/2017	MURPHY, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	ALLAN, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	4.04	0.00	4.04	90.0	3.64
03/01/2017	COCKROFT, EDYTHE	AM FUNDS AMERICAN BALANCED A	0.00	10.83	0.00	10.83	90.0	9.75
03/01/2017	SIEBER, JANE	AM FUNDS AMERICAN BALANCED A	0.00	5.58	0.00	5.58	90.0	5.02
03/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	5.67	0.00	5.67	90.0	5.10
03/01/2017	BUSH, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	BURNS-WILSON, VIRGINIA	AM FUNDS AMERICAN BALANCED A	0.00	2.87	0.00	2.87	90.0	2.58
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	10.23	0.00	10.23	90.0	9.21
03/01/2017	MARCH, MELODY	AM FUNDS AMERICAN BALANCED A	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2017	FLEEGER, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	1.62	0.00	1.62	90.0	1.46
03/01/2017	FLEEGER, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	1.87	0.00	1.87	90.0	1.68
03/01/2017	CASEY, GISELA	AM FUNDS AMERICAN BALANCED A	0.00	11.05	0.00	11.05	90.0	9.95
03/01/2017	MCARDLE, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	52.41	0.00	52.41	90.0	47.17
03/01/2017	ALLAN, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	3.31	0.00	3.31	90.0	2.98
03/01/2017	WHEELER, MARY	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	2.26
03/01/2017	GALENTINE, ASHLEY	AM FUNDS AMERICAN BALANCED A	0.00	3.10	0.00	3.10	90.0	2.79
03/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.26	0.00	3.26	90.0	2.93
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS AMERICAN BALANCED A	0.00	3.39	0.00	3.39	90.0	3.05
03/01/2017	MIZNER, FREDRIC	AM FUNDS AMERICAN BALANCED A	0.00	2.27	0.00	2.27	90.0	2.04
03/01/2017	BUSH, RANDALL	AM FUNDS AMERICAN BALANCED A	0.00	14.01	0.00	14.01	90.0	12.61
03/01/2017	NICOLET, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	14.98	0.00	14.98	90.0	13.48
03/01/2017	SIMPSON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.18	0.00	2.18	90.0	1.96
03/01/2017	KUMFER, JOSEPH	AM FUNDS AMERICAN BALANCED A	0.00	12.82	0.00	12.82	90.0	11.54
03/01/2017	HELLER, ADAM	AM FUNDS AMERICAN BALANCED A	0.00	6.11	0.00	6.11	90.0	5.50
03/01/2017	MEIER, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	EAGLESON, ROSS	AM FUNDS AMERICAN BALANCED A	0.00	7.60	0.00	7.60	90.0	6.84

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	BLAIR, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	6.11	0.00	6.11	90.0	5.50
03/01/2017	EAGLESON, ROSS	AM FUNDS AMERICAN BALANCED A	0.00	7.36	0.00	7.36	90.0	6.62
03/01/2017	LAYMAN, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	9.22	0.00	9.22	90.0	8.30
03/01/2017	CACCAMO, AMY	AM FUNDS AMERICAN BALANCED A	0.00	2.27	0.00	2.27	90.0	2.04
03/01/2017	CACCAMO TRUST	AM FUNDS AMERICAN BALANCED A	0.00	12.69	0.00	12.69	90.0	11.42
03/01/2017	SIEGER, RODNEY	AM FUNDS AMERICAN BALANCED A	0.00	4.96	0.00	4.96	90.0	4.46
03/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	8.86	0.00	8.86	90.0	7.97
03/01/2017	KEMERLY, JASON	AM FUNDS AMERICAN BALANCED A	0.00	5.93	0.00	5.93	90.0	5.34
03/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.42
03/01/2017	KILLION, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	5.85	0.00	5.85	90.0	5.27
03/01/2017	THURSTON, TIMOTHY	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	FREEZE, MONTE	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	WILBANKS, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.72	0.00	1.72	90.0	1.55
03/01/2017	BYRUM JR, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	2.14	0.00	2.14	90.0	1.93
03/01/2017	FEIPEL, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	EAGLESON, AMBER	AM FUNDS AMERICAN BALANCED A	0.00	3.79	0.00	3.79	90.0	3.41
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	3.92	0.00	3.92	90.0	3.53
03/01/2017	VLOT, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	5.26	0.00	5.26	90.0	4.73
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	4.61	0.00	4.61	90.0	4.15
03/01/2017	SIEBER, AARON	AM FUNDS AMERICAN BALANCED A	0.00	7.34	0.00	7.34	90.0	6.61
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	LOWDEN, KATHERINE	AM FUNDS AMERICAN BALANCED A	0.00	34.49	0.00	34.49	90.0	31.04
03/01/2017	RICKER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	3.01	0.00	3.01	90.0	2.71
03/01/2017	RICKER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	COCKROFT, EDYA	AM FUNDS AMERICAN BALANCED A	0.00	2.43	0.00	2.43	90.0	2.19
03/01/2017	RATTY, MINDY	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	90.0	0.47
03/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	KAUFFMAN, KATIE	AM FUNDS AMERICAN BALANCED A	0.00	4.25	0.00	4.25	90.0	3.83
03/01/2017	GALENTINE, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	14.22	0.00	14.22	90.0	12.80
03/01/2017	CAPPLEMAN, WADE	AM FUNDS AMERICAN BALANCED A	0.00	1.44	0.00	1.44	90.0	1.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RATTY, SKYLER	AM FUNDS AMERICAN BALANCED A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	RATTY, MARY	AM FUNDS AMERICAN BALANCED A	0.00	3.27	0.00	3.27	90.0	2.94
03/01/2017	RATTY, AUTUM	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	SHERBURNE, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	7.27	0.00	7.27	90.0	6.54
03/01/2017	PEPPLE, EVELYN	AM FUNDS AMERICAN BALANCED A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	PEPPLE, GRADEN	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	MCFEETERS, VALERIE	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	LINSKY, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	8.83	0.00	8.83	90.0	7.95
03/01/2017	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2017	MATTHEWS, GAIL	AM FUNDS AMERICAN BALANCED A	0.00	2.11	0.00	2.11	90.0	1.90
03/01/2017	ISLEY, CURTIS	AM FUNDS AMERICAN BALANCED A	0.00	5.67	0.00	5.67	90.0	5.10
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	21.83	0.00	21.83	90.0	19.65
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	12.19	0.00	12.19	90.0	10.97
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	6.55	0.00	6.55	90.0	5.90
03/01/2017	ISLEY, TERRY	AM FUNDS AMERICAN BALANCED A	0.00	2.79	0.00	2.79	90.0	2.51
03/01/2017	MCFEETERS, VALERIE	AM FUNDS AMERICAN BALANCED A	0.00	3.95	0.00	3.95	90.0	3.56
03/01/2017	LALLO, GARY	AM FUNDS AMERICAN BALANCED A	0.00	24.10	0.00	24.10	90.0	21.69
03/01/2017	LALLO, CHRISTINA	AM FUNDS AMERICAN BALANCED A	0.00	20.00	0.00	20.00	90.0	18.00
03/01/2017	MAIERS, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	5.94	0.00	5.94	90.0	5.35
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	90.0	1.37
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	LUDWIG, KENDRA	AM FUNDS AMERICAN BALANCED A	0.00	28.07	0.00	28.07	90.0	25.26
03/01/2017	PEARSON, JOAN	AM FUNDS AMERICAN BALANCED A	0.00	8.32	0.00	8.32	90.0	7.49
03/01/2017	PEARSON, EDWIN	AM FUNDS AMERICAN BALANCED A	0.00	14.45	0.00	14.45	90.0	13.01
03/01/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	WINANS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	2.76	0.00	2.76	90.0	2.48
03/01/2017	CZARNECKI, DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	1.18	0.00	1.18	90.0	1.06
03/01/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	1.24	0.00	1.24	90.0	1.12
03/01/2017	BUSH, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	4.85	0.00	4.85	90.0	4.37
03/01/2017	PARROT, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	3.76	0.00	3.76	90.0	3.38
03/01/2017	STEBING, ADDISON	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	13.80	0.00	13.80	90.0	12.42

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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>								
03/01/2017	RHEN, JOLYN	AM FUNDS AMERICAN BALANCED A	0.00	0.39	0.00	0.39	90.0	0.35
03/01/2017	GREEN, KYLE	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	HINTON, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	3.80	0.00	3.80	90.0	3.42
03/01/2017	JINES, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	1.72	0.00	1.72	90.0	1.55
03/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	4.77	0.00	4.77	90.0	4.29
03/01/2017	WHITE, TAYLOR	AM FUNDS AMERICAN BALANCED A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2017	WHITE, IAN	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	90.0	1.84
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	RATLIFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	WEIMER, RITA	AM FUNDS AMERICAN BALANCED A	0.00	5.43	0.00	5.43	90.0	4.89
03/01/2017	HOSKINS, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	ABERCROMBIE, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	LOWDEN, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	2.83	0.00	2.83	90.0	2.55
03/01/2017	HERBER, MARK	AM FUNDS AMERICAN BALANCED A	0.00	10.93	0.00	10.93	90.0	9.84
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS AMERICAN BALANCED A	0.00	3.03	0.00	3.03	90.0	2.73
03/01/2017	O'CONNELL, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	3.39	0.00	3.39	90.0	3.05
03/01/2017	DRUHOT, LESLIE	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	WILSON, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	HENRY, JEANNE	AM FUNDS AMERICAN BALANCED A	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2017	MARTIN, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	9.43	0.00	9.43	90.0	8.49
03/01/2017	LYTLE, KEAN	AM FUNDS AMERICAN BALANCED A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	KAUFFMAN, ALLISON	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	CAPPLEMAN, WADE	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	HERBER, MARK	AM FUNDS AMERICAN BALANCED A	0.00	2.74	0.00	2.74	90.0	2.47
03/01/2017	MURPHY, SHARI	AM FUNDS AMERICAN BALANCED A	0.00	55.02	0.00	55.02	90.0	49.52
03/01/2017	MURPHY, SHARI	AM FUNDS AMERICAN BALANCED A	0.00	3.21	0.00	3.21	90.0	2.89
03/01/2017	WEIDES, LISA	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.42
03/01/2017	MURPHY, LOU	AM FUNDS AMERICAN BALANCED A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	MURPHY, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	1.04	0.00	1.04	90.0	0.94
03/01/2017	LOWE, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	BURNS, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	IN/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.09	0.00	0.09	90.0	0.08

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	IN/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	IN/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	IN/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	BURNS-PAITAN, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	BURNS, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2017	GUNSOLLEY, MARY	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.50
03/01/2017	BURNS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	MESEKE, GILBERT	AM FUNDS AMERICAN BALANCED C	0.00	10.74	0.00	10.74	90.0	9.67
03/01/2017	ATKINSON, KATHRYN	AM FUNDS AMERICAN BALANCED C	0.00	8.03	0.00	8.03	90.0	7.23
03/01/2017	FEIPEL, ESTHER	AM FUNDS AMERICAN BALANCED C	0.00	16.45	0.00	16.45	90.0	14.81
03/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.86	0.00	4.86	90.0	4.37
03/01/2017	SHANK, DEAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.43	0.00	1.43	90.0	1.29
03/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	BROCKMANO, EDWARD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2017	HOFFMAN, JOANN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.21	0.00	2.21	90.0	1.99
03/01/2017	HOFFMAN, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.16	0.00	2.16	90.0	1.94
03/01/2017	EAGLESON, MARTHA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.66	0.00	2.66	90.0	2.39
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.34	0.00	3.34	90.0	3.01
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.64	0.00	6.64	90.0	5.98
03/01/2017	PATTERSON, JANITA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.40	0.00	8.40	90.0	7.56
03/01/2017	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.79	0.00	1.79	90.0	1.61
03/01/2017	EAGLESON, MARTHA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2017	WILKIN, CYNTHIA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.20	0.00	8.20	90.0	7.38
03/01/2017	COCKROFT, EDYTHE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.09	0.00	3.09	90.0	2.78
03/01/2017	SIEBER, JANE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.84	0.00	6.84	90.0	6.16
03/01/2017	SIEBER, PAUL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.95	0.00	6.95	90.0	6.26
03/01/2017	BUSH, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.42	0.00	4.42	90.0	3.98
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.41	0.00	5.41	90.0	4.87
03/01/2017	RATTY, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.55	0.00	3.55	90.0	3.20
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2017	SIMPSON, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.68	0.00	2.68	90.0	2.41
03/01/2017	KUMFER, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.92	0.00	8.92	90.0	8.03

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	HELLER, ADAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.85	0.00	3.85	90.0	3.47
03/01/2017	EAGLESON, ROSS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.88	0.00	3.88	90.0	3.49
03/01/2017	SHANK, CAROLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.73	0.00	0.73	90.0	0.66
03/01/2017	BLAIR, BRIAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.21	0.00	3.21	90.0	2.89
03/01/2017	EAGLESON, ROSS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.76	0.00	3.76	90.0	3.38
03/01/2017	SIEBER, AARON	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.87	0.00	3.87	90.0	3.48
03/01/2017	LOWDEN, KATHERINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	24.99	0.00	24.99	90.0	22.49
03/01/2017	COCKROFT, EDYA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	RATTY, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.09	0.00	2.09	90.0	1.88
03/01/2017	LALLO, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	76.66	0.00	76.66	90.0	68.99
03/01/2017	LALLO, CHRISTINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	63.67	0.00	63.67	90.0	57.30
03/01/2017	SHADY, SCOT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	WINANS, BEVERLY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.62	0.00	2.62	90.0	2.36
03/01/2017	COCKROFT, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.24	0.00	1.24	90.0	1.12
03/01/2017	PARROT, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	DURKES, DEBRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.36	0.00	2.36	90.0	2.12
03/01/2017	COGDELL, CARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.68	0.00	4.68	90.0	4.21
03/01/2017	LOWDEN, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.63	0.00	3.63	90.0	3.27
03/01/2017	HERBER, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.30	0.00	6.30	90.0	5.67
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	LYTLE, KEAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2017	WEIDES, LISA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	GUNSOLLEY, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.55	0.00	13.55	90.0	12.20
03/01/2017	KAUFFMAN, KATIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	20.67	0.00	20.67	90.0	18.60
03/01/2017	GREENWALT, ROBIN	AM FUNDS AMERICAN MUTUAL A	0.00	4.74	0.00	4.74	90.0	4.27
03/01/2017	LINSKY, MARCIA	AM FUNDS AMERICAN MUTUAL A	0.00	9.02	0.00	9.02	90.0	8.12
03/01/2017	SHADY, SCOT	AM FUNDS AMERICAN MUTUAL A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	BAILEY, RICHARD	AM FUNDS BALANCED PORT A	0.00	150.11	0.00	150.11	90.0	135.10
02/24/2017	WILLIAMS, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	3,000.00	36.00	0.00	36.00	90.0	32.40
03/01/2017	SHANK, DEAN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	SHANK, CAROLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	HOFFMAN, JOANN	AM FUNDS BOND FUND OF AMERICA A	0.00	2.77	0.00	2.77	90.0	2.49

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HOFFMAN, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	SIEBER, JANE	AM FUNDS BOND FUND OF AMERICA A	0.00	5.03	0.00	5.03	90.0	4.53
03/01/2017	SIEBER, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	5.12	0.00	5.12	90.0	4.61
03/01/2017	NEACE, VICTORIA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	PEE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	RATTY, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	SIMPSON, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	SHANK, CAROLE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.55	0.00	0.55	90.0	0.50
03/01/2017	KEMERLY, JASON	AM FUNDS BOND FUND OF AMERICA A	0.00	2.76	0.00	2.76	90.0	2.48
03/01/2017	COCKROFT, EDYA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	RATTY, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	ISLEY, CURTIS	AM FUNDS BOND FUND OF AMERICA A	0.00	2.67	0.00	2.67	90.0	2.40
03/01/2017	LALLO, GARY	AM FUNDS BOND FUND OF AMERICA A	0.00	69.04	0.00	69.04	90.0	62.14
03/01/2017	LALLO, CHRISTINA	AM FUNDS BOND FUND OF AMERICA A	0.00	57.31	0.00	57.31	90.0	51.58
03/01/2017	PEARSON, JOAN	AM FUNDS BOND FUND OF AMERICA A	0.00	6.22	0.00	6.22	90.0	5.60
03/01/2017	PEARSON, EDWIN	AM FUNDS BOND FUND OF AMERICA A	0.00	10.74	0.00	10.74	90.0	9.67
03/01/2017	CZARNECKI, DENNIS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.68
03/01/2017	PARROT, JUDITH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.45	0.00	1.45	90.0	1.31
03/01/2017	COGDELL, CARY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.47	0.00	3.47	90.0	3.12
03/01/2017	LOWDEN, JAMES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.57	0.00	2.57	90.0	2.31
03/01/2017	HELLER, ADAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
03/01/2017	WEIDES, LISA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
03/01/2017	SULLIVAN, DIAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	GUNSOLLEY, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS BOND FUND OF AMERICA C	0.00	15.71	0.00	15.71	90.0	14.14
03/01/2017	KAUFFMAN, KATIE	AM FUNDS BOND FUND OF AMERICA C	0.00	16.71	0.00	16.71	90.0	15.04
03/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.34	0.00	6.34	90.0	5.71
02/23/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	65.00	2.44	0.00	2.44	90.0	2.20
02/28/2017	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	60.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	60.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	KEMERLY, JASON	AM FUNDS CAPITAL INCOME BUILDER A	98.40	4.18	0.00	4.18	90.0	3.76

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KEMERLY, JASON	AM FUNDS CAPITAL INCOME BUILDER A	9.84	0.42	0.00	0.42	90.0	0.38
03/01/2017	POORMAN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.32	0.00	2.32	90.0	2.09
03/01/2017	PIERCE, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.33	0.00	4.33	90.0	3.90
03/01/2017	TIMMS, JOAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.00	0.00	20.00	90.0	18.00
03/01/2017	PINNELL, J MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	90.0	0.82
03/01/2017	ROBERTS, LORETTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.87	0.00	3.87	90.0	3.48
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.33	0.00	2.33	90.0	2.10
03/01/2017	SIMPSON, LYLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.43	0.00	4.43	90.0	3.99
03/01/2017	SIMPSON, KATHRYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.74	0.00	5.74	90.0	5.17
03/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.40	0.00	3.40	90.0	3.06
03/01/2017	BROCKMANO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	BAILEY, TERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.59	0.00	4.59	90.0	4.13
03/01/2017	MARTZ, PHILLIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.49	0.00	10.49	90.0	9.44
03/01/2017	WINDSOR, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2017	KLITZMAN, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.62	0.00	2.62	90.0	2.36
03/01/2017	BAILEY, BRUCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.28	0.00	4.28	90.0	3.85
03/01/2017	MURPHY, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	90.0	0.40
03/01/2017	BAILEY, LOIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.08	0.00	12.08	90.0	10.87
03/01/2017	BAILEY, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.34	0.00	5.34	90.0	4.81
03/01/2017	PLATT, GINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.30	0.00	2.30	90.0	2.07
03/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	90.0	1.65
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	90.0	0.46
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.16	0.00	3.16	90.0	2.84
03/01/2017	BURNS, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.84	0.00	2.84	90.0	2.56
03/01/2017	EAGLESON, MARTHA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	90.0	1.12
03/01/2017	BURNS, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	WEAVER, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.34	0.00	2.34	90.0	2.11
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2017	MILLER, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.93	0.00	5.93	90.0	5.34
03/01/2017	BOKHART, GORDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.85	0.00	5.85	90.0	5.27

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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>								
03/01/2017	JORDAN, PAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	WARSTLER, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.66	0.00	6.66	90.0	5.99
03/01/2017	MARCH, MELODY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	90.0	1.11
03/01/2017	OAKES, ERIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	AMBRIOLE, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	MUSSEY, LORI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	MURPHY, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	EAGLESON, MARTHA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.69	0.00	1.69	90.0	1.52
03/01/2017	BAILEY, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2017	MILLER, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	MOSURE, MONICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.88	0.00	6.88	90.0	6.19
03/01/2017	PATEL, GITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.53	0.00	7.53	90.0	6.78
03/01/2017	CLARK, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.89	0.00	0.89	90.0	0.80
03/01/2017	RAMUS, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	42.07	0.00	42.07	90.0	37.86
03/01/2017	WEIDES, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.20	0.00	5.20	90.0	4.68
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	CSUHTA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	BENSON, KARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2017	NICOLET, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	27.46	0.00	27.46	90.0	24.71
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2017	SAINSBURY, DALE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.75	0.00	5.75	90.0	5.18
03/01/2017	REMECHNEIDER, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.27	0.00	3.27	90.0	2.94
03/01/2017	GREENWALT, ROBIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.10	0.00	4.10	90.0	3.69
03/01/2017	MCARDLE, SHAWN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	64.24	0.00	64.24	90.0	57.82
03/01/2017	MCARDLE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.28	0.00	6.28	90.0	5.65
03/01/2017	HARKELROAD, JOY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.91	0.00	6.91	90.0	6.22
03/01/2017	SIEBER, AARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.78	0.00	5.78	90.0	5.20
03/01/2017	FORTE, ANTHONY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.65	0.00	2.65	90.0	2.39
03/01/2017	URICK, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2017	BUSH, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	90.0	0.58

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.58	0.00	4.58	90.0	4.12
03/01/2017	PEE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.44	0.00	4.44	90.0	4.00
03/01/2017	ALLAN, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	LAWSON TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.48	0.00	18.48	90.0	16.63
03/01/2017	KUNKEL, AMELIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	SEAY, ROBIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.55	0.00	7.55	90.0	6.80
03/01/2017	DEATRICK, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.09	0.00	12.09	90.0	10.88
03/01/2017	MIZNER, FREDRIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2017	MUSKIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.15	0.00	3.15	90.0	2.84
03/01/2017	OAKES, ERIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	BUSH, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.26	0.00	2.26	90.0	2.03
03/01/2017	MULDOON, MARGARET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	COGDELL, CARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2017	COGDELL, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2017	SEAY, ROBIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.20	0.00	6.20	90.0	5.58
03/01/2017	NICOLET, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.76	0.00	19.76	90.0	17.78
03/01/2017	DELAGARZA, DEBRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2017	KUMFER, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.57	0.00	4.57	90.0	4.11
03/01/2017	HERBER, TRINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.73	0.00	2.73	90.0	2.46
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	90.0	0.40
03/01/2017	OTIS, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2017	SAMELS, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	26.93	0.00	26.93	90.0	24.24
03/01/2017	BUNN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	STANSBERRY, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	90.0	1.27
03/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	90.0	0.43
03/01/2017	GEVERINK, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	GEVERINK, ANN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.68	0.00	2.68	90.0	2.41
03/01/2017	NEUBAUER, COLSTON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	EAGLESON, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	OAKES, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	0.00	0.20	90.0	0.18

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	ZINN, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.85	0.00	6.85	90.0	6.17
03/01/2017	EAGLESON, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2017	HEES, TAMERA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.78	0.00	2.78	90.0	2.50
03/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	HOUSER, TRACY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.38	0.00	8.38	90.0	7.54
03/01/2017	SIEGER, RODNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.78	0.00	8.78	90.0	7.90
03/01/2017	SORG, BECKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2017	SENGER, LYNDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.66	0.00	3.66	90.0	3.29
03/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	90.0	0.53
03/01/2017	KEMERLY, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.99	0.00	1.99	90.0	1.79
03/01/2017	DURKES, DEBRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	90.0	0.74
03/01/2017	PATEL, JASWANT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.95	0.00	3.95	90.0	3.56
03/01/2017	JENTGEN, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2017	RUSK, RANDALL F	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	WILBANKS, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.21	0.00	2.21	90.0	1.99
03/01/2017	DIETSCH, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	DIETSCH, RHONDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2017	FEIPEL, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2017	EAGLESON, AMBER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.85	0.00	0.85	90.0	0.77
03/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.16	0.00	3.16	90.0	2.84
03/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.68	0.00	2.68	90.0	2.41
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.18	0.00	3.18	90.0	2.86
03/01/2017	VLOT, KATHRYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.33	0.00	4.33	90.0	3.90
03/01/2017	SIEBER, AARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	COCKROFT, EDYA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	EAGLESON, MYSTEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	JONES, TIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.26	0.00	1.26	90.0	1.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WARSTLER, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.26	0.00	1.26	90.0	1.13
03/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.48	0.00	8.48	90.0	7.63
03/01/2017	HOEFFEL, GREGGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.58	0.00	5.58	90.0	5.02
03/01/2017	MCFEETERS, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	MAIERS, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.32	0.00	5.32	90.0	4.79
03/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	MCFEETERS, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2017	BUSH, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	90.0	1.41
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	90.0	0.49
03/01/2017	HINTON, EMILY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.20	0.00	6.20	90.0	5.58
03/01/2017	HERBER, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.09	0.00	4.09	90.0	3.68
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	HELLER, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	WEIDES, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	90.0	0.06
03/03/2017	BAILEY, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	30.14	1.13	0.00	1.13	90.0	1.02
03/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	FEIPEL, ESTHER	AM FUNDS CAPITAL INCOME BUILDER C	0.00	11.71	0.00	11.71	90.0	10.54
03/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	SHANK, DEAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	HOFFMAN, JOANN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2017	HOFFMAN, MARK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.42	0.00	1.42	90.0	1.28
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS CAPITAL WORLD BOND A	0.00	2.00	0.00	2.00	90.0	1.80
03/01/2017	COCKROFT, EDYTHE	AM FUNDS CAPITAL WORLD BOND A	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	SIEBER, JANE	AM FUNDS CAPITAL WORLD BOND A	0.00	3.11	0.00	3.11	90.0	2.80
03/01/2017	SIEBER, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	3.17	0.00	3.17	90.0	2.85
03/01/2017	RATTY, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	BUSH, RANDALL	AM FUNDS CAPITAL WORLD BOND A	0.00	4.00	0.00	4.00	90.0	3.60

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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>								
03/01/2017	SIMPSON, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2017	COCKROFT, EDYA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	RATTY, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.87	0.00	1.87	90.0	1.68
03/01/2017	WINANS, BEVERLY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2017	CZARNECKI, DENNIS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	PARROT, JUDITH	AM FUNDS CAPITAL WORLD BOND A	0.00	1.36	0.00	1.36	90.0	1.22
03/01/2017	COGDELL, CARY	AM FUNDS CAPITAL WORLD BOND A	0.00	2.53	0.00	2.53	90.0	2.28
03/01/2017	LOWDEN, JAMES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	GUNSOLLEY, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD BOND C	0.00	10.79	0.00	10.79	90.0	9.71
03/01/2017	KAUFFMAN, KATIE	AM FUNDS CAPITAL WORLD BOND C	0.00	11.93	0.00	11.93	90.0	10.74
03/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.54	0.00	2.54	90.0	2.29
02/21/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
02/21/2017	WILBANKS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	175.00	7.44	0.00	7.44	90.0	6.70
02/21/2017	GALENTINE, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	416.00	15.60	0.00	15.60	90.0	14.04
02/23/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	2.81	0.00	2.81	90.0	2.53
02/28/2017	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	90.0	1.24
02/28/2017	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	60.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	KEMERLY, JASON	AM FUNDS CAPITAL WORLD GRTH & INC A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	POORMAN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.31	0.00	2.31	90.0	2.08
03/01/2017	PIERCE, MARILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.60	0.00	2.60	90.0	2.34
03/01/2017	JORDAN, NEAL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.93	0.00	7.93	90.0	7.14
03/01/2017	TIMMS, JOAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.52	0.00	19.52	90.0	17.57
03/01/2017	PINNELL, J MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2017	ROBERTS, LORETTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.92	0.00	3.92	90.0	3.53
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	90.0	2.14
03/01/2017	SIMPSON, LYLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.62	0.00	6.62	90.0	5.96
03/01/2017	SIMPSON, KATHRYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.62	0.00	6.62	90.0	5.96
03/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.39	0.00	3.39	90.0	3.05

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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>								
03/01/2017	SHANK, DEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	90.0	0.20
03/01/2017	BROCKMANO, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	BAILEY, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.44	0.00	5.44	90.0	4.90
03/01/2017	WINDSOR, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	KLITZMAN, RANDALL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.88	0.00	3.88	90.0	3.49
03/01/2017	BAILEY, BRUCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.24	0.00	15.24	90.0	13.72
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	MURPHY, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	BAILEY, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.60	0.00	6.60	90.0	5.94
03/01/2017	PLATT, GINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.25	0.00	3.25	90.0	2.93
03/01/2017	BURNS, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	EAGLESON, MARTHA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	MULLINS, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2017	WEAVER, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	90.0	1.31
03/01/2017	FRANKS, PATRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.18	0.00	3.18	90.0	2.86
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.82	0.00	0.82	90.0	0.74
03/01/2017	MILLER, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2017	BOKHART, GORDON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.23	0.00	6.23	90.0	5.61
03/01/2017	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.51	0.00	6.51	90.0	5.86
03/01/2017	TULLOCH, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2017	OAKES, ERIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	AMBRIOLE, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	MUSSEY, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.83	0.00	1.83	90.0	1.65
03/01/2017	MURPHY, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.49	0.00	2.49	90.0	2.24
03/01/2017	EAGLESON, MARTHA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	MOSURE, MONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.37	0.00	7.37	90.0	6.63
03/01/2017	PATEL, GITA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.61	0.00	13.61	90.0	12.25
03/01/2017	CLARK, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	RAMUS, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	41.49	0.00	41.49	90.0	37.34

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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>								
03/01/2017	WEIDES, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.23	0.00	4.23	90.0	3.81
03/01/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.89	0.00	3.89	90.0	3.50
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	CSUHTA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.92	0.00	3.92	90.0	3.53
03/01/2017	BENSON, KARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2017	THOMAS, BRADFORD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.72	0.00	5.72	90.0	5.15
03/01/2017	NICOLET, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.52	0.00	28.52	90.0	25.67
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.15	0.00	3.15	90.0	2.84
03/01/2017	SAINSBURY, DALE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.63	0.00	1.63	90.0	1.47
03/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.86	0.00	5.86	90.0	5.27
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.15	0.00	4.15	90.0	3.74
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.01	0.00	4.01	90.0	3.61
03/01/2017	WILKIN, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.04	0.00	3.04	90.0	2.74
03/01/2017	MURPHY, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2017	MCARDLE, SHAWN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.62	0.00	29.62	90.0	26.66
03/01/2017	MCARDLE, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.53	0.00	4.53	90.0	4.08
03/01/2017	HARKELROAD, JOY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.20	0.00	3.20	90.0	2.88
03/01/2017	SIEBER, AARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.64	0.00	8.64	90.0	7.78
03/01/2017	FORTE, ANTHONY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.03	0.00	4.03	90.0	3.63
03/01/2017	URICK, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	SIEBER, JANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2017	SIEBER, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2017	WIGGINS, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	BIDDLE, DENESE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.57	0.00	4.57	90.0	4.11
03/01/2017	ASCHLIMAN, BRETT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.06	0.00	2.06	90.0	1.85
03/01/2017	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.11	0.00	5.11	90.0	4.60
03/01/2017	MOSURE, MONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	90.0	2.18
03/01/2017	RATTY, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	TRESSLER, KENT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.43	0.00	8.43	90.0	7.59
03/01/2017	CASEY, GISELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.64	0.00	8.64	90.0	7.78
03/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.93	0.00	9.93	90.0	8.94

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SORG, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.46	0.00	4.46	90.0	4.01
03/01/2017	SORG, BECKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.68	0.00	4.68	90.0	4.21
03/01/2017	LAWSON TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.24	0.00	19.24	90.0	17.32
03/01/2017	ROEMER, SHERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.64	0.00	2.64	90.0	2.38
03/01/2017	ZINN, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	KUNKEL, AMELIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.04	0.00	2.04	90.0	1.84
03/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	SEAY, ROBIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.03	0.00	8.03	90.0	7.23
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	DEATRICK, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.92	0.00	12.92	90.0	11.63
03/01/2017	MIZNER, FREDRIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.84	0.00	4.84	90.0	4.36
03/01/2017	OAKES, ERIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	90.0	0.20
03/01/2017	BUSH, RANDALL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.33	0.00	2.33	90.0	2.10
03/01/2017	MULDOON, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	COGDELL, CARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.45	0.00	5.45	90.0	4.91
03/01/2017	COGDELL, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.14	0.00	2.14	90.0	1.93
03/01/2017	SEAY, ROBIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.35	0.00	6.35	90.0	5.72
03/01/2017	NICOLET, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.32	0.00	7.32	90.0	6.59
03/01/2017	DELAGARZA, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2017	SIMPSON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	BROOKS, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	KUMFER, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.66	0.00	4.66	90.0	4.19
03/01/2017	HERBER, TRINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.43	0.00	4.43	90.0	3.99
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	OTIS, JASON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2017	SAMELS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	52.41	0.00	52.41	90.0	47.17
03/01/2017	BUNN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	STANSBERRY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.11	0.00	2.11	90.0	1.90
03/01/2017	MEIER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	GEVERINK, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	GEVERINK, ANN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.29	0.00	2.29	90.0	2.06

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	EAGLESON, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2017	EAGLESON, SAMUEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.24	0.00	3.24	90.0	2.92
03/01/2017	OAKES, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	SHANK, CAROLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.20	0.00	2.20	90.0	1.98
03/01/2017	ZINN, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.85	0.00	6.85	90.0	6.17
03/01/2017	BLAIR, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.12	0.00	4.12	90.0	3.71
03/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2017	EAGLESON, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.67	0.00	2.67	90.0	2.40
03/01/2017	HEES, TAMERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	2.55
03/01/2017	RHEN, DRAKE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.78	0.00	1.78	90.0	1.60
03/01/2017	HOUSER, TRACY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.42	0.00	8.42	90.0	7.58
03/01/2017	DAVID, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	LEGAULT, RACHEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.98	0.00	3.98	90.0	3.58
03/01/2017	CACCAMO TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2017	SIEGER, RODNEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	SORG, BECKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.79	0.00	3.79	90.0	3.41
03/01/2017	SENGER, LYNDIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.84	0.00	3.84	90.0	3.46
03/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	PATEL, JASWANT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.34	0.00	5.34	90.0	4.81
03/01/2017	JENTGEN, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	RAABE, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.79	0.00	6.79	90.0	6.11
03/01/2017	NEWBAUER, COLSTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	KILLION, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.90	0.00	4.90	90.0	4.41
03/01/2017	RUSK, RANDALL F	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.61	0.00	3.61	90.0	3.25
03/01/2017	THURSTON, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.37	0.00	2.37	90.0	2.13
03/01/2017	FREEZE, MONTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.99	0.00	1.99	90.0	1.79
03/01/2017	WILBANKS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.97	0.00	4.97	90.0	4.47
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.19	0.00	3.19	90.0	2.87

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DIETSCH, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	DIETSCH, RHONDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	BYRUM JR, GERALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	FEIPEL, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	EAGLESON, AMBER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.83	0.00	3.83	90.0	3.45
03/01/2017	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	VLOT, KATHRYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.04	0.00	3.04	90.0	2.74
03/01/2017	STEBING, CHRISTEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	90.0	1.21
03/01/2017	SIEBER, AARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	WEAVER, JACOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	LOWDEN, KATHERINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.46	0.00	14.46	90.0	13.01
03/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2017	RICKER, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	EAGLESON, MYSTEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2017	RATTY, MINDY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	GALENTINE, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.50	0.00	14.50	90.0	13.05
03/01/2017	JONES, TIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	90.0	1.20
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.73	0.00	4.73	90.0	4.26
03/01/2017	WARSTLER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.98	0.00	1.98	90.0	1.78
03/01/2017	RATTY, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	LINSKY, MARCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.90	0.00	8.90	90.0	8.01
03/01/2017	GETTYS, JARRAD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.56	0.00	2.56	90.0	2.30
03/01/2017	MCFEETERS, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	MAIERS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.24	0.00	2.24	90.0	2.02
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2017	SHADY, SCOT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	COCKROFT, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	GILROY, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	MCFEETERS, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.36	0.00	0.36	90.0	0.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BUSH, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	HINTON, EMILY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	HOSKINS, AUSTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.50	0.00	3.50	90.0	3.15
03/01/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.67	0.00	5.67	90.0	5.10
03/01/2017	LOWDEN, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.42	0.00	4.42	90.0	3.98
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2017	HELLER, ADAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	WEIDES, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	90.0	0.77
03/01/2017	GUNSOLLEY, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	90.0	0.09
03/03/2017	BAILEY, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	30.15	1.13	0.00	1.13	90.0	1.02
03/01/2017	MESEKE, GILBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	7.92	0.00	7.92	90.0	7.13
03/01/2017	DRUHOT, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.98	0.00	2.98	90.0	2.68
03/01/2017	CACCAMO TRUST	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	13.64	0.00	13.64	90.0	12.28
03/01/2017	MESEKE, GILBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.11	0.00	3.11	90.0	2.80
03/01/2017	LAYMAN, VICKI	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.94	0.00	0.94	90.0	0.85
02/21/2017	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
02/21/2017	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
03/01/2017	FREER, TYLER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	BURNS, MARCIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2017	MCGRATH, LANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.40	0.00	2.40	90.0	2.16
03/01/2017	BAILEY, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.37	0.00	12.37	90.0	11.13
03/01/2017	MUSSEY, LORI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	MURPHY, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	COLGLAZIER, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2017	SCHISLER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	90.0	0.66
03/01/2017	RAMUS, CHARLES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	34.88	0.00	34.88	90.0	31.39
03/01/2017	CASTLEMAN, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.49	0.00	4.49	90.0	4.04
03/01/2017	RAMUS, DARLENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.72	0.00	3.72	90.0	3.35
03/01/2017	MILUM, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.54	0.00	2.54	90.0	2.29

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MCARDLE, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.83	0.00	12.83	90.0	11.55
03/01/2017	MCARDLE, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.98	0.00	1.98	90.0	1.78
03/01/2017	HARKELROAD, JOY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.16	0.00	6.16	90.0	5.54
03/01/2017	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.52	0.00	6.52	90.0	5.87
03/01/2017	NEACE, VICTORIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	FLEEGER, JANICE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.32	0.00	1.32	90.0	1.19
03/01/2017	FLEEGER, JANICE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2017	COLGLAZIER, LISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	90.0	1.21
03/01/2017	LAWSON TRUST	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.31	0.00	15.31	90.0	13.78
03/01/2017	ZINN, DIANE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	KUNKEL, AMELIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.69	0.00	1.69	90.0	1.52
03/01/2017	DEATRICK, AMANDA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.87	0.00	10.87	90.0	9.78
03/01/2017	BROOKS, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	EAGLESON, ROSS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	EAGLESON, SAMUEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.20	0.00	4.20	90.0	3.78
03/01/2017	SHERIDAN, BROOKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	SIEGER, RODNEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	PATEL, JASWANT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.63	0.00	4.63	90.0	4.17
03/01/2017	THURSTON, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	RATTY, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	PASSINO, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.08	0.00	9.08	90.0	8.17
03/01/2017	PASSINO, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.64	0.00	12.64	90.0	11.38
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.52	0.00	0.52	90.0	0.47
03/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.93	0.00	2.93	90.0	2.64
03/01/2017	DRUHOT, SCOTT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	5.67	0.00	5.67	90.0	5.10
03/01/2017	NEWBAUER, CAMERON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	HUNTER, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	KEMERLY, JASON	AM FUNDS FUNDAMENTAL INVESTORS A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	POORMAN, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.14	0.00	3.14	90.0	2.83
03/01/2017	PIERCE, MARILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.41	0.00	3.41	90.0	3.07
03/01/2017	TIMMS, JOAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.96	0.00	25.96	90.0	23.36
03/01/2017	PINNELL, J MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	ROBERTS, LORETTA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.94	0.00	3.94	90.0	3.55

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BYRUM JR, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2017	SIMPSON, LYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.91	0.00	7.91	90.0	7.12
03/01/2017	SIMPSON, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.17	0.00	10.17	90.0	9.15
03/01/2017	BAILEY, TERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.55	0.00	2.55	90.0	2.30
03/01/2017	MARTZ, PHILLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.56	0.00	9.56	90.0	8.60
03/01/2017	WINDSOR, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	90.0	2.29
03/01/2017	KLITZMAN, RANDALL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.39	0.00	2.39	90.0	2.15
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	90.0	0.46
03/01/2017	MURPHY, DANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	BAILEY, LOIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.70	0.00	18.70	90.0	16.83
03/01/2017	BAILEY, KEVIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.12	0.00	8.12	90.0	7.31
03/01/2017	PLATT, GINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.98	0.00	0.98	90.0	0.88
03/01/2017	MEIER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.13	0.00	4.13	90.0	3.72
03/01/2017	BURNS, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	BURNS, MARCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.40	0.00	8.40	90.0	7.56
03/01/2017	WEAVER, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	90.0	2.28
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	MILLER, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.99	0.00	3.99	90.0	3.59
03/01/2017	BOKHART, GORDON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.93	0.00	7.93	90.0	7.14
03/01/2017	WARSTLER, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	90.0	0.49
03/01/2017	OAKES, ERIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	AMBRIOLE, JANICE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.76	0.00	1.76	90.0	1.58
03/01/2017	MUSSEY, LORI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.33	0.00	2.33	90.0	2.10
03/01/2017	ARCHBOLD, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	BAILEY, TERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.23	0.00	3.23	90.0	2.91
03/01/2017	BAILEY, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2017	MILLER, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.36	0.00	2.36	90.0	2.12
03/01/2017	MOSURE, MONICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.35	0.00	11.35	90.0	10.22
03/01/2017	PATEL, GITA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.96	0.00	6.96	90.0	6.26
03/01/2017	NICOLET, CHERYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.64	0.00	7.64	90.0	6.88
03/01/2017	CLARK, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	90.0	1.80

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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>								
03/01/2017	MURPHY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.60	0.00	0.60	90.0	0.54
03/01/2017	WEIDES, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.48	0.00	5.48	90.0	4.93
03/01/2017	HUNTER, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.86	0.00	4.86	90.0	4.37
03/01/2017	LEVERMAN, THEODORE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.09	0.00	5.09	90.0	4.58
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.49	0.00	1.49	90.0	1.34
03/01/2017	CSUHTA, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.97	0.00	4.97	90.0	4.47
03/01/2017	BENSON, KARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2017	NICOLET, CHERYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.92	0.00	29.92	90.0	26.93
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.76	0.00	2.76	90.0	2.48
03/01/2017	SAINSBURY, DALE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.01	0.00	3.01	90.0	2.71
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.53	0.00	3.53	90.0	3.18
03/01/2017	SIEBER, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.37	0.00	3.37	90.0	3.03
03/01/2017	FORTE, ANTHONY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.55	0.00	3.55	90.0	3.20
03/01/2017	COCKROFT, EDYTHE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.93	0.00	3.93	90.0	3.54
03/01/2017	URICK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	NEACE, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	90.0	1.46
03/01/2017	SORG, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.63	0.00	4.63	90.0	4.17
03/01/2017	SORG, BECKY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.25	0.00	15.25	90.0	13.73
03/01/2017	ROEMER, SHERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.89	0.00	2.89	90.0	2.60
03/01/2017	MIZNER, FREDRIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2017	MUSKIN, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2017	MUSKIN, VERONICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.67	0.00	2.67	90.0	2.40
03/01/2017	OAKES, ERIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	90.0	0.26
03/01/2017	MULDOON, MARGARET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2017	COGDELL, CARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.99	0.00	3.99	90.0	3.59
03/01/2017	COGDELL, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	NICOLET, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.55	0.00	8.55	90.0	7.70
03/01/2017	DELAGARZA, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.34	0.00	2.34	90.0	2.11
03/01/2017	HERBER, TRINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.43	0.00	5.43	90.0	4.89
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.59	0.00	0.59	90.0	0.53
03/01/2017	OTIS, JASON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	90.0	0.50
03/01/2017	SAMELS, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.73	0.00	0.73	90.0	0.66

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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>								
03/01/2017	BUNN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2017	STANSBERRY, NANCY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.80	0.00	2.80	90.0	2.52
03/01/2017	MEIER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	GEVERINK, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	GEVERINK, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.18	0.00	2.18	90.0	1.96
03/01/2017	NEWBAUER, COLSTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	EAGLESON, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	EAGLESON, SAMUEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.09	0.00	4.09	90.0	3.68
03/01/2017	OAKES, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	ZINN, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.03	0.00	8.03	90.0	7.23
03/01/2017	HEES, TAMERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.82	0.00	3.82	90.0	3.44
03/01/2017	CACCAMO TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.46	0.00	15.46	90.0	13.91
03/01/2017	SORG, BECKY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.89	0.00	4.89	90.0	4.40
03/01/2017	SENGER, LYNDIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.95	0.00	4.95	90.0	4.46
03/01/2017	HERRIMAN, JANET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	RUSK, RANDALL F	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.69	0.00	1.69	90.0	1.52
03/01/2017	WILBANKS, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	BYRUM JR, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.90	0.00	2.90	90.0	2.61
03/01/2017	DIETSCH, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	90.0	1.13
03/01/2017	DIETSCH, RHONDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	90.0	1.13
03/01/2017	BYRUM JR, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	FEIPEL, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	EAGLESON, AMBER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	90.0	0.43
03/01/2017	EAGLESON, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.78	0.00	3.78	90.0	3.40
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.79	0.00	1.79	90.0	1.61
03/01/2017	VLOT, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.98	0.00	2.98	90.0	2.68
03/01/2017	LOWDEN, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.77	0.00	29.77	90.0	26.79
03/01/2017	RICKER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	RICKER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	EAGLESON, MYSTEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2017	JONES, TIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	1.50
03/01/2017	WARSTLER, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2017	RATTY, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.97	0.00	0.97	90.0	0.87

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	HOEFFEL, GREGGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2017	MCFEETERS, VALERIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	MAIERS, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.64	0.00	2.64	90.0	2.38
03/01/2017	MCFEETERS, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	MURPHY, SHARI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	57.35	0.00	57.35	90.0	51.62
03/01/2017	MURPHY, SHARI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	90.0	3.02
03/01/2017	MURPHY, LOU	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	MURPHY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.14	0.00	1.14	90.0	1.03
03/03/2017	BAILEY, KEVIN	AM FUNDS FUNDAMENTAL INVESTORS A	30.14	1.13	0.00	1.13	90.0	1.02
03/01/2017	NEWBAUER, SARAH	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	13.46	0.00	13.46	90.0	12.11
03/01/2017	LAYMAN, VICKI	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2017	WINANS, BEVERLY	AM FUNDS GLOBAL BALANCED A	0.00	1.39	0.00	1.39	90.0	1.25
03/01/2017	SLATER, JUSTIN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.68	0.00	0.68	90.0	0.61
02/21/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
02/21/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
02/21/2017	WILBANKS, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	175.00	7.44	0.00	7.44	90.0	6.70
02/23/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	75.00	2.81	0.00	2.81	90.0	2.53
02/24/2017	ROEMER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
02/28/2017	SAMUDIO, SHERRY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	HUNTER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	KEMERLY, JASON	AM FUNDS GROWTH FUND OF AMERICA A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	POORMAN, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.62	0.00	1.62	90.0	1.46
03/01/2017	TIMMS, JOAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.67	0.00	17.67	90.0	15.90
03/01/2017	PINNELL, J MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.42	0.00	3.42	90.0	3.08
03/01/2017	FISCHER, HELEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.91	0.00	3.91	90.0	3.52
03/01/2017	ROBERTS, LORETTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	90.0	3.18
03/01/2017	BYRUM JR, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	SIMPSON, LYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.18	0.00	9.18	90.0	8.26
03/01/2017	SIMPSON, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.32	0.00	8.32	90.0	7.49
03/01/2017	PATTERSON, JANITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.89	0.00	3.89	90.0	3.50
03/01/2017	SHANK, DEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.41	0.00	0.41	90.0	0.37

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SHANK, CAROLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	BAILEY, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22
03/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2017	DISBRO, JON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.24	0.00	2.24	90.0	2.02
03/01/2017	MARTZ, PHILLIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.88	0.00	5.88	90.0	5.29
03/01/2017	KLITZMAN, RANDALL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.20	0.00	6.20	90.0	5.58
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2017	MURPHY, DANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	BAILEY, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.18	0.00	8.18	90.0	7.36
03/01/2017	MORHART, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2017	SWAIDNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	MCDUGAL, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	MURPHY, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.82	0.00	5.82	90.0	5.24
03/01/2017	BRUNTON, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.82	0.00	2.82	90.0	2.54
03/01/2017	BURNS, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	90.0	1.22
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
03/01/2017	MULLINS, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.28	0.00	4.28	90.0	3.85
03/01/2017	WEAVER, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	1.77
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	90.0	1.29
03/01/2017	FRANKS, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.32	0.00	9.32	90.0	8.39
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.72	0.00	2.72	90.0	2.45
03/01/2017	NEWBAUER, GINGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.10	0.00	2.10	90.0	1.89
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	MCGRATH, LANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.78	0.00	7.78	90.0	7.00
03/01/2017	BURNS-WILSON, VIRGINIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	MILLER, JULIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.02	0.00	2.02	90.0	1.82
03/01/2017	BOKHART, GORDON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.45	0.00	5.45	90.0	4.91
03/01/2017	WALLACE, FREDERICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.94	0.00	3.94	90.0	3.55
03/01/2017	JORDAN, NEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.63	0.00	6.63	90.0	5.97
03/01/2017	WARSTLER, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57

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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>								
03/01/2017	PATTERSON, JANITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.71	0.00	6.71	90.0	6.04
03/01/2017	TULLOCH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.98	0.00	5.98	90.0	5.38
03/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	BAILEY, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.02	0.00	16.02	90.0	14.42
03/01/2017	AMBRIOLE, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	MUSSEY, LORI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.90	0.00	2.90	90.0	2.61
03/01/2017	MURPHY, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	ARCHBOLD, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	JORDAN, NEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	90.0	0.74
03/01/2017	MURPHY, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.02	0.00	3.02	90.0	2.72
03/01/2017	MAY, ZACHARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	MCGRATH, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.06	0.00	9.06	90.0	8.15
03/01/2017	EAGLESON, MARTHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2017	SCHISLER, SHARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	PEPPLE, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	WUKASCH, ZACHARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.51	0.00	2.51	90.0	2.26
03/01/2017	MOSURE, MONICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.96	0.00	10.96	90.0	9.86
03/01/2017	PATEL, GITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.32	0.00	13.32	90.0	11.99
03/01/2017	NICOLET, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.82	0.00	6.82	90.0	6.14
03/01/2017	SWAIDNER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	90.0	4.00
03/01/2017	CLARK, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.15	0.00	3.15	90.0	2.84
03/01/2017	MURPHY, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2017	WEEKS, VAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	WEIDES, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.65	0.00	3.65	90.0	3.29
03/01/2017	HUNTER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.38	0.00	6.38	90.0	5.74
03/01/2017	ZINN, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2017	ISLEY, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	LEVERMAN, PENNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	ZINN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.14	0.00	9.14	90.0	8.23
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	GALENTINE, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.28	0.00	32.28	90.0	29.05
03/01/2017	KAGE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.16	0.00	5.16	90.0	4.64

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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								
03/01/2017	BENSON, KARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	CASTLEMAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.25	0.00	4.25	90.0	3.83
03/01/2017	WINFIELD, APRIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.33	0.00	3.33	90.0	3.00
03/01/2017	MAHONY, KAMI LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.33	0.00	3.33	90.0	3.00
03/01/2017	NICOLET, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.85	0.00	29.85	90.0	26.87
03/01/2017	MULDOON, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	SAMUDIO, SHERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.43	0.00	6.43	90.0	5.79
03/01/2017	RAMUS, DARLENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.53	0.00	9.53	90.0	8.58
03/01/2017	WILKIN, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.31	0.00	6.31	90.0	5.68
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.13	0.00	3.13	90.0	2.82
03/01/2017	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.05	0.00	12.05	90.0	10.85
03/01/2017	GREENWALT, ROBIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.15	0.00	5.15	90.0	4.64
03/01/2017	PEARSON, SHIRLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.68	0.00	2.68	90.0	2.41
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.12	0.00	4.12	90.0	3.71
03/01/2017	MILUM, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.31	0.00	8.31	90.0	7.48
03/01/2017	MCARDLE, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.70	0.00	35.70	90.0	32.13
03/01/2017	MCARDLE, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.39	0.00	5.39	90.0	4.85
03/01/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.85	0.00	15.85	90.0	14.27
03/01/2017	FORTE, ANTHONY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.84	0.00	3.84	90.0	3.46
03/01/2017	URICK, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.02	0.00	3.02	90.0	2.72
03/01/2017	SIEBER, JANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2017	SIEBER, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
03/01/2017	HECKLER, MARTHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.09	0.00	5.09	90.0	4.58
03/01/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	FLEEGER, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2017	FLEEGER, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.12	0.00	2.12	90.0	1.91
03/01/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.29	0.00	6.29	90.0	5.66
03/01/2017	COLGLAZIER, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	RATTY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
03/01/2017	SORG, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.84	0.00	18.84	90.0	16.96
03/01/2017	MCARDLE, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.41	0.00	23.41	90.0	21.07

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	LAWSON TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.49	0.00	18.49	90.0	16.64
03/01/2017	ROEMER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.36	0.00	6.36	90.0	5.72
03/01/2017	WHEELER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	2.35
03/01/2017	KUNKEL, AMELIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	COCKROFT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.19	0.00	2.19	90.0	1.97
03/01/2017	MIZNER, FREDRIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	MUSKIN, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.54	0.00	4.54	90.0	4.09
03/01/2017	OAKES, ERIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	HOEFFEL, GREGGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2017	BUSH, RANDALL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	MULDOON, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	1.04
03/01/2017	COGDELL, CARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	COGDELL, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67
03/01/2017	NICOLET, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.06	0.00	17.06	90.0	15.35
03/01/2017	DELAGARZA, DEBRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	SIMPSON, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	KUMFER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.54	0.00	5.54	90.0	4.99
03/01/2017	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.13	0.00	6.13	90.0	5.52
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.35
03/01/2017	OTIS, JASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	HELLER, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	SAMELS, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	90.0	0.26
03/01/2017	LINSKY, MARCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.68	0.00	35.68	90.0	32.11
03/01/2017	WUKASCH, LILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	BUNN, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	STANSBERRY, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.78	0.00	2.78	90.0	2.50
03/01/2017	GEVERINK, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.04	0.00	1.04	90.0	0.94
03/01/2017	GEVERINK, ANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
03/01/2017	EAGLESON, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.32	0.00	4.32	90.0	3.89
03/01/2017	EAGLESON, SAMUEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.15	0.00	6.15	90.0	5.54
03/01/2017	OAKES, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	SHANK, CAROLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	90.0	0.20

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BLAIR, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.49	0.00	2.49	90.0	2.24
03/01/2017	ZINN, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.30	0.00	5.30	90.0	4.77
03/01/2017	NEWBAUER, COLSTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	EAGLESON, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.14	0.00	3.14	90.0	2.83
03/01/2017	HEES, TAMERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	90.0	2.30
03/01/2017	RHEN, MASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	90.0	2.14
03/01/2017	HOUSER, TRACY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.07	0.00	11.07	90.0	9.96
03/01/2017	SIEGER, RODNEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.58	0.00	11.58	90.0	10.42
03/01/2017	SORG, BECKY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.26	0.00	3.26	90.0	2.93
03/01/2017	SENGER, LYNDIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.30	0.00	3.30	90.0	2.97
03/01/2017	LIPSCOMB, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	3.20
03/01/2017	HERRIMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	PATEL, JASWANT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.84	0.00	7.84	90.0	7.06
03/01/2017	JENTGEN, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
03/01/2017	NEWBAUER, COLSTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	MCFEETERS, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.68	0.00	7.68	90.0	6.91
03/01/2017	RUSK, RANDALL F	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	HERRIMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
03/01/2017	THURSTON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	FREEZE, MONTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2017	WILBANKS, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.78	0.00	5.78	90.0	5.20
03/01/2017	BYRUM JR, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	DIETSCH, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	DIETSCH, RHONDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.59	0.00	4.59	90.0	4.13
03/01/2017	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.53	0.00	2.53	90.0	2.28
03/01/2017	VLOT, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.49	0.00	1.49	90.0	1.34
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.88	0.00	3.88	90.0	3.49
03/01/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.09	0.00	3.09	90.0	2.78
03/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	90.0	0.77
03/01/2017	EAGLESON, MYSTEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
03/01/2017	RATTY, MINDY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	JONES, TIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	0.00	1.14	90.0	1.03

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	LIPSCOMB, SOPHIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.26	0.00	2.26	90.0	2.03
03/01/2017	WARSTLER, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	1.11
03/01/2017	PASSINO, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.01	0.00	9.01	90.0	8.11
03/01/2017	PASSINO, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.10	0.00	18.10	90.0	16.29
03/01/2017	GETTYS, JARRAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	LALLO, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.28	0.00	28.28	90.0	25.45
03/01/2017	LALLO, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.45	0.00	23.45	90.0	21.11
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	SHADY, SCOT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2017	MCARDLE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	COCKROFT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	HENRY, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	ELIAS, CRISTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2017	MCFEETERS, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	BUSH, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	LAPHAM, DARRELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	90.0	1.61
03/01/2017	URATA, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	HINTON, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	HOSKINS, AUSTIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.99	0.00	4.99	90.0	4.49
03/01/2017	NEWBAUER, CHLOE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.82	0.00	5.82	90.0	5.24
03/01/2017	DELAGRANGE, LUCINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.78	0.00	2.78	90.0	2.50
03/01/2017	HAVERT, CHANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	90.0	2.09
03/01/2017	LOWDEN, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	HERBER, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	90.0	4.01
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	HELLER, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
03/01/2017	MURPHY, SHARI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	55.87	0.00	55.87	90.0	50.28
03/01/2017	MURPHY, SHARI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.26	0.00	3.26	90.0	2.93
03/01/2017	WEIDES, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	MURPHY, LOU	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	MURPHY, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	0.00	1.14	90.0	1.03

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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>								
03/01/2017	BURNS, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	BURNS-PAITAN/BENE, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	BURNS/BENE, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	BURNS-WILSON, VIRGINIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	BURNS/BENE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/03/2017	BAILEY, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	30.14	1.13	0.00	1.13	90.0	1.02
03/01/2017	DRUHOT, SCOTT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	DRUHOT, LESLIE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.87	0.00	20.87	90.0	18.78
03/01/2017	NEWBAUER, SARAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	11.23	0.00	11.23	90.0	10.11
03/01/2017	BAILEY, RICHARD	AM FUNDS GROWTH PORT A	0.00	53.82	0.00	53.82	90.0	48.44
03/01/2017	NEWBAUER, CAMERON	AM FUNDS ICA 529A	0.00	2.73	0.00	2.73	90.0	2.46
03/01/2017	KEMERLY, JASON	AM FUNDS ICA A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	TUCKER, CHARLOTTE	AM FUNDS ICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	TUCKER, SEAN	AM FUNDS ICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	FREER, TYLER	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	TIMMS, JOAN	AM FUNDS ICA A	0.00	26.67	0.00	26.67	90.0	24.00
03/01/2017	ROBERTS, LORETTA	AM FUNDS ICA A	0.00	4.21	0.00	4.21	90.0	3.79
03/01/2017	BYRUM JR, GERALD	AM FUNDS ICA A	0.00	13.44	0.00	13.44	90.0	12.10
03/01/2017	WINDSOR, WILLIAM	AM FUNDS ICA A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2017	DISBRO, JON	AM FUNDS ICA A	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	PLATT, GINA	AM FUNDS ICA A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS ICA A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	BURNS, THOMAS	AM FUNDS ICA A	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	MILLER, JULIE	AM FUNDS ICA A	0.00	2.59	0.00	2.59	90.0	2.33
03/01/2017	PATEL, GITA	AM FUNDS ICA A	0.00	12.60	0.00	12.60	90.0	11.34
03/01/2017	RAMUS, CHARLES	AM FUNDS ICA A	0.00	53.22	0.00	53.22	90.0	47.90
03/01/2017	MIZNER, FREDRIC	AM FUNDS ICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	KAGE, JENNIFER	AM FUNDS ICA A	0.00	4.40	0.00	4.40	90.0	3.96
03/01/2017	THOMAS, BRADFORD	AM FUNDS ICA A	0.00	7.05	0.00	7.05	90.0	6.35
03/01/2017	ZIMMERMAN, PHYLLIS	AM FUNDS ICA A	0.00	4.82	0.00	4.82	90.0	4.34
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS ICA A	0.00	3.91	0.00	3.91	90.0	3.52
03/01/2017	SHIPLEY, SANDRA	AM FUNDS ICA A	0.00	8.40	0.00	8.40	90.0	7.56

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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>								
03/01/2017	GRIME, STEPHEN	AM FUNDS ICA A	0.00	18.06	0.00	18.06	90.0	16.25
03/01/2017	PEARSON, SHIRLEY	AM FUNDS ICA A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2017	MILUM, JUDITH	AM FUNDS ICA A	0.00	3.75	0.00	3.75	90.0	3.38
03/01/2017	MCARDLE, SHAWN	AM FUNDS ICA A	0.00	34.58	0.00	34.58	90.0	31.12
03/01/2017	MCARDLE, LINDA	AM FUNDS ICA A	0.00	5.15	0.00	5.15	90.0	4.64
03/01/2017	HARKELROAD, JOY	AM FUNDS ICA A	0.00	4.06	0.00	4.06	90.0	3.65
03/01/2017	SIEBER, AARON	AM FUNDS ICA A	0.00	9.94	0.00	9.94	90.0	8.95
03/01/2017	FORTE, ANTHONY	AM FUNDS ICA A	0.00	3.49	0.00	3.49	90.0	3.14
03/01/2017	MCARDLE, DANIEL	AM FUNDS ICA A	0.00	12.79	0.00	12.79	90.0	11.51
03/01/2017	LAWSON TRUST	AM FUNDS ICA A	0.00	22.83	0.00	22.83	90.0	20.55
03/01/2017	KUNKEL, AMELIA	AM FUNDS ICA A	0.00	2.01	0.00	2.01	90.0	1.81
03/01/2017	SEAY, ROBIN	AM FUNDS ICA A	0.00	10.07	0.00	10.07	90.0	9.06
03/01/2017	DEATRICK, AMANDA	AM FUNDS ICA A	0.00	15.41	0.00	15.41	90.0	13.87
03/01/2017	MULDOON, MARGARET	AM FUNDS ICA A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	COGDELL, JENNIFER	AM FUNDS ICA A	0.00	2.66	0.00	2.66	90.0	2.39
03/01/2017	SEAY, ROBIN	AM FUNDS ICA A	0.00	7.76	0.00	7.76	90.0	6.98
03/01/2017	BROOKS, SHARON	AM FUNDS ICA A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	SHERIDAN, BROOKE	AM FUNDS ICA A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2017	GRIME, STEPHEN	AM FUNDS ICA A	0.00	4.76	0.00	4.76	90.0	4.28
03/01/2017	HOUSER, TRACY	AM FUNDS ICA A	0.00	11.24	0.00	11.24	90.0	10.12
03/01/2017	SORG, BECKY	AM FUNDS ICA A	0.00	4.72	0.00	4.72	90.0	4.25
03/01/2017	SENGER, LYNDIA	AM FUNDS ICA A	0.00	4.78	0.00	4.78	90.0	4.30
03/01/2017	HERRIMAN, JANET	AM FUNDS ICA A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	PATEL, JASWANT	AM FUNDS ICA A	0.00	7.48	0.00	7.48	90.0	6.73
03/01/2017	JENTGEN, STEPHANIE	AM FUNDS ICA A	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2017	RUSK, RANDALL F	AM FUNDS ICA A	0.00	1.60	0.00	1.60	90.0	1.44
03/01/2017	THURSTON, TIMOTHY	AM FUNDS ICA A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	BYRUM JR, GERALD	AM FUNDS ICA A	0.00	2.80	0.00	2.80	90.0	2.52
03/01/2017	DIETSCH, DANIEL	AM FUNDS ICA A	0.00	1.16	0.00	1.16	90.0	1.04
03/01/2017	DIETSCH, RHONDA	AM FUNDS ICA A	0.00	1.16	0.00	1.16	90.0	1.04
03/01/2017	BYRUM JR, GERALD	AM FUNDS ICA A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	SPEITH, LYNETTE	AM FUNDS ICA A	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	FEIPEL, EDWARD	AM FUNDS ICA A	0.00	1.25	0.00	1.25	90.0	1.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	EAGLESON, AMBER	AM FUNDS ICA A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	EAGLESON, JOSEPH	AM FUNDS ICA A	0.00	3.60	0.00	3.60	90.0	3.24
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS ICA A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	VLOT, KATHRYN	AM FUNDS ICA A	0.00	2.93	0.00	2.93	90.0	2.64
03/01/2017	RICKER, REBECCA	AM FUNDS ICA A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	RICKER, REBECCA	AM FUNDS ICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	EAGLESON, MYSTEE	AM FUNDS ICA A	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	JONES, TIM	AM FUNDS ICA A	0.00	1.62	0.00	1.62	90.0	1.46
03/01/2017	WARSTLER, MARK	AM FUNDS ICA A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	DEJOHN, SHARLEEN	AM FUNDS ICA A	0.00	10.26	0.00	10.26	90.0	9.23
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS ICA A	0.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	MCFEETERS, VALERIE	AM FUNDS ICA A	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	MAIERS, GREGORY	AM FUNDS ICA A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	ELIAS, CRISTA	AM FUNDS ICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	MCFEETERS, RYAN	AM FUNDS ICA A	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS ICA A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	MESEKE, GILBERT	AM FUNDS ICA C	0.00	8.24	0.00	8.24	90.0	7.42
03/01/2017	MESEKE, GILBERT	AM FUNDS ICA F1	0.00	2.66	0.00	2.66	90.0	2.39
03/01/2017	LAYMAN, VICKI	AM FUNDS ICA F1	0.00	0.99	0.00	0.99	90.0	0.89
02/23/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	55.00	2.06	0.00	2.06	90.0	1.85
02/28/2017	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	POORMAN, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.54	0.00	1.54	90.0	1.39
03/01/2017	PIERCE, MARILYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.93	0.00	3.93	90.0	3.54
03/01/2017	TIMMS, JOAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.69	0.00	15.69	90.0	14.12
03/01/2017	PINNELL, J MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.93	0.00	2.93	90.0	2.64
03/01/2017	ROBERTS, LORETTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.03	0.00	4.03	90.0	3.63
03/01/2017	BYRUM JR, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.78	0.00	1.78	90.0	1.60
03/01/2017	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	3.24
03/01/2017	BROCKMANO, EDWARD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	BAILEY, TERRY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.23	0.00	3.23	90.0	2.91
03/01/2017	MARTZ, PHILLIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.15	0.00	12.15	90.0	10.94
03/01/2017	WINDSOR, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	DISBRO, JON	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.12	0.00	6.12	90.0	5.51

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	KLITZMAN, RANDALL	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.36	0.00	5.36	90.0	4.82
03/01/2017	BAILEY, LOIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.89	0.00	12.89	90.0	11.60
03/01/2017	PLATT, GINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
03/01/2017	MEIER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	BURNS, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	EAGLESON, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	WEAVER, JEFFREY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	WEIDES, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.81	0.00	2.81	90.0	2.53
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	BURNS-WILSON, VIRGINIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	MILLER, JULIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.35	0.00	5.35	90.0	4.82
03/01/2017	BOKHART, GORDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
03/01/2017	JORDAN, NEAL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.56	0.00	3.56	90.0	3.20
03/01/2017	JORDAN, PAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	WARSTLER, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
03/01/2017	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.18	0.00	6.18	90.0	5.56
03/01/2017	TULLOCH, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.20	0.00	4.20	90.0	3.78
03/01/2017	TULLOCH, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.71	0.00	7.71	90.0	6.94
03/01/2017	OAKES, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	AMBRIOLE, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	MUSSEY, LORI	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2017	MURPHY, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.56	0.00	2.56	90.0	2.30
03/01/2017	EAGLESON, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.76	0.00	1.76	90.0	1.58
03/01/2017	MOSURE, MONICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.25	0.00	8.25	90.0	7.43
03/01/2017	PATEL, GITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.11	0.00	6.11	90.0	5.50
03/01/2017	CLARK, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.81	0.00	2.81	90.0	2.53
03/01/2017	WEIDES, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2017	HUNTER, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	CSUHTA, JULIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	BENSON, KARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.33	0.00	0.33	90.0	0.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	NICOLET, CHERYL	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.98	0.00	27.98	90.0	25.18
03/01/2017	MULDOON, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	SAINSBURY, DALE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.43	0.00	1.43	90.0	1.29
03/01/2017	WILKIN, CYNTHIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.94	0.00	5.94	90.0	5.35
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.30	0.00	7.30	90.0	6.57
03/01/2017	FORTE, ANTHONY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	URICK, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.99	0.00	3.99	90.0	3.59
03/01/2017	HARRIS, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	ALLAN, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2017	SEAY, ROBIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.79	0.00	8.79	90.0	7.91
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	MIZNER, FREDRIC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	1.06
03/01/2017	MUSKIN, VERONICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.32	0.00	3.32	90.0	2.99
03/01/2017	BUSH, RANDALL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.71	0.00	4.71	90.0	4.24
03/01/2017	MULDOON, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	COGDELL, CARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	COGDELL, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	SEAY, ROBIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.18	0.00	7.18	90.0	6.46
03/01/2017	NICOLET, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.89	0.00	16.89	90.0	15.20
03/01/2017	DELAGARZA, DEBRA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
03/01/2017	KUMFER, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	90.0	4.45
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2017	OTIS, JASON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	MEIER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	90.0	0.40
03/01/2017	GEVERINK, RAYMOND	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	GEVERINK, ANN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14
03/01/2017	EAGLESON, ROSS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.94	0.00	2.94	90.0	2.65
03/01/2017	BLAIR, BRIAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.37	0.00	2.37	90.0	2.13
03/01/2017	ZINN, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.97	0.00	4.97	90.0	4.47
03/01/2017	EAGLESON, ROSS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.84	0.00	2.84	90.0	2.56
03/01/2017	HEES, TAMERA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03

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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>								
03/01/2017	LAYMAN, VICKI	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.25	0.00	3.25	90.0	2.93
03/01/2017	CACCAMO TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.63	0.00	9.63	90.0	8.67
03/01/2017	SORG, BECKY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.85	0.00	2.85	90.0	2.57
03/01/2017	SENGER, LYNDIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.89	0.00	2.89	90.0	2.60
03/01/2017	DURKES, DEBRA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	RUSK, RANDALL F	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	HERRIMAN, JANET	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2017	WILBANKS, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	BYRUM JR, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2017	DIETSCH, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	DIETSCH, RHONDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	BYRUM JR, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2017	FEIPEL, EDWARD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	EAGLESON, AMBER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	90.0	1.84
03/01/2017	MCGUIRE, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	VLOT, KATHRYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.72	0.00	3.72	90.0	3.35
03/01/2017	SIEBER, AARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.87	0.00	2.87	90.0	2.58
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	POORMAN, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	90.0	1.97
03/01/2017	LOWDEN, KATHERINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.60	0.00	22.60	90.0	20.34
03/01/2017	RICKER, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	RICKER, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	JONES, TIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2017	WARSTLER, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	RATTY, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.68
03/01/2017	LINSKY, MARCIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.86	0.00	8.86	90.0	7.97
03/01/2017	HOEFFEL, GREGGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	ISLEY, CURTIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	REMENSCHNEIDER, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.97	0.00	4.97	90.0	4.47
03/01/2017	MCFEETERS, VALERIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	MAIERS, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	COCKROFT, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	ELIAS, CRISTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	MCFEETERS, RYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	ARCHBOLD, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	HERBER, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.30	0.00	4.30	90.0	3.87
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07
03/01/2017	MARTIN, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.01	0.00	7.01	90.0	6.31
03/01/2017	MURPHY, SHARI	AM FUNDS INCOME FUND OF AMERICA A	0.00	56.23	0.00	56.23	90.0	50.61
03/01/2017	MURPHY, SHARI	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.27	0.00	3.27	90.0	2.94
03/01/2017	WEIDES, LISA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.07
03/01/2017	BURNS, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	BURNS-PAITAN/BENE, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	BURNS/BENE, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	BURNS-WILSON, VIRGINIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	BURNS/BENE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	GUNSOLLEY, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2017	WALLACE, FREDERICK	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2017	FEIPEL, ESTHER	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.31	0.00	14.31	90.0	12.88
03/01/2017	LAYMAN, VICKI	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	NEWBAUER, CAMERON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	5.29	0.00	5.29	90.0	4.76
02/28/2017	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	50.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	50.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.15	0.00	3.15	90.0	2.84
03/01/2017	SHANK, DEAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.04	0.00	1.04	90.0	0.94
03/01/2017	SHANK, CAROLE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	BROCKMANO, EDWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	HOFFMAN, JOANN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.69	0.00	2.69	90.0	2.42
03/01/2017	HOFFMAN, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	EAGLESON, MARTHA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.79	0.00	4.79	90.0	4.31
03/01/2017	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.44	0.00	5.44	90.0	4.90
03/01/2017	MURPHY, SUSAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	EAGLESON, MARTHA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.53	0.00	6.53	90.0	5.88

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WILKIN, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.34	0.00	5.34	90.0	4.81
03/01/2017	COCKROFT, EDYTHE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.40	0.00	4.40	90.0	3.96
03/01/2017	SIEBER, JANE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.94	0.00	4.94	90.0	4.45
03/01/2017	SIEBER, PAUL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.02	0.00	5.02	90.0	4.52
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.51	0.00	3.51	90.0	3.16
03/01/2017	PEE, MICHAEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	RATTY, MICHAEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	COCKROFT, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	BUSH, RANDALL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.54	0.00	6.54	90.0	5.89
03/01/2017	SIMPSON, RONALD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.92	0.00	1.92	90.0	1.73
03/01/2017	KUMFER, JOSEPH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.14	0.00	6.14	90.0	5.53
03/01/2017	HELLER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.07	0.00	7.07	90.0	6.36
03/01/2017	PER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.36	0.00	1.36	90.0	1.22
03/01/2017	EAGLESON, ROSS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.41	0.00	2.41	90.0	2.17
03/01/2017	SHANK, CAROLE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2017	BLAIR, BRIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	EAGLESON, ROSS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.33	0.00	2.33	90.0	2.10
03/01/2017	KEMERLY, JASON	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2017	SIEBER, PAUL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.71	0.00	4.71	90.0	4.24
03/01/2017	SIEBER, AARON	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.51	0.00	2.51	90.0	2.26
03/01/2017	COCKROFT, EDYA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2017	RATTY, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2017	LINSKY, MARCIA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	8.38	0.00	8.38	90.0	7.54
03/01/2017	ISLEY, CURTIS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	WINANS, BEVERLY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.90	0.00	1.90	90.0	1.71
03/01/2017	COCKROFT, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	CZARNECKI, DENNIS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	BUSH, SANDRA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.21	0.00	2.21	90.0	1.99
03/01/2017	PARROT, JUDITH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.46	0.00	1.46	90.0	1.31
03/01/2017	SLIGER, RUSTY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.48	0.00	3.48	90.0	3.13

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	HINTON, EMILY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.89	0.00	1.89	90.0	1.70
03/01/2017	DURKES, DEBRA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.25	0.00	1.25	90.0	1.13
03/01/2017	COGDELL, CARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.64	0.00	2.64	90.0	2.38
03/01/2017	LOWDEN, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.56	0.00	2.56	90.0	2.30
03/01/2017	HERBER, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.07	0.00	4.07	90.0	3.66
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	LYTLE, KEAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	HELLER, ADAM	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.60	0.00	2.60	90.0	2.34
03/01/2017	WEIDES, LISA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	SULLIVAN, DIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	SULLIVAN, DIAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	GUNSOLLEY, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	GUNSOLLEY, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	WILKIN, CYNTHIA	AM FUNDS MORTGAGE A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	RATTY, MICHAEL	AM FUNDS MORTGAGE A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	O'CONNELL, KATHLEEN	AM FUNDS MORTGAGE A	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	KAUFFMAN, KATIE	AM FUNDS MORTGAGE C	0.00	13.68	0.00	13.68	90.0	12.31
02/28/2017	HEIDENREICH, PATRICK	AM FUNDS NEW ECONOMY A	75.00	3.19	0.00	3.19	90.0	2.87
03/01/2017	DAGER, DONNA	AM FUNDS NEW ECONOMY A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	MCGRATH/SEP, LANA	AM FUNDS NEW ECONOMY A	0.00	3.43	0.00	3.43	90.0	3.09
03/01/2017	MARTZ, PHILLIS	AM FUNDS NEW ECONOMY A	0.00	8.19	0.00	8.19	90.0	7.37
03/01/2017	KLITZMAN, RANDALL	AM FUNDS NEW ECONOMY A	0.00	4.61	0.00	4.61	90.0	4.15
03/01/2017	SWAIDNER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	SWAIDNER, DAVID	AM FUNDS NEW ECONOMY A	0.00	2.06	0.00	2.06	90.0	1.85
03/01/2017	MURPHY, DAVID	AM FUNDS NEW ECONOMY A	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2017	MORHART, JAMES	AM FUNDS NEW ECONOMY A	0.00	3.35	0.00	3.35	90.0	3.02
03/01/2017	WOEHNKER, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	1.24	0.00	1.24	90.0	1.12
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	WALLACE, BARBARA	AM FUNDS NEW ECONOMY A	0.00	3.47	0.00	3.47	90.0	3.12
03/01/2017	JORDAN, NEAL	AM FUNDS NEW ECONOMY A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	LEVERMAN, THEODORE	AM FUNDS NEW ECONOMY A	0.00	5.06	0.00	5.06	90.0	4.55

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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>								
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS NEW ECONOMY A	0.00	5.97	0.00	5.97	90.0	5.37
03/01/2017	FLEEGER, JANICE	AM FUNDS NEW ECONOMY A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	FLEEGER, JANICE	AM FUNDS NEW ECONOMY A	0.00	1.46	0.00	1.46	90.0	1.31
03/01/2017	MCARDLE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	3.22	0.00	3.22	90.0	2.90
03/01/2017	LAWSON TRUST	AM FUNDS NEW ECONOMY A	0.00	17.17	0.00	17.17	90.0	15.45
03/01/2017	EAGLESON, ROSS	AM FUNDS NEW ECONOMY A	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	EAGLESON, SAMUEL	AM FUNDS NEW ECONOMY A	0.00	4.04	0.00	4.04	90.0	3.64
03/01/2017	HOUSER, TRACY	AM FUNDS NEW ECONOMY A	0.00	7.29	0.00	7.29	90.0	6.56
03/01/2017	DAGER, DONNA	AM FUNDS NEW ECONOMY A	0.00	4.33	0.00	4.33	90.0	3.90
03/01/2017	URATA, SUSAN	AM FUNDS NEW ECONOMY A	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	90.0	0.08
02/23/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	65.00	2.44	0.00	2.44	90.0	2.20
03/01/2017	KEMERLY, JASON	AM FUNDS NEW PERSPECTIVE A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	MCGRATH/SEP, LANA	AM FUNDS NEW PERSPECTIVE A	0.00	2.66	0.00	2.66	90.0	2.39
03/01/2017	POORMAN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	JORDAN, NEAL	AM FUNDS NEW PERSPECTIVE A	0.00	6.12	0.00	6.12	90.0	5.51
03/01/2017	TIMMS, JOAN	AM FUNDS NEW PERSPECTIVE A	0.00	15.33	0.00	15.33	90.0	13.80
03/01/2017	PINNELL, J MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	3.12	0.00	3.12	90.0	2.81
03/01/2017	FISCHER, HELEN	AM FUNDS NEW PERSPECTIVE A	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	ROBERTS, LORETTA	AM FUNDS NEW PERSPECTIVE A	0.00	3.75	0.00	3.75	90.0	3.38
03/01/2017	BYRUM JR, GERALD	AM FUNDS NEW PERSPECTIVE A	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2017	O'LAUGHLIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	49.88	0.00	49.88	90.0	44.89
03/01/2017	SIMPSON, LYLE	AM FUNDS NEW PERSPECTIVE A	0.00	8.32	0.00	8.32	90.0	7.49
03/01/2017	SIMPSON, KATHRYN	AM FUNDS NEW PERSPECTIVE A	0.00	7.46	0.00	7.46	90.0	6.71
03/01/2017	BAILEY, TERRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	KLITZMAN, RANDALL	AM FUNDS NEW PERSPECTIVE A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	BAILEY, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	7.18	0.00	7.18	90.0	6.46
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	MURPHY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	4.46	0.00	4.46	90.0	4.01
03/01/2017	WILLING, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	4.78	0.00	4.78	90.0	4.30
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2017	AMARO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	2.83	0.00	2.83	90.0	2.55

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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>								
03/01/2017	SAINSBURY, DALE	AM FUNDS NEW PERSPECTIVE A	0.00	3.29	0.00	3.29	90.0	2.96
03/01/2017	BRUNTON, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.09	0.00	2.09	90.0	1.88
03/01/2017	BURNS, MARCIA	AM FUNDS NEW PERSPECTIVE A	0.00	7.10	0.00	7.10	90.0	6.39
03/01/2017	MULLINS, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	WEAVER, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	WOEHNKER, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS NEW PERSPECTIVE A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	NEWBAUER, GINGER	AM FUNDS NEW PERSPECTIVE A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2017	MILLER, JULIE	AM FUNDS NEW PERSPECTIVE A	0.00	1.78	0.00	1.78	90.0	1.60
03/01/2017	BOKHART, GORDON	AM FUNDS NEW PERSPECTIVE A	0.00	4.79	0.00	4.79	90.0	4.31
03/01/2017	JORDAN, PAM	AM FUNDS NEW PERSPECTIVE A	0.00	6.56	0.00	6.56	90.0	5.90
03/01/2017	WARSTLER, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	TULLOCH, CAROLYN	AM FUNDS NEW PERSPECTIVE A	0.00	3.79	0.00	3.79	90.0	3.41
03/01/2017	OAKES, ERIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.76	0.00	0.76	90.0	0.68
03/01/2017	AMBRIOLE, JANICE	AM FUNDS NEW PERSPECTIVE A	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	MUSSEY, LORI	AM FUNDS NEW PERSPECTIVE A	0.00	2.14	0.00	2.14	90.0	1.93
03/01/2017	COLGLAZIER, STACEY	AM FUNDS NEW PERSPECTIVE A	0.00	4.15	0.00	4.15	90.0	3.74
03/01/2017	SCHISLER, SHARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	BAILEY, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	MOSURE, MONICA	AM FUNDS NEW PERSPECTIVE A	0.00	8.20	0.00	8.20	90.0	7.38
03/01/2017	PATEL, GITA	AM FUNDS NEW PERSPECTIVE A	0.00	8.67	0.00	8.67	90.0	7.80
03/01/2017	RAMUS, CHARLES	AM FUNDS NEW PERSPECTIVE A	0.00	45.39	0.00	45.39	90.0	40.85
03/01/2017	WEIDES, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	3.26	0.00	3.26	90.0	2.93
03/01/2017	HUNTER, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	1.24	0.00	1.24	90.0	1.12
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS NEW PERSPECTIVE A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	BENSON, KARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	NICOLET, CHERYL	AM FUNDS NEW PERSPECTIVE A	0.00	28.97	0.00	28.97	90.0	26.07
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW PERSPECTIVE A	0.00	3.07	0.00	3.07	90.0	2.76
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS NEW PERSPECTIVE A	0.00	2.30	0.00	2.30	90.0	2.07
03/01/2017	SIEBER, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	8.96	0.00	8.96	90.0	8.06
03/01/2017	FORTE, ANTHONY	AM FUNDS NEW PERSPECTIVE A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	URICK, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2017	LAWSON TRUST	AM FUNDS NEW PERSPECTIVE A	0.00	15.73	0.00	15.73	90.0	14.16

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MIZNER, FREDRIC	AM FUNDS NEW PERSPECTIVE A	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	0.00	3.91	0.00	3.91	90.0	3.52
03/01/2017	OAKES, ERIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	MULDOON, MARGARET	AM FUNDS NEW PERSPECTIVE A	0.00	1.01	0.00	1.01	90.0	0.91
03/01/2017	COGDELL, CARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2017	COGDELL, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	NICOLET, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	15.33	0.00	15.33	90.0	13.80
03/01/2017	DELAGARZA, DEBRA	AM FUNDS NEW PERSPECTIVE A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	HERBER, TRINA	AM FUNDS NEW PERSPECTIVE A	0.00	5.13	0.00	5.13	90.0	4.62
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2017	SAMELS, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	BUNN, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	STANSBERRY, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	GEVERINK, RAYMOND	AM FUNDS NEW PERSPECTIVE A	0.00	0.89	0.00	0.89	90.0	0.80
03/01/2017	GEVERINK, ANN	AM FUNDS NEW PERSPECTIVE A	0.00	2.89	0.00	2.89	90.0	2.60
03/01/2017	EAGLESON, ROSS	AM FUNDS NEW PERSPECTIVE A	0.00	0.96	0.00	0.96	90.0	0.86
03/01/2017	EAGLESON, SAMUEL	AM FUNDS NEW PERSPECTIVE A	0.00	5.27	0.00	5.27	90.0	4.74
03/01/2017	OAKES, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	ZINN, JEANNETTE	AM FUNDS NEW PERSPECTIVE A	0.00	4.84	0.00	4.84	90.0	4.36
03/01/2017	HEES, TAMERA	AM FUNDS NEW PERSPECTIVE A	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2017	SORG, BECKY	AM FUNDS NEW PERSPECTIVE A	0.00	2.90	0.00	2.90	90.0	2.61
03/01/2017	SENGER, LYNDIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.94	0.00	2.94	90.0	2.65
03/01/2017	HERRIMAN, JANET	AM FUNDS NEW PERSPECTIVE A	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	PATEL, JASWANT	AM FUNDS NEW PERSPECTIVE A	0.00	5.51	0.00	5.51	90.0	4.96
03/01/2017	RUSK, RANDALL F	AM FUNDS NEW PERSPECTIVE A	0.00	0.91	0.00	0.91	90.0	0.82
03/01/2017	BYRUM JR, GERALD	AM FUNDS NEW PERSPECTIVE A	0.00	2.91	0.00	2.91	90.0	2.62
03/01/2017	DIETSCH, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	DIETSCH, RHONDA	AM FUNDS NEW PERSPECTIVE A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	3.48	0.00	3.48	90.0	3.13
03/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	VLOT, KATHRYN	AM FUNDS NEW PERSPECTIVE A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	EAGLESON, MYSTEE	AM FUNDS NEW PERSPECTIVE A	0.00	1.17	0.00	1.17	90.0	1.05
03/01/2017	JONES, TIM	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	90.0	0.85

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WARSTLER, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	HOEFFEL, GREGGORY	AM FUNDS NEW PERSPECTIVE A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	MCFEETERS, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	NEWBAUER, CAMERON	AM FUNDS NEW PERSPECTIVE A	0.00	7.31	0.00	7.31	90.0	6.58
03/03/2017	BAILEY, KEVIN	AM FUNDS NEW PERSPECTIVE A	30.14	1.13	0.00	1.13	90.0	1.02
03/01/2017	DRUHOT, SCOTT	AM FUNDS NEW PERSPECTIVE C	0.00	0.52	0.00	0.52	90.0	0.47
02/23/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	65.00	2.44	0.00	2.44	90.0	2.20
03/01/2017	HUNTER, JENNIFER	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	KEMERLY, JASON	AM FUNDS NEW WORLD A	14.76	0.63	0.00	0.63	90.0	0.57
03/01/2017	TUCKER, CHARLOTTE	AM FUNDS NEW WORLD A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2017	TUCKER, SEAN	AM FUNDS NEW WORLD A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2017	FREER, TYLER	AM FUNDS NEW WORLD A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	POORMAN, MICHAEL	AM FUNDS NEW WORLD A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	TIMMS, JOAN	AM FUNDS NEW WORLD A	0.00	10.10	0.00	10.10	90.0	9.09
03/01/2017	PINNELL, J MICHAEL	AM FUNDS NEW WORLD A	0.00	2.53	0.00	2.53	90.0	2.28
03/01/2017	ROBERTS, LORETTA	AM FUNDS NEW WORLD A	0.00	1.99	0.00	1.99	90.0	1.79
03/01/2017	BYRUM JR, GERALD	AM FUNDS NEW WORLD A	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	SIMPSON, LYLE	AM FUNDS NEW WORLD A	0.00	6.10	0.00	6.10	90.0	5.49
03/01/2017	SIMPSON, KATHRYN	AM FUNDS NEW WORLD A	0.00	5.86	0.00	5.86	90.0	5.27
03/01/2017	BAILEY, TERRY	AM FUNDS NEW WORLD A	0.00	4.74	0.00	4.74	90.0	4.27
03/01/2017	KLITZMAN, RANDALL	AM FUNDS NEW WORLD A	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	BAILEY, BRUCE	AM FUNDS NEW WORLD A	0.00	5.13	0.00	5.13	90.0	4.62
03/01/2017	AMBRIOLE, WESLEY	AM FUNDS NEW WORLD A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	BAILEY, KEVIN	AM FUNDS NEW WORLD A	0.00	5.61	0.00	5.61	90.0	5.05
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2017	WEAVER, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.29	0.00	1.29	90.0	1.16
03/01/2017	WEIDES, MARK	AM FUNDS NEW WORLD A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS NEW WORLD A	0.00	1.85	0.00	1.85	90.0	1.67
03/01/2017	DERBYSHIRE, JAMES	AM FUNDS NEW WORLD A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	MILLER, JULIE	AM FUNDS NEW WORLD A	0.00	1.17	0.00	1.17	90.0	1.05
03/01/2017	BOKHART, GORDON	AM FUNDS NEW WORLD A	0.00	3.69	0.00	3.69	90.0	3.32
03/01/2017	TULLOCH, CAROLYN	AM FUNDS NEW WORLD A	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2017	TULLOCH, DAVID	AM FUNDS NEW WORLD A	0.00	4.20	0.00	4.20	90.0	3.78

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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>								
03/01/2017	OAKES, ERIN	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	MUSSEY, LORI	AM FUNDS NEW WORLD A	0.00	1.59	0.00	1.59	90.0	1.43
03/01/2017	AMBRIOLE, JANICE	AM FUNDS NEW WORLD A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	ARCHBOLD, DANNY	AM FUNDS NEW WORLD A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	MCBRIDE, KEITH	AM FUNDS NEW WORLD A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	MURPHY, SUSAN	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	90.0	0.47
03/01/2017	SCHISLER, SHARON	AM FUNDS NEW WORLD A	0.00	1.09	0.00	1.09	90.0	0.98
03/01/2017	MOSURE, MONICA	AM FUNDS NEW WORLD A	0.00	6.27	0.00	6.27	90.0	5.64
03/01/2017	PATEL, GITA	AM FUNDS NEW WORLD A	0.00	2.99	0.00	2.99	90.0	2.69
03/01/2017	CLARK, KATHLEEN	AM FUNDS NEW WORLD A	0.00	2.10	0.00	2.10	90.0	1.89
03/01/2017	RAMUS, CHARLES	AM FUNDS NEW WORLD A	0.00	32.42	0.00	32.42	90.0	29.18
03/01/2017	WEIDES, MARK	AM FUNDS NEW WORLD A	0.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	HUNTER, JENNIFER	AM FUNDS NEW WORLD A	0.00	3.17	0.00	3.17	90.0	2.85
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS NEW WORLD A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	BENSON, KARY	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW WORLD A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	RAMUS, DARLENE	AM FUNDS NEW WORLD A	0.00	3.22	0.00	3.22	90.0	2.90
03/01/2017	RAMUS, ERIC	AM FUNDS NEW WORLD A	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	RAMUS, CHAD	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	RAMUS, MEGAN	AM FUNDS NEW WORLD A	0.00	1.14	0.00	1.14	90.0	1.03
03/01/2017	RAMUS, MICHELLE	AM FUNDS NEW WORLD A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS NEW WORLD A	0.00	1.54	0.00	1.54	90.0	1.39
03/01/2017	GRIME, STEPHEN	AM FUNDS NEW WORLD A	0.00	8.90	0.00	8.90	90.0	8.01
03/01/2017	MCARDLE, SHAWN	AM FUNDS NEW WORLD A	0.00	3.88	0.00	3.88	90.0	3.49
03/01/2017	MCARDLE, LINDA	AM FUNDS NEW WORLD A	0.00	3.74	0.00	3.74	90.0	3.37
03/01/2017	HARKELROAD, JOY	AM FUNDS NEW WORLD A	0.00	2.30	0.00	2.30	90.0	2.07
03/01/2017	SIEBER, AARON	AM FUNDS NEW WORLD A	0.00	7.69	0.00	7.69	90.0	6.92
03/01/2017	FORTE, ANTHONY	AM FUNDS NEW WORLD A	0.00	4.76	0.00	4.76	90.0	4.28
03/01/2017	URICK, DAVID	AM FUNDS NEW WORLD A	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2017	HECKLER, MARTHA	AM FUNDS NEW WORLD A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	COLGLAZIER, LISA	AM FUNDS NEW WORLD A	0.00	1.43	0.00	1.43	90.0	1.29
03/01/2017	SORG, MARK	AM FUNDS NEW WORLD A	0.00	9.24	0.00	9.24	90.0	8.32
03/01/2017	LAWSON TRUST	AM FUNDS NEW WORLD A	0.00	17.56	0.00	17.56	90.0	15.80

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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>								
03/01/2017	ROEMER, SHERRI	AM FUNDS NEW WORLD A	0.00	4.10	0.00	4.10	90.0	3.69
03/01/2017	KUNKEL, AMELIA	AM FUNDS NEW WORLD A	0.00	1.97	0.00	1.97	90.0	1.77
03/01/2017	GALENTINE, ASHLEY	AM FUNDS NEW WORLD A	0.00	2.04	0.00	2.04	90.0	1.84
03/01/2017	AMARO, ETHAN	AM FUNDS NEW WORLD A	0.00	1.05	0.00	1.05	90.0	0.95
03/01/2017	DEATRICK, AMANDA	AM FUNDS NEW WORLD A	0.00	11.21	0.00	11.21	90.0	10.09
03/01/2017	MIZNER, FREDRIC	AM FUNDS NEW WORLD A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	MUSKIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	MUSKIN, VERONICA	AM FUNDS NEW WORLD A	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	OAKES, ERIN	AM FUNDS NEW WORLD A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	MULDOON, MARGARET	AM FUNDS NEW WORLD A	0.00	0.73	0.00	0.73	90.0	0.66
03/01/2017	COGDELL, CARY	AM FUNDS NEW WORLD A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	COGDELL, JENNIFER	AM FUNDS NEW WORLD A	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2017	NICOLET, MICHAEL	AM FUNDS NEW WORLD A	0.00	11.38	0.00	11.38	90.0	10.24
03/01/2017	DELAGARZA, DEBRA	AM FUNDS NEW WORLD A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	BROOKS, AUSTIN	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	BROOKS, COURTNEY	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	BROOKS, ALLISON	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	BROOKS, SHARON	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2017	HERBER, TRINA	AM FUNDS NEW WORLD A	0.00	3.85	0.00	3.85	90.0	3.47
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	OTIS, JASON	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	SAMELS, GREGORY	AM FUNDS NEW WORLD A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2017	STANSBERRY, NANCY	AM FUNDS NEW WORLD A	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2017	GEVERINK, RAYMOND	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	GEVERINK, ANN	AM FUNDS NEW WORLD A	0.00	1.46	0.00	1.46	90.0	1.31
03/01/2017	NEWBAUER, COLSTON	AM FUNDS NEW WORLD A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	EAGLESON, ROSS	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	EAGLESON, SAMUEL	AM FUNDS NEW WORLD A	0.00	3.95	0.00	3.95	90.0	3.56
03/01/2017	OAKES, ANDREW	AM FUNDS NEW WORLD A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	ZINN, JEANNETTE	AM FUNDS NEW WORLD A	0.00	4.21	0.00	4.21	90.0	3.79
03/01/2017	SHERIDAN, BROOKE	AM FUNDS NEW WORLD A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	NEWBAUER, COLSTON	AM FUNDS NEW WORLD A	0.00	0.47	0.00	0.47	90.0	0.42
03/01/2017	GRIME, STEPHEN	AM FUNDS NEW WORLD A	0.00	3.16	0.00	3.16	90.0	2.84

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEES, TAMERA	AM FUNDS NEW WORLD A	0.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	SIEGER, RODNEY	AM FUNDS NEW WORLD A	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2017	SORG, BECKY	AM FUNDS NEW WORLD A	0.00	2.06	0.00	2.06	90.0	1.85
03/01/2017	SENGER, LYNDIA	AM FUNDS NEW WORLD A	0.00	2.09	0.00	2.09	90.0	1.88
03/01/2017	HERRIMAN, JANET	AM FUNDS NEW WORLD A	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2017	RUSK, RANDALL F	AM FUNDS NEW WORLD A	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	THURSTON, TIMOTHY	AM FUNDS NEW WORLD A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	WILBANKS, GREGORY	AM FUNDS NEW WORLD A	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2017	BYRUM JR, GERALD	AM FUNDS NEW WORLD A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	DIETSCH, DANIEL	AM FUNDS NEW WORLD A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	DIETSCH, RHONDA	AM FUNDS NEW WORLD A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.73	0.00	2.73	90.0	2.46
03/01/2017	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2017	VLOT, KATHRYN	AM FUNDS NEW WORLD A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	WEAVER, JACOB	AM FUNDS NEW WORLD A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	COCKROFT, EDYA	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	EAGLESON, MYSTEE	AM FUNDS NEW WORLD A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	JONES, TIM	AM FUNDS NEW WORLD A	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2017	WARSTLER, MARK	AM FUNDS NEW WORLD A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	HENRY, JEREMY	AM FUNDS NEW WORLD A	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	ELIAS, CRISTA	AM FUNDS NEW WORLD A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	MCFEETERS, RYAN	AM FUNDS NEW WORLD A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	NEWBAUER, CAMERON	AM FUNDS NEW WORLD A	0.00	5.02	0.00	5.02	90.0	4.52
03/03/2017	BAILEY, KEVIN	AM FUNDS NEW WORLD A	30.15	1.13	0.00	1.13	90.0	1.02
03/01/2017	HARKELROAD, JOY	AM FUNDS NEW WORLD C	0.00	13.50	0.00	13.50	90.0	12.15
03/01/2017	DRUHOT, SCOTT	AM FUNDS NEW WORLD C	0.00	2.18	0.00	2.18	90.0	1.96
02/24/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	3,000.00	36.00	0.00	36.00	90.0	32.40
02/28/2017	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	50.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	60.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2017	SHANK, DEAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2017	SHANK, CAROLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	HOFFMAN, JOANN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.19	0.00	1.19	90.0	1.07

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HOFFMAN, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	EAGLESON, MARTHA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.89	0.00	2.89	90.0	2.60
03/01/2017	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.21	0.00	3.21	90.0	2.89
03/01/2017	MURPHY, SUSAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.16	0.00	1.16	90.0	1.04
03/01/2017	EAGLESON, MARTHA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2017	NICOLET, CHERYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	8.35	0.00	8.35	90.0	7.52
03/01/2017	WILKIN, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.16	0.00	3.16	90.0	2.84
03/01/2017	COCKROFT, EDYTHE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.74	0.00	1.74	90.0	1.57
03/01/2017	SIEBER, JANE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.93	0.00	2.93	90.0	2.64
03/01/2017	SIEBER, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.99	0.00	2.99	90.0	2.69
03/01/2017	KINDSCHY, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.07	0.00	2.07	90.0	1.86
03/01/2017	RATTY, MICHAEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2017	COCKROFT, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.17	0.00	1.17	90.0	1.05
03/01/2017	SIMPSON, RONALD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.14	0.00	1.14	90.0	1.03
03/01/2017	KUMFER, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.69	0.00	3.69	90.0	3.32
03/01/2017	HELLER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	PER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.82	0.00	0.82	90.0	0.74
03/01/2017	EAGLESON, ROSS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.42	0.00	1.42	90.0	1.28
03/01/2017	SHANK, CAROLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2017	BLAIR, BRIAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2017	EAGLESON, ROSS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.99	0.00	1.99	90.0	1.79
03/01/2017	SIEBER, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.51	0.00	0.51	90.0	0.46
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.74	0.00	2.74	90.0	2.47
03/01/2017	SIEBER, AARON	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	RATTY, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.14	0.00	1.14	90.0	1.03
03/01/2017	LINSKY, MARCIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.51	0.00	7.51	90.0	6.76
03/01/2017	WINANS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	COCKROFT, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	CZARNECKI, DENNIS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	PARROT, JUDITH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.58	0.00	0.58	90.0	0.52

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	COGDELL, CARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.64	0.00	2.64	90.0	2.38
03/01/2017	LOWDEN, JAMES	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.54	0.00	1.54	90.0	1.39
03/01/2017	HERBER, MARK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.44	0.00	2.44	90.0	2.20
03/01/2017	REBHOLZ, SUSANNA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	LYTLE, KEAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	HELLER, ADAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.17	0.00	1.17	90.0	1.05
03/01/2017	SULLIVAN, DIAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GUNSOLLEY, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	BRUNTON, EMILY	AM FUNDS SMALLCAP WORLD A	0.00	2.26	0.00	2.26	90.0	2.03
03/01/2017	COLGLAZIER, STACEY	AM FUNDS SMALLCAP WORLD A	0.00	4.67	0.00	4.67	90.0	4.20
03/01/2017	SCHISLER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	PATEL, GITA	AM FUNDS SMALLCAP WORLD A	0.00	3.65	0.00	3.65	90.0	3.29
03/01/2017	GALENTINE, ASHLEY	AM FUNDS SMALLCAP WORLD A	0.00	11.10	0.00	11.10	90.0	9.99
03/01/2017	PATEL, JASWANT	AM FUNDS SMALLCAP WORLD A	0.00	2.81	0.00	2.81	90.0	2.53
03/01/2017	MURPHY, SHARI	AM FUNDS SMALLCAP WORLD A	0.00	54.65	0.00	54.65	90.0	49.19
03/01/2017	MURPHY, SHARI	AM FUNDS SMALLCAP WORLD A	0.00	3.20	0.00	3.20	90.0	2.88
03/01/2017	MURPHY, LOU	AM FUNDS SMALLCAP WORLD A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	MURPHY, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	1.14	0.00	1.14	90.0	1.03
03/03/2017	GALENTINE, ASHLEY	AM FUNDS SMALLCAP WORLD A	300.00	12.75	0.00	12.75	90.0	11.48
03/01/2017	LOWDEN, KATHERINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	14.60	0.00	14.60	90.0	13.14
02/24/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	3,000.00	36.00	0.00	36.00	90.0	32.40
03/01/2017	PEE, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	GUNSOLLEY, NORMAN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.59	0.00	1.59	90.0	1.43
03/01/2017	HELLER, ADAM	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.53	0.00	3.53	90.0	3.18
03/01/2017	KEMERLY, JASON	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	REMENSCHNEIDER, MARY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2017	SIEBER, PAUL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	4.15	0.00	4.15	90.0	3.74
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.51	0.00	2.51	90.0	2.26
03/01/2017	LINSKY, MARCIA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.20	0.00	8.20	90.0	7.38
03/01/2017	ISLEY, CURTIS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.79	0.00	1.79	90.0	1.61
03/01/2017	WILLIAMS, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.28	0.00	1.28	90.0	1.15

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	HELLER, ADAM	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2017	GUNSOLLEY, MARY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	CAPPLEMAN, BETTIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.91	0.00	11.91	90.0	10.72
03/01/2017	KAUFFMAN, KATIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	19.48	0.00	19.48	90.0	17.53
02/28/2017	HEIDENREICH, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	75.00	3.19	0.00	3.19	90.0	2.87
02/28/2017	SAMUDIO, SHERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	MCGRATH/SAR SEP, LANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.23	0.00	5.23	90.0	4.71
03/01/2017	POORMAN, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	PINNELL, J MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2017	WILLING, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.29	0.00	3.29	90.0	2.96
03/01/2017	TULLOCH, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2017	SIMPSON, LYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.19	0.00	8.19	90.0	7.37
03/01/2017	SIMPSON, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.43	0.00	8.43	90.0	7.59
03/01/2017	BROCKMANO, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	BAILEY, TERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.40	0.00	6.40	90.0	5.76
03/01/2017	CALKINS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	SEWARD, REBECCA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	1.09
03/01/2017	KLITZMAN, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	DILLIE, KERI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.40	0.00	6.40	90.0	5.76
03/01/2017	BAILEY, BRUCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.35	0.00	15.35	90.0	13.82
03/01/2017	BAILEY, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.91	0.00	7.91	90.0	7.12
03/01/2017	MORHART, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2017	MORHART, KAY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.81	0.00	3.81	90.0	3.43
03/01/2017	MEIER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2017	SWAIDNER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.34	0.00	3.34	90.0	3.01
03/01/2017	NEWBAUER, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.49
03/01/2017	MCDUGAL, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.34	0.00	1.34	90.0	1.21
03/01/2017	WIKTOROWICZ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.01	0.00	1.01	90.0	0.91
03/01/2017	MURPHY, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2017	SAINSBURY, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.87	0.00	3.87	90.0	3.48
03/01/2017	SCHAEFER, LOLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	AMARO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.77	0.00	7.77	90.0	6.99
03/01/2017	BRUNTON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.89	0.00	0.89	90.0	0.80

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BRUNTON, JOSEI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	BRUNTON, AKTSGA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	BRUNTON, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	BURNS, MARCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	MORHART, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.23	0.00	3.23	90.0	2.91
03/01/2017	WEAVER, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2017	VIELKIND, LAWRENCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.37	0.00	1.37	90.0	1.23
03/01/2017	WOEHNKER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	FRANKS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2017	SAMMETINGER, EVELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	90.0	3.39
03/01/2017	MCGRATH, LANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.13	0.00	3.13	90.0	2.82
03/01/2017	MILLER, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.07	0.00	8.07	90.0	7.26
03/01/2017	BOKHART, GORDON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.43	0.00	7.43	90.0	6.69
03/01/2017	TULLOCH, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.72	0.00	5.72	90.0	5.15
03/01/2017	OAKES, ERIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.96
03/01/2017	BRUNTON, GABRIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
03/01/2017	WILLIAM, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
03/01/2017	AMBRIOLE, JANICE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	MUSSEY, LORI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.60	0.00	1.60	90.0	1.44
03/01/2017	MCGRATH, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.13	0.00	3.13	90.0	2.82
03/01/2017	MOSURE, MONICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.85	0.00	10.85	90.0	9.77
03/01/2017	CLARK, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.09	0.00	2.09	90.0	1.88
03/01/2017	MURPHY, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2017	WEIDES, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.32	0.00	5.32	90.0	4.79
03/01/2017	ZINN, DIANE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.49	0.00	3.49	90.0	3.14
03/01/2017	LEVERMAN, PENNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.06	0.00	4.06	90.0	3.65
03/01/2017	HEIDENREICH, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.12	0.00	7.12	90.0	6.41
03/01/2017	GALENTINE, ASHLEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	90.0	0.71
03/01/2017	SORG, RIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	CSUHTA, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	90.0	2.42
03/01/2017	AMARO, SOPHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.13	0.00	6.13	90.0	5.52
03/01/2017	BENSON, KARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2017	ZIMMERMAN, PHYLLIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.80	0.00	3.80	90.0	3.42

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	WINFIELD, APRIL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	2.47
03/01/2017	MAHONY, KAMI LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	2.47
03/01/2017	NICOLET, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.46	0.00	14.46	90.0	13.01
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.75	0.00	2.75	90.0	2.48
03/01/2017	SAINSBURY, DALE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2017	SAMUDIO, SHERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.10	0.00	6.10	90.0	5.49
03/01/2017	WILKIN, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.03	0.00	4.03	90.0	3.63
03/01/2017	COCKROFT, EDYTHE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.83	0.00	3.83	90.0	3.45
03/01/2017	URICK, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.98	0.00	4.98	90.0	4.48
03/01/2017	WIGGINS, CHRISTA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.90	0.00	1.90	90.0	1.71
03/01/2017	ASCHLIMAN, BRETT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	RATTY, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	AMARO, ETHAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	MUSKIN, VERONICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.02	0.00	3.02	90.0	2.72
03/01/2017	MULDOON, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	COGDELL, CARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	NICOLET, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.61	0.00	7.61	90.0	6.85
03/01/2017	DELAGARZA, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.30	0.00	2.30	90.0	2.07
03/01/2017	HERBER, TRINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.99	0.00	4.99	90.0	4.49
03/01/2017	DERBYSHIRE, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2017	SAMELS, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	STANSBERRY, NANCY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	MEIER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2017	GEVERINK, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	GEVERINK, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.90	0.00	1.90	90.0	1.71
03/01/2017	EAGLESON, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2017	EAGLESON, SAMUEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	90.0	3.56
03/01/2017	OAKES, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	ZINN, JEANNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.79	0.00	7.79	90.0	7.01
03/01/2017	HEES, TAMERA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.73	0.00	3.73	90.0	3.36
03/01/2017	CACCAMO TRUST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.17	0.00	12.17	90.0	10.95
03/01/2017	FLORENCE, SHIRLEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	90.0	0.88
03/01/2017	LOWDEN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.47	0.00	16.47	90.0	14.82

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DEJOHN, SHARLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.11	0.00	10.11	90.0	9.10
03/01/2017	NEWBAUER, CAMERON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.18	0.00	4.18	90.0	3.76
03/01/2017	MURPHY, LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	MURPHY, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	90.0	1.00
03/03/2017	BAILEY, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.14	1.13	0.00	1.13	90.0	1.02
03/01/2017	ZINN, JEFFREY	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	MESEKE, GILBERT	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	LAYMAN, VICKI	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	WILKIN, CYNTHIA	AMERICAN FUNDS CORPORATE BOND FD A	0.00	0.15	0.00	0.15	90.0	0.14
/ /	GEVERINK, ANN	ASCENSUS COLLEGE SAV 194524518	0.00	1.43	0.00	1.43	90.0	1.29
02/27/2017	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	22.50	1.07	0.00	1.07	90.0	0.96
02/28/2017	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	18.00	0.86	0.00	0.86	90.0	0.77
02/24/2017	GEVERINK, ANN	ASCENSUS INA AMERICAN FUNDS EUROPAC	30.00	1.43	0.00	1.43	90.0	1.29
02/24/2017	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	152.00	7.22	0.00	7.22	90.0	6.50
02/28/2017	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	2.50	0.12	0.00	0.12	90.0	0.11
02/27/2017	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	22.50	1.07	0.00	1.07	90.0	0.96
02/28/2017	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	25.00	1.19	0.00	1.19	90.0	1.07
02/24/2017	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	40.00	1.30	0.00	1.30	90.0	1.17
02/24/2017	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	152.00	4.94	0.00	4.94	90.0	4.45
02/27/2017	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	45.00	1.46	0.00	1.46	90.0	1.31
02/28/2017	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	5.00	0.16	0.00	0.16	90.0	0.14
02/27/2017	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	15.00	0.49	0.00	0.49	90.0	0.44
02/24/2017	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	50.00	2.38	0.00	2.38	90.0	2.14
02/24/2017	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	608.00	28.88	0.00	28.88	90.0	25.99
02/27/2017	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	22.50	1.07	0.00	1.07	90.0	0.96
02/28/2017	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	8.75	0.42	0.00	0.42	90.0	0.38
03/03/2017	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	50.00	2.38	0.00	2.38	90.0	2.14
02/24/2017	GEVERINK, ANN	ASCENSUS-INA BLACKROCK LG CAP VALUE	50.00	2.38	0.00	2.38	90.0	2.14
02/24/2017	SIEGER, NORMAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	608.00	28.88	0.00	28.88	90.0	25.99
02/27/2017	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	22.50	1.07	0.00	1.07	90.0	0.96
02/28/2017	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	8.75	0.42	0.00	0.42	90.0	0.38
03/03/2017	GALENTINE, ASHLEY	ASCENSUS-INA BLACKROCK LG CAP VALUE	50.00	2.38	0.00	2.38	90.0	2.14
02/28/2017	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	10.00	0.33	0.00	0.33	90.0	0.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/22/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	100.00	4.75	0.00	4.75	90.0	4.28
02/28/2017	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	47.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	EAGLESON, MARTHA	INFLATION LINKED BOND FUND A	0.00	0.48	0.00	0.48	90.0	0.43
03/01/2017	EAGLESON, MARTHA	INFLATION LINKED BOND FUND A	0.00	2.99	0.00	2.99	90.0	2.69
03/01/2017	NICOLET, CHERYL	INFLATION LINKED BOND FUND A	0.00	8.25	0.00	8.25	90.0	7.43
03/01/2017	WILKIN, CYNTHIA	INFLATION LINKED BOND FUND A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	PEE, MICHAEL	INFLATION LINKED BOND FUND A	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2017	BUSH, RANDALL	INFLATION LINKED BOND FUND A	0.00	4.00	0.00	4.00	90.0	3.60
03/01/2017	HELLER, ADAM	INFLATION LINKED BOND FUND A	0.00	4.36	0.00	4.36	90.0	3.92
03/01/2017	PER, ADAM	INFLATION LINKED BOND FUND A	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2017	KEMERLY, JASON	INFLATION LINKED BOND FUND A	0.00	2.12	0.00	2.12	90.0	1.91
03/01/2017	LINSKY, MARCIA	INFLATION LINKED BOND FUND A	0.00	7.59	0.00	7.59	90.0	6.83
03/01/2017	ISLEY, CURTIS	INFLATION LINKED BOND FUND A	0.00	2.16	0.00	2.16	90.0	1.94
03/01/2017	BUSH, SANDRA	INFLATION LINKED BOND FUND A	0.00	1.85	0.00	1.85	90.0	1.67
03/01/2017	HELLER, ADAM	INFLATION LINKED BOND FUND A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	WEIDES, LISA	INFLATION LINKED BOND FUND A	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	SULLIVAN, DIAN	INFLATION LINKED BOND FUND A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	SULLIVAN, DIAN	INFLATION LINKED BOND FUND A	0.00	0.02	0.00	0.02	90.0	0.02
02/27/2017	MCDONALD, TINA	OPPENHEIMER SENIOR FLOATING RATE C	25.00	0.25	0.00	0.25	90.0	0.23
03/03/2017	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	90.0	3.60
03/02/2017	LUDWIG, KENDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.19	0.00	2.19	90.0	1.97
* MUTUAL FUNDS SUBTOTAL *			\$18,340.64	\$7,781.14	\$0.00	\$7,781.14		\$7,004.04
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2017	POSTMA, THELMA	JNL PERSPECTIVE II	19,925.54	8.30	0.00	8.30	90.0	7.47
02/28/2017	SIEBER, JANE	JNL PERSPECTIVE II	32,340.29	13.48	0.00	13.48	90.0	12.13
02/28/2017	SIEBER, PAUL	JNL PERSPECTIVE II	65,893.69	27.46	0.00	27.46	90.0	24.71
02/25/2017	ZINN, JEFFREY	NWL BOA NG SUR VUL	600.00	12.00	0.00	12.00	90.0	10.80
* VARIABLE ANNUITIES SUBTOTAL *			\$118,759.52	\$61.24	\$0.00	\$61.24		\$55.11
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/28/2017	LAYMAN, VARIOUS	DREYFUS	0.00	7.33	0.00	7.33	90.0	6.60
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$7.33	\$0.00	\$7.33		\$6.60

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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: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/25/2017	SHANK, DEAN	ING ACCESS	0.00	271.06	0.00	271.06	90.0	243.95
02/21/2017	FLEEGER, JANICE	TRANSAMERICA TRAILS	0.00	64.31	0.00	64.31	90.0	57.88
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$335.37	\$0.00	\$335.37		\$301.83
*** BROKER TRANSACTIONS TOTAL ***			\$137,100.16	\$8,195.53	\$0.00	\$8,195.53		\$7,376.99

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209**

02/28/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	2.97	0.00	2.97	90.0	2.67
02/28/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	2.06	0.00	2.06	90.0	1.85
03/01/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	0.00	0.70	0.00	0.70	90.0	0.63
02/28/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	117.34	1.74	0.00	1.74	90.0	1.57
02/28/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	100.33	1.49	0.00	1.49	90.0	1.34
03/01/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	0.00	0.52	0.00	0.52	90.0	0.47
02/28/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	4.12	0.00	4.12	90.0	3.71
02/28/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	2.06	0.00	2.06	90.0	1.85
03/01/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	0.00	0.88	0.00	0.88	90.0	0.79
03/01/2017	DREW, KEVIN	AM FUNDS 2050 TARGET DATE-A	0.00	1.01	0.00	1.01	90.0	0.91
02/28/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	215.38	3.20	0.00	3.20	90.0	2.88
02/28/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	129.23	1.92	0.00	1.92	90.0	1.73
03/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	0.00	4.30	0.00	4.30	90.0	3.87
03/01/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	0.00	0.84	0.00	0.84	90.0	0.76
02/28/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.75	0.00	1.75	90.0	1.58
03/01/2017	WILLIAMS, RENETTA	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	VICKREY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.39	0.00	0.39	90.0	0.35
03/01/2017	FITCH, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	90.0	0.64
03/01/2017	LITWINKO, TERI	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	GARNER, DOMONIQUE	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	GARNER, DOMONIQUE	AM FUNDS AMERICAN BALANCED A	0.00	2.69	0.00	2.69	90.0	2.42
03/01/2017	WOODSON, SHELDON	AM FUNDS AMERICAN BALANCED A	0.00	1.20	0.00	1.20	90.0	1.08
03/01/2017	STRACK, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.32	0.00	0.32	90.0	0.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
03/01/2017	SCHENKEL, HUNTER	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2017	STANLEY, LAURA	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	HABESHY, MAGDY	AM FUNDS AMERICAN BALANCED C	0.00	4.67	0.00	4.67	90.0	4.20
03/01/2017	WOODSON, SHELDON	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.70	0.00	0.70	90.0	0.63
03/01/2017	STANLEY, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	WILLIAMS, RENETTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	90.0	0.49
03/01/2017	SCHENKE, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	WOODSON, SHELDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	ROOS, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	VICKREY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.76	0.00	0.76	90.0	0.68
03/01/2017	SCHENKE, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	FITCH, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	WOODSON, SHELDON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.00	0.00	0.00	90.0	0.00
03/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.08	0.00	0.08	90.0	0.07
03/01/2017	SCHENKE, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.38	0.00	0.38	90.0	0.34
02/28/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	VICKREY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	SCHENKE, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	90.0	1.37
03/01/2017	FITCH, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2017	WOODSON, SHELDON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
03/01/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	STRACK, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	SCHENKE, JOSEPH	AM FUNDS ICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	WILLIAMS, RENETTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	SCHENKE, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2017	WOODSON, SHELDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42

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<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
03/01/2017	WOODSON, SHELDON	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	SCHENKE, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	0.46	0.00	0.46	90.0	0.41
03/01/2017	SCHENKE, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	WOODSON, SHELDON	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.27	0.00	0.27	90.0	0.24
02/27/2017	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	0.84	0.00	0.84	90.0	0.76
02/24/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
02/24/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
02/28/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.10	0.00	0.10	90.0	0.09
/ /	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.57	0.00	0.57	90.0	0.51
02/24/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.13	0.00	0.13	90.0	0.12
02/24/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	90.0	0.09
02/28/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.24	0.00	0.24	90.0	0.22
02/28/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.41	0.00	0.41	90.0	0.37
02/28/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.24	0.00	0.24	90.0	0.22
02/24/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
02/28/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
02/24/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.64	0.00	0.64	90.0	0.58
02/24/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
02/24/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
02/27/2017	BURTNETTE, PATRICIA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.06	0.00	14.06	90.0	12.65
02/28/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.10	0.00	0.10	90.0	0.09
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$1,996.12	\$82.22	\$0.00	\$82.22		\$74.03
*** SPLIT TRANSACTIONS TOTAL ***			\$1,996.12	\$82.22	\$0.00	\$82.22		\$74.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM LAYMAN #207 </u>								
02/27/2017	LAYMAN, GEOFFREY	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	45.0	1.13
03/01/2017	LAYMAN, GEOFFREY	AM FUNDS AMERICAN BALANCED A	0.00	0.66	0.00	0.66	45.0	0.30
03/01/2017	BOUTWELL, SHANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.31	0.00	33.31	45.0	14.99
* WILLIAM LAYMAN SUBTOTAL *			\$50.00	\$36.47	\$0.00	\$36.47		\$16.42
*** OVERRIDE TRANSACTIONS TOTAL ***			\$50.00	\$36.47	\$0.00	\$36.47		\$16.42

ADJUSTMENTS

03/15/2017	*EO INSURANCE: CURRENT MONTH INS	0.00						-300.00
03/15/2017	*EO INSURANCE: CURRENT MONTH INS-BI	0.00						-300.00
03/15/2017	*PERSHING: BOOKS AND RECORDS	0.00						-4.50
03/15/2017	*PERSHING: MF PROSPECTUS	0.00						-1.54
03/15/2017	*PERSHING: MF PROSPECTUS	0.00						-0.54
03/15/2017	*TECH: ADMIN J WRIGHT	0.00						-100.00
03/15/2017	*TECH: ALBRIDGE FULL	0.00						-100.00
03/15/2017	*TECHNOLOGY: ADMIN - JAMIE BERNDT	0.00						-100.00
03/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
03/15/2017	*TECHNOLOGY: CURRENT MONTH TECH (BI	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,456.58

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BROKER COMMISSION TOTALS

Broker Transactions	\$7,376.99
Split Transactions	\$74.03
Override Transactions	\$16.42
Adjustments	\$-1,456.58
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-501.02
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$5,509.84
Year-to-date Gross	\$12,999.23
Year-to-date Earnings	\$11,269.19