



Concorde Investment Services, LLC

03/14/2017

Page No. 1

COMMISSION STATEMENT

March 15, 2017

JOHN ROSS
7261 W. Central Ave.

BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KIEFER, SUSAN	AM FUNDS 2010 TARGET DATE-A	0.00	5.65	0.00	5.65	92.0	5.20
03/01/2017	BEVILLE, RANDY	AM FUNDS 2015 TARGET DATE R2	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	SCHOEN, ELIZABETH	AM FUNDS 2015 TARGET DATE R2	0.00	166.06	0.00	166.06	92.0	152.78
03/01/2017	SCHOEN, JONATHAN	AM FUNDS 2015 TARGET DATE R2	0.00	218.32	0.00	218.32	92.0	200.85
03/01/2017	TROUT, TINA	AM FUNDS 2020 TARGET DATE-A	0.00	6.94	0.00	6.94	92.0	6.38
03/01/2017	BEVILLE, RANDY	AM FUNDS 2020 TARGET DATE-R2	0.00	3.39	0.00	3.39	92.0	3.12
03/01/2017	XU, YING	AM FUNDS 2020 TARGET DATE-R2	0.00	3.47	0.00	3.47	92.0	3.19
03/01/2017	SAYERS, JOHN	AM FUNDS 2025 TARGET DATE R2	0.00	11.95	0.00	11.95	92.0	10.99
03/01/2017	PIDCOCK, ERIC	AM FUNDS 2025 TARGET DATE R2	0.00	27.12	0.00	27.12	92.0	24.95
03/01/2017	LISKAI, JASON	AM FUNDS 2025 TARGET DATE R2	0.00	42.94	0.00	42.94	92.0	39.50
03/01/2017	CONKLIN, DAVID	AM FUNDS 2035 TARGET DATE R2	0.00	8.48	0.00	8.48	92.0	7.80
03/01/2017	MILLER, JEFFREY	AM FUNDS 2035 TARGET DATE R2	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	MAWHORTER, TIMOTHY	AM FUNDS 2045 TARGET DATE-A	0.00	8.27	0.00	8.27	92.0	7.61
03/01/2017	KIEFER, SUSAN	AM FUNDS 2055 TARGET DATE-A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	TROUT, TINA	AM FUNDS 2055 TARGET DATE-A	0.00	5.87	0.00	5.87	92.0	5.40
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP 529A	0.00	1.78	0.00	1.78	92.0	1.64
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.62	0.00	2.62	92.0	2.41
03/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.62	0.00	2.62	92.0	2.41
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMCAP A	0.00	6.73	0.00	6.73	92.0	6.19
03/01/2017	BLAKE, MIRIAM	AM FUNDS AMCAP A	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMCAP A	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMCAP A	0.00	2.45	0.00	2.45	92.0	2.25
03/01/2017	VALADE, JOHN	AM FUNDS AMCAP A	0.00	15.77	0.00	15.77	92.0	14.51
03/01/2017	HEINAMAN, ROBERT	AM FUNDS AMCAP A	0.00	12.99	0.00	12.99	92.0	11.95

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>								
03/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	BOCHI, ANDREW	AM FUNDS AMCAP A	0.00	3.49	0.00	3.49	92.0	3.21
03/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2017	ROSS, SALLY	AM FUNDS AMCAP A	0.00	3.15	0.00	3.15	92.0	2.90
03/01/2017	KRALL, GARY	AM FUNDS AMCAP A	0.00	3.06	0.00	3.06	92.0	2.82
03/01/2017	GARDNER, SHARYL	AM FUNDS AMCAP A	0.00	6.99	0.00	6.99	92.0	6.43
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMCAP A	0.00	1.93	0.00	1.93	92.0	1.78
03/01/2017	RONEY, LINDA	AM FUNDS AMCAP A	0.00	27.38	0.00	27.38	92.0	25.19
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP A	0.00	3.49	0.00	3.49	92.0	3.21
03/01/2017	DAY, CHERYL	AM FUNDS AMCAP A	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP A	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	PILEWSKI, JOHN	AM FUNDS AMCAP A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2017	GOYER, TIMOTHY	AM FUNDS AMCAP A	0.00	1.74	0.00	1.74	92.0	1.60
03/01/2017	SMOOT, C STEVEN	AM FUNDS AMCAP A	0.00	17.74	0.00	17.74	92.0	16.32
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS AMCAP A	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2017	BARE III, HARRY	AM FUNDS AMCAP A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2017	MURPHY, JACK	AM FUNDS AMCAP A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	GLORE, DANIEL	AM FUNDS AMCAP A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	MURPHY, CAROL	AM FUNDS AMCAP A	0.00	3.82	0.00	3.82	92.0	3.51
03/01/2017	SHAFFER, DENISE	AM FUNDS AMCAP A	0.00	3.09	0.00	3.09	92.0	2.84
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS AMCAP A	0.00	0.37	0.00	0.37	92.0	0.34
03/01/2017	ISAACSON, ROBERT	AM FUNDS AMCAP A	0.00	2.01	0.00	2.01	92.0	1.85
03/01/2017	ZINK, KARIS	AM FUNDS AMCAP A	0.00	2.72	0.00	2.72	92.0	2.50
03/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	16.97	0.00	16.97	92.0	15.61
03/01/2017	DECKER, MARY BETH	AM FUNDS AMCAP A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	HAUSER, ROBERT	AM FUNDS AMCAP A	0.00	18.46	0.00	18.46	92.0	16.98
03/01/2017	HAUSER, RONALD	AM FUNDS AMCAP A	0.00	3.98	0.00	3.98	92.0	3.66
03/01/2017	STUBLESKI, DANIEL	AM FUNDS AMCAP A	0.00	7.21	0.00	7.21	92.0	6.63
03/01/2017	TARRIS, CHRISTINE	AM FUNDS AMCAP A	0.00	2.95	0.00	2.95	92.0	2.71
03/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	2.45	0.00	2.45	92.0	2.25
03/01/2017	MOLNAR, JOSEPH	AM FUNDS AMCAP A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	ROSS, DANIEL	AM FUNDS AMCAP A	0.00	1.23	0.00	1.23	92.0	1.13

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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	FAIRCHILD, DANA	AM FUNDS AMCAP A	0.00	4.48	0.00	4.48	92.0	4.12
03/01/2017	WALBERG, PAUL	AM FUNDS AMCAP A	0.00	2.49	0.00	2.49	92.0	2.29
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMCAP A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	CURSON, STEVE	AM FUNDS AMCAP A	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	ROSANIA, MICHAEL	AM FUNDS AMCAP A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	LECHUGA, CARRIE	AM FUNDS AMCAP A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	KISER, ELIZABETH	AM FUNDS AMCAP A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	OBERT, DEBORA	AM FUNDS AMCAP A	0.00	0.99	0.00	0.99	92.0	0.91
03/01/2017	FLEMING, ANDREA	AM FUNDS AMCAP A	0.00	7.21	0.00	7.21	92.0	6.63
03/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	0.97	0.00	0.97	92.0	0.89
03/01/2017	HILES, MARC	AM FUNDS AMCAP A	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2017	SMITH, SUZANNE	AM FUNDS AMCAP A	0.00	8.72	0.00	8.72	92.0	8.02
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMCAP A	0.00	0.84	0.00	0.84	92.0	0.77
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMCAP A	0.00	2.74	0.00	2.74	92.0	2.52
03/01/2017	GOYER, CALLIE	AM FUNDS AMCAP A	0.00	3.12	0.00	3.12	92.0	2.87
03/01/2017	SMITH, MARK	AM FUNDS AMCAP A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	SMITH, PADRAIC	AM FUNDS AMCAP A	0.00	2.58	0.00	2.58	92.0	2.37
03/01/2017	HALSEY, WILLIAM D	AM FUNDS AMCAP A	0.00	10.12	0.00	10.12	92.0	9.31
03/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.19	0.00	0.19	92.0	0.17
03/01/2017	GERMAN, MARIANNE	AM FUNDS AMCAP A	0.00	1.90	0.00	1.90	92.0	1.75
03/01/2017	GODFREY, TIMOTHY	AM FUNDS AMCAP A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	ZINK, ROBERT	AM FUNDS AMCAP A	0.00	4.14	0.00	4.14	92.0	3.81
03/01/2017	LARSON, PENNY	AM FUNDS AMCAP A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	GOYER, GRACE	AM FUNDS AMCAP A	0.00	1.52	0.00	1.52	92.0	1.40
03/01/2017	MCFARLAND, BRANDON	AM FUNDS AMCAP A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	DRAKE, ERIC	AM FUNDS AMCAP A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	GROSVENOR, JOHN	AM FUNDS AMCAP A	0.00	0.68	0.00	0.68	92.0	0.63
03/01/2017	MOON, CHARLES	AM FUNDS AMCAP A	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	8.26	0.00	8.26	92.0	7.60
03/01/2017	COLEMAN, PARISS	AM FUNDS AMCAP A	0.00	2.78	0.00	2.78	92.0	2.56
03/01/2017	XU, YING	AM FUNDS AMCAP R2	0.00	3.37	0.00	3.37	92.0	3.10

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	4.06	0.00	4.06	92.0	3.74
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	0.69	0.00	0.69	92.0	0.63
03/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	3.30	0.00	3.30	92.0	3.04
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMERICAN BALANCED A	0.00	3.27	0.00	3.27	92.0	3.01
03/01/2017	GRANT, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	DREIER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	92.0	1.13
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	VALADE, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	HEINAMAN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	29.99	0.00	29.99	92.0	27.59
03/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.98	0.00	0.98	92.0	0.90
03/01/2017	MILLER, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.27	0.00	1.27	92.0	1.17
03/01/2017	SWINDLE, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	KRALL, GARY	AM FUNDS AMERICAN BALANCED A	0.00	3.25	0.00	3.25	92.0	2.99
03/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN BALANCED A	0.00	9.10	0.00	9.10	92.0	8.37
03/01/2017	ZUCCARELL, HEATHER	AM FUNDS AMERICAN BALANCED A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN BALANCED A	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	WOODRUFF, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED A	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	MOORE, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	1.63	0.00	1.63	92.0	1.50
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN BALANCED A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	92.0	0.11
03/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN BALANCED A	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	2.67	0.00	2.67	92.0	2.46
03/01/2017	MURPHY, JACK	AM FUNDS AMERICAN BALANCED A	0.00	2.03	0.00	2.03	92.0	1.87
03/01/2017	HUDAK, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2017	HUDAK, STASIA	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	92.0	0.98
03/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	2.44	0.00	2.44	92.0	2.24
03/01/2017	WASSERMAN, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	21.63	0.00	21.63	92.0	19.90

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	1.07	0.00	1.07	92.0	0.98
03/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.45	0.00	7.45	92.0	6.85
03/01/2017	HUDAK, DARLA	AM FUNDS AMERICAN BALANCED A	0.00	2.89	0.00	2.89	92.0	2.66
03/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	92.0	2.31
03/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	92.0	1.88
03/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	4.93	0.00	4.93	92.0	4.54
03/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	1.62	0.00	1.62	92.0	1.49
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN BALANCED A	0.00	1.63	0.00	1.63	92.0	1.50
03/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN BALANCED A	0.00	2.81	0.00	2.81	92.0	2.59
03/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.62	0.00	4.62	92.0	4.25
03/01/2017	ROSS, KRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	1.87	0.00	1.87	92.0	1.72
03/01/2017	KISER, ELIZABETH	AM FUNDS AMERICAN BALANCED A	0.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	BRILLHART, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	2.95	0.00	2.95	92.0	2.71
03/01/2017	WASSERMAN, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	6.32	0.00	6.32	92.0	5.81
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	14.36	0.00	14.36	92.0	13.21
03/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.97	0.00	1.97	92.0	1.81
03/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	7.46	0.00	7.46	92.0	6.86
03/01/2017	SMITH, PADRAIC	AM FUNDS AMERICAN BALANCED A	0.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	WASSERMAN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	4.11	0.00	4.11	92.0	3.78
03/01/2017	LARSON, PENNY	AM FUNDS AMERICAN BALANCED A	0.00	2.03	0.00	2.03	92.0	1.87
03/01/2017	COUSINO, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	BAKER-KANOUS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	5.13	0.00	5.13	92.0	4.72
03/01/2017	GROSVENOR, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.99	0.00	0.99	92.0	0.91
03/01/2017	STOUT, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	FAIRCHILD, KERRY	AM FUNDS AMERICAN BALANCED A	0.00	4.37	0.00	4.37	92.0	4.02
03/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	BIHN, JANELLE	AM FUNDS AMERICAN BALANCED A	0.00	0.98	0.00	0.98	92.0	0.90

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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	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	9.54	0.00	9.54	92.0	8.78
03/01/2017	ROSS, NICOLE	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	92.0	1.40
03/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN BALANCED A	0.00	3.11	0.00	3.11	92.0	2.86
03/01/2017	TOLEDO GLASS	AM FUNDS AMERICAN BALANCED R2	0.00	0.33	0.00	0.33	92.0	0.30
03/01/2017	RINKOWSKI, JOHN	AM FUNDS AMERICAN BALANCED R2	0.00	35.73	0.00	35.73	92.0	32.87
03/01/2017	TROUT, TINA	AM FUNDS AMERICAN BALANCED R2	0.00	15.69	0.00	15.69	92.0	14.43
03/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED R2	0.00	19.51	0.00	19.51	92.0	17.95
03/01/2017	TROUT, KRISOPHER	AM FUNDS AMERICAN BALANCED R2	0.00	46.60	0.00	46.60	92.0	42.87
03/01/2017	HOLMES, JAMES	AM FUNDS AMERICAN BALANCED R2	0.00	8.84	0.00	8.84	92.0	8.13
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.24	0.00	0.24	92.0	0.22
03/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
03/01/2017	OH/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	5,000.00	150.00	0.00	150.00	92.0	138.00
03/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.66	0.00	3.66	92.0	3.37
03/01/2017	DREIER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.26	0.00	10.26	92.0	9.44
03/01/2017	BOCHI, ANDREW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.00	0.00	5.00	92.0	4.60
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.79	0.00	1.79	92.0	1.65
03/01/2017	KRALL, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.27	0.00	1.27	92.0	1.17
03/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.23	0.00	1.23	92.0	1.13
03/01/2017	DURIS, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.62	0.00	4.62	92.0	4.25
03/01/2017	BARE, HELEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.84	0.00	0.84	92.0	0.77
03/01/2017	PILEWSKI, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	GOYER, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.83	0.00	5.83	92.0	5.36
03/01/2017	ZAENGER, KYLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.87	0.00	0.87	92.0	0.80
03/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.94	0.00	1.94	92.0	1.78
03/01/2017	URSITTI, MATTHEW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.56	0.00	0.56	92.0	0.52
03/01/2017	KREMPA, CLAUDE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.60	0.00	2.60	92.0	2.39
03/01/2017	SHAFFER, LOREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2017	HUNTER, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.00	0.00	4.00	92.0	3.68
03/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.15	0.00	1.15	92.0	1.06
03/01/2017	KOTLARCZYK, JANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.75	0.00	0.75	92.0	0.69

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GLORE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.31	0.00	1.31	92.0	1.21
03/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.14	0.00	4.14	92.0	3.81
03/01/2017	BIHN, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	20.52	0.00	20.52	92.0	18.88
03/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	CASTOR, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.53	0.00	0.53	92.0	0.49
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.56	0.00	0.56	92.0	0.52
03/01/2017	MANN, SUNDAY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.63	0.00	0.63	92.0	0.58
03/01/2017	REED, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.51	0.00	2.51	92.0	2.31
03/01/2017	REED, COLLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.51	0.00	2.51	92.0	2.31
03/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.63	0.00	1.63	92.0	1.50
03/01/2017	ROSS, PATRICK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	ZARAGOZA, JULIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	ZARAGOZA, VICTOR	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.34	0.00	5.34	92.0	4.91
03/01/2017	CESSNA, JENI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	WARNER, COREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.64	0.00	3.64	92.0	3.35
03/01/2017	SCANLAN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	GERMAN, MARIANNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	CARVER, DENISE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	FISCHER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.10	0.00	1.10	92.0	1.01
03/01/2017	FOX, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	HAUETER, GREGORY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.02	0.00	2.02	92.0	1.86
03/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	8.26	0.00	8.26	92.0	7.60
03/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	12.82	0.00	12.82	92.0	11.79
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.48	0.00	3.48	92.0	3.20
03/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.18	0.00	2.18	92.0	2.01
03/01/2017	KORAKAS, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.50	0.00	1.50	92.0	1.38
03/01/2017	HILES, MARC	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.06	0.00	2.06	92.0	1.90
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.41	0.00	1.41	92.0	1.30
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.24	0.00	0.24	92.0	0.22

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	WHITENBURG, DAWN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	9.44	0.00	9.44	92.0	8.68
03/01/2017	SCHOEN, ELIZABETH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	45.70	0.00	45.70	92.0	42.04
03/01/2017	CONKLIN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	SCHOEN, JONATHAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	59.76	0.00	59.76	92.0	54.98
03/01/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.13	0.00	2.13	92.0	1.96
03/01/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	0.00	5.65	0.00	5.65	92.0	5.20
03/01/2017	CARVER, DENISE	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	BECK, JOHN	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.12	0.00	0.12	92.0	0.11
03/01/2017	BECK, JOHN	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.12	0.00	0.12	92.0	0.11
03/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.71	0.00	2.71	92.0	2.49
03/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.71	0.00	2.71	92.0	2.49
03/01/2017	OH/TOD	AM FUNDS AMERICAN MUTUAL A	7,500.00	281.25	0.00	281.25	92.0	258.75
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS AMERICAN MUTUAL A	0.00	6.86	0.00	6.86	92.0	6.31
03/01/2017	MOORE, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.09	0.00	1.09	92.0	1.00
03/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN MUTUAL A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2017	DREIER, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.31	0.00	1.31	92.0	1.21
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	2.47	0.00	2.47	92.0	2.27
03/01/2017	VALADE, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	3.85	0.00	3.85	92.0	3.54
03/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	1.29	0.00	1.29	92.0	1.19
03/01/2017	REEVES, DIANE	AM FUNDS AMERICAN MUTUAL A	0.00	0.87	0.00	0.87	92.0	0.80
03/01/2017	ROSS, SALLY	AM FUNDS AMERICAN MUTUAL A	0.00	2.89	0.00	2.89	92.0	2.66
03/01/2017	KRALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.43	0.00	3.43	92.0	3.16
03/01/2017	GARDNER, SHARYL	AM FUNDS AMERICAN MUTUAL A	0.00	6.86	0.00	6.86	92.0	6.31
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMERICAN MUTUAL A	0.00	2.58	0.00	2.58	92.0	2.37
03/01/2017	BARE, HELEN	AM FUNDS AMERICAN MUTUAL A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2017	MOORE, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	3.30	0.00	3.30	92.0	3.04
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN MUTUAL A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	BARE III, HARRY	AM FUNDS AMERICAN MUTUAL A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2017	MURPHY, JACK	AM FUNDS AMERICAN MUTUAL A	0.00	2.14	0.00	2.14	92.0	1.97

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN MUTUAL A	0.00	2.57	0.00	2.57	92.0	2.36
03/01/2017	ISAACSON, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	8.76	0.00	8.76	92.0	8.06
03/01/2017	ZINK, KARIS	AM FUNDS AMERICAN MUTUAL A	0.00	3.67	0.00	3.67	92.0	3.38
03/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	17.06	0.00	17.06	92.0	15.70
03/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	4.86	0.00	4.86	92.0	4.47
03/01/2017	SUTHERLAND, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	KORAL, ANDREW	AM FUNDS AMERICAN MUTUAL A	0.00	1.08	0.00	1.08	92.0	0.99
03/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN MUTUAL A	0.00	3.38	0.00	3.38	92.0	3.11
03/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN MUTUAL A	0.00	4.74	0.00	4.74	92.0	4.36
03/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN MUTUAL A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	3.76	0.00	3.76	92.0	3.46
03/01/2017	CURSON, STEVE	AM FUNDS AMERICAN MUTUAL A	0.00	1.77	0.00	1.77	92.0	1.63
03/01/2017	PASCHAL, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	3.21	0.00	3.21	92.0	2.95
03/01/2017	ROSANIA, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	ROSANIA, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	LECHUGA, CARRIE	AM FUNDS AMERICAN MUTUAL A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	SCHNEE, LEO	AM FUNDS AMERICAN MUTUAL A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2017	OBERT, DEBORA	AM FUNDS AMERICAN MUTUAL A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2017	WASSERMAN, FRANK	AM FUNDS AMERICAN MUTUAL A	0.00	11.59	0.00	11.59	92.0	10.66
03/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.38	0.00	3.38	92.0	3.11
03/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.33	0.00	1.33	92.0	1.22
03/01/2017	HILES, MARC	AM FUNDS AMERICAN MUTUAL A	0.00	4.97	0.00	4.97	92.0	4.57
03/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN MUTUAL A	0.00	6.75	0.00	6.75	92.0	6.21
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	2.35	0.00	2.35	92.0	2.16
03/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN MUTUAL A	0.00	25.81	0.00	25.81	92.0	23.75
03/01/2017	MCLAUGHLIN, JAIME	AM FUNDS AMERICAN MUTUAL A	0.00	0.17	0.00	0.17	92.0	0.16
03/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.74	0.00	1.74	92.0	1.60
03/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	GODFREY, TIMOTHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.15	0.00	4.15	92.0	3.82
03/01/2017	LARSON, PENNY	AM FUNDS AMERICAN MUTUAL A	0.00	3.30	0.00	3.30	92.0	3.04
03/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN MUTUAL A	0.00	0.31	0.00	0.31	92.0	0.29

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	DRAKE, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2017	STOUT, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	MOON, CHARLES	AM FUNDS AMERICAN MUTUAL A	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	0.00	7.30	0.00	7.30	92.0	6.72
03/03/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	TROUT, TINA	AM FUNDS AMERICAN MUTUAL R2	0.00	13.67	0.00	13.67	92.0	12.58
03/01/2017	THOMAS, KATHY	AM FUNDS AMERICAN MUTUAL R2	0.00	8.42	0.00	8.42	92.0	7.75
03/01/2017	BEVILLE, RANDY	AM FUNDS AMERICAN MUTUAL R2	0.00	2.34	0.00	2.34	92.0	2.15
03/01/2017	OH/TOD	AM FUNDS BOND FUND OF AMERICA A	5,000.00	150.00	0.00	150.00	92.0	138.00
03/01/2017	HEINAMAN, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
03/01/2017	BLAKE, MIRIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	DREIER, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2017	BOCHI, ANDREW	AM FUNDS BOND FUND OF AMERICA A	0.00	2.76	0.00	2.76	92.0	2.54
03/01/2017	MILLER, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	REEVES, DIANE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	PEARSON, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	KRALL, GARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	GARDNER, SHARYL	AM FUNDS BOND FUND OF AMERICA A	0.00	15.22	0.00	15.22	92.0	14.00
03/01/2017	BARE, HELEN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	MOLNAR, JOSEPH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	DAY, CHERYL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	BARE III, HARRY	AM FUNDS BOND FUND OF AMERICA A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	KREMPA, CLAUDE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.19	0.00	2.19	92.0	2.01
03/01/2017	MURPHY, JACK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.58	0.00	1.58	92.0	1.45
03/01/2017	IRWIN, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.73	0.00	3.73	92.0	3.43
03/01/2017	HAUSER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	5.08	0.00	5.08	92.0	4.67
03/01/2017	CURSON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	MANN, SUNDAY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.33	0.00	0.33	92.0	0.30
03/01/2017	PASCHAL, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	1.84	0.00	1.84	92.0	1.69
03/01/2017	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	10.72	0.00	10.72	92.0	9.86
03/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	2.11	0.00	2.11	92.0	1.94

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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	WALBERG, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	WASSERMAN, FRANK	AM FUNDS BOND FUND OF AMERICA A	0.00	8.17	0.00	8.17	92.0	7.52
03/01/2017	COUSINO, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	2.78	0.00	2.78	92.0	2.56
03/01/2017	DONNELLY, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	TROUT, TINA	AM FUNDS BOND FUND OF AMERICA R2	0.00	5.78	0.00	5.78	92.0	5.32
03/01/2017	BEVILLE, RANDY	AM FUNDS BOND FUND OF AMERICA R2	0.00	5.21	0.00	5.21	92.0	4.79
03/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.86	0.00	2.86	92.0	2.63
03/01/2017	KALE, DENNIS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.67	0.00	1.67	92.0	1.54
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	BECK, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.15	0.00	0.15	92.0	0.14
03/01/2017	BECK, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.15	0.00	0.15	92.0	0.14
03/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.42	0.00	3.42	92.0	3.15
03/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.42	0.00	3.42	92.0	3.15
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.59	0.00	3.59	92.0	3.30
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.14	0.00	7.14	92.0	6.57
03/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	92.0	2.80
03/01/2017	MOORE, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.43	0.00	1.43	92.0	1.32
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.84	0.00	2.84	92.0	2.61
03/01/2017	VALADE, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.65	0.00	7.65	92.0	7.04
03/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.91	0.00	19.91	92.0	18.32
03/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	92.0	1.99
03/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.28	0.00	3.28	92.0	3.02
03/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	REEVES, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	92.0	1.76

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	ROSS, SALLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.39	0.00	3.39	92.0	3.12
03/01/2017	HENDERSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	COMBS, ROXANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	92.0	1.99
03/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	KRALL, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.88	0.00	3.88	92.0	3.57
03/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.95	0.00	10.95	92.0	10.07
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.88	0.00	6.88	92.0	6.33
03/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	BARE, HELEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.93	0.00	3.93	92.0	3.62
03/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
03/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	DAY, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	92.0	1.50
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	92.0	1.13
03/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.91	0.00	2.91	92.0	2.68
03/01/2017	MOORE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.06	0.00	3.06	92.0	2.82
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	92.0	1.40
03/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	GRANT, MEGAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	GRANT, AUDREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.48	0.00	20.48	92.0	18.84
03/01/2017	BARE III, HARRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.32	0.00	2.32	92.0	2.13
03/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.25	0.00	3.25	92.0	2.99
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.57	0.00	2.57	92.0	2.36
03/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	ZENK, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	92.0	0.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MURPHY, JACK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.76	0.00	3.76	92.0	3.46
03/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.02	0.00	5.02	92.0	4.62
03/01/2017	BIHN, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.88	0.00	1.88	92.0	1.73
03/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.44	0.00	4.44	92.0	4.08
03/01/2017	ZINK, KARIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.61	0.00	3.61	92.0	3.32
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	23.49	0.00	23.49	92.0	21.61
03/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.38	0.00	7.38	92.0	6.79
03/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.27	0.00	5.27	92.0	4.85
03/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.97	0.00	6.97	92.0	6.41
03/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.11	0.00	4.11	92.0	3.78
03/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.05	0.00	4.05	92.0	3.73
03/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2017	ROSS, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.67	0.00	3.67	92.0	3.38
03/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.92	0.00	1.92	92.0	1.77
03/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.31	0.00	5.31	92.0	4.89
03/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.73	0.00	2.73	92.0	2.51
03/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.03	0.00	3.03	92.0	2.79
03/01/2017	CURSON, STEVE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.38	0.00	2.38	92.0	2.19
03/01/2017	MANN, SUNDAY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.89	0.00	0.89	92.0	0.82
03/01/2017	REED, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.74	0.00	1.74	92.0	1.60
03/01/2017	REED, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.74	0.00	1.74	92.0	1.60
03/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.65	0.00	2.65	92.0	2.44
03/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.04	0.00	6.04	92.0	5.56
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.09	0.00	0.09	92.0	0.08
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	ROSS, KRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.04	0.00	2.04	92.0	1.88
03/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	92.0	0.86

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KISER, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	92.0	0.98
03/01/2017	ROSS, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	92.0	1.26
03/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.31	0.00	16.31	92.0	15.01
03/01/2017	YOSHINO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	92.0	1.31
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.06	0.00	3.06	92.0	2.82
03/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	WARNER, COREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.71	0.00	9.71	92.0	8.93
03/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.57	0.00	3.57	92.0	3.28
03/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	KRALL, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	BRILLHART, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	FOX, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.34	0.00	3.34	92.0	3.07
03/01/2017	KOZLOWSKI, KENNETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	HAUETER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.95	0.00	20.95	92.0	19.27
03/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.36	0.00	14.36	92.0	13.21
03/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	WASSERMAN, FRANK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.97	0.00	11.97	92.0	11.01
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.51	0.00	16.51	92.0	15.19
03/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.06	0.00	3.06	92.0	2.82
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.07	0.00	3.07	92.0	2.82
03/01/2017	IRWIN, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.49	0.00	3.49	92.0	3.21
03/01/2017	HILES, MARC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.99	0.00	3.99	92.0	3.67
03/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	0.00	1.93	92.0	1.78
03/01/2017	SMITH, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.28	0.00	4.28	92.0	3.94

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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	DUBENDORFER, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	PELLIONI, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.41	0.00	5.41	92.0	4.98
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.73	0.00	7.73	92.0	7.11
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.86	0.00	2.86	92.0	2.63
03/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.86	0.00	2.86	92.0	2.63
03/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	WASSERMAN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.77	0.00	1.77	92.0	1.63
03/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.09	0.00	5.09	92.0	4.68
03/01/2017	LARSON, PENNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.05	0.00	3.05	92.0	2.81
03/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	92.0	1.34
03/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	GROSVENOR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	STOUT, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.25	0.00	6.25	92.0	5.75
03/01/2017	BIHN, JANELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2017	MOON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.03	0.00	2.03	92.0	1.87
03/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	92.0	1.31
03/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.57	0.00	9.57	92.0	8.80
03/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.89	0.00	1.89	92.0	1.74
03/01/2017	RINKOWSKI, JOHN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	28.70	0.00	28.70	92.0	26.40
03/01/2017	TROUT, TINA	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	13.82	0.00	13.82	92.0	12.71
03/01/2017	HERR, GREGORY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	21.93	0.00	21.93	92.0	20.18
03/01/2017	LAYTART, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	0.19	0.00	0.19	92.0	0.17
03/01/2017	WARREN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	4.44	0.00	4.44	92.0	4.08
03/01/2017	THOMAS, KATHY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	8.39	0.00	8.39	92.0	7.72
03/01/2017	BEVILLE, RANDY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	20.39	0.00	20.39	92.0	18.76
03/01/2017	KNAPP, SYLKE	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	16.00	0.00	16.00	92.0	14.72
03/01/2017	VALADE, JOHN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	97.52	0.00	97.52	92.0	89.72

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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	WHITENBURG, DAWN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	9.60	0.00	9.60	92.0	8.83
03/01/2017	SPECK, SHELLY	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	14.79	0.00	14.79	92.0	13.61
03/01/2017	SCHOEN, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	48.68	0.00	48.68	92.0	44.79
03/01/2017	HOLMES, JAMES	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	7.64	0.00	7.64	92.0	7.03
03/01/2017	CONKLIN, DAVID	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	1.23	0.00	1.23	92.0	1.13
03/01/2017	SCHOEN, JONATHAN	AM FUNDS CAPITAL INCOME BUILDER R2	0.00	64.00	0.00	64.00	92.0	58.88
03/01/2017	CARVER, DENISE	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	2.95	0.00	2.95	92.0	2.71
03/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	2.95	0.00	2.95	92.0	2.71
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL WORLD BOND A	0.00	0.97	0.00	0.97	92.0	0.89
03/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	3.88	0.00	3.88	92.0	3.57
03/01/2017	MOORE, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.69	0.00	0.69	92.0	0.63
03/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	2.24	0.00	2.24	92.0	2.06
03/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL WORLD BOND A	0.00	2.28	0.00	2.28	92.0	2.10
03/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.89	0.00	0.89	92.0	0.82
03/01/2017	REEVES, DIANE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.31	0.00	1.31	92.0	1.21
03/01/2017	ROSS, SALLY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.83	0.00	1.83	92.0	1.68
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.07	0.00	0.07	92.0	0.06
03/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.67	0.00	1.67	92.0	1.54
03/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL WORLD BOND A	0.00	4.02	0.00	4.02	92.0	3.70
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.06	0.00	2.06	92.0	1.90
03/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD BOND A	0.00	0.87	0.00	0.87	92.0	0.80
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	MOORE, LINDA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.30	0.00	2.30	92.0	2.12
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	MURPHY, JACK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2017	HUDAK, NICHOLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	HUDAK, STASIA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.53	0.00	0.53	92.0	0.49

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD BOND A	0.00	1.92	0.00	1.92	92.0	1.77
03/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	9.26	0.00	9.26	92.0	8.52
03/01/2017	ZINK, KARIS	AM FUNDS CAPITAL WORLD BOND A	0.00	1.14	0.00	1.14	92.0	1.05
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	18.93	0.00	18.93	92.0	17.42
03/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	5.31	0.00	5.31	92.0	4.89
03/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.24	0.00	1.24	92.0	1.14
03/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	2.38	0.00	2.38	92.0	2.19
03/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.03	0.00	0.03	92.0	0.03
03/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.15	0.00	0.15	92.0	0.14
03/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL WORLD BOND A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	YOSHINO, DOUGLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	92.0	0.05
03/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.92	0.00	0.92	92.0	0.85
03/01/2017	WASSERMAN, FRANK	AM FUNDS CAPITAL WORLD BOND A	0.00	6.75	0.00	6.75	92.0	6.21
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.58	0.00	1.58	92.0	1.45
03/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.17	0.00	1.17	92.0	1.08
03/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	4.01	0.00	4.01	92.0	3.69
03/01/2017	LARSON, PENNY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.61	0.00	1.61	92.0	1.48
03/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL WORLD BOND A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL WORLD BOND A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	WALLS, CONNOR	AM FUNDS CAPITAL WORLD BOND A	0.00	0.75	0.00	0.75	92.0	0.69
03/01/2017	MOON, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.39	0.00	1.39	92.0	1.28
03/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.30	0.00	3.30	92.0	3.04
03/01/2017	KALE, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.59	0.00	1.59	92.0	1.46
03/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.22	0.00	6.22	92.0	5.72
03/01/2017	BECK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	BECK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.59	0.00	4.59	92.0	4.22
03/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.73	0.00	2.73	92.0	2.51
03/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	DREIER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.40	0.00	5.40	92.0	4.97
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.68	0.00	0.68	92.0	0.63
03/01/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.24	0.00	18.24	92.0	16.78
03/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.75	0.00	12.75	92.0	11.73
03/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.19	0.00	2.19	92.0	2.01
03/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.17	0.00	1.17	92.0	1.08
03/01/2017	BOCHI, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.45	0.00	9.45	92.0	8.69
03/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.82	0.00	1.82	92.0	1.67
03/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	REEVES, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.50	0.00	3.50	92.0	3.22
03/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	92.0	0.85
03/01/2017	KOZIARSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.87	0.00	7.87	92.0	7.24
03/01/2017	COMBS, ROXANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.35	0.00	6.35	92.0	5.84
03/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.50	0.00	27.50	92.0	25.30
03/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.48	0.00	4.48	92.0	4.12
03/01/2017	GARDNER, SHARYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.90	0.00	17.90	92.0	16.47
03/01/2017	MOLNAR, CONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.35	0.00	3.35	92.0	3.08
03/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	DURIS, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.84	0.00	9.84	92.0	9.05
03/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.03	0.00	0.03	92.0	0.03

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	92.0	0.85
03/01/2017	BARE, HELEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	92.0	0.98
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.10	0.00	5.10	92.0	4.69
03/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	92.0	3.42
03/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	DAY, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	PILEWSKI, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.49	0.00	2.49	92.0	2.29
03/01/2017	GOYER, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	92.0	3.42
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.35	0.00	22.35	92.0	20.56
03/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2017	BENSCH, ARLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.23	0.00	3.23	92.0	2.97
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.29	0.00	4.29	92.0	3.95
03/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	92.0	1.34
03/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.11	0.00	3.11	92.0	2.86
03/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.41	0.00	2.41	92.0	2.22
03/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.75	0.00	6.75	92.0	6.21
03/01/2017	BIHN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.14	0.00	3.14	92.0	2.89
03/01/2017	SHAFFER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.56	0.00	3.56	92.0	3.28
03/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.88	0.00	4.88	92.0	4.49
03/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.23	0.00	16.23	92.0	14.93
03/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.83	0.00	6.83	92.0	6.28
03/01/2017	WALLS, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.19	0.00	3.19	92.0	2.93
03/01/2017	MCLAUGHLIN, JAIME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	KRAUS, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.04	0.00	2.04	92.0	1.88
03/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.71	0.00	5.71	92.0	5.25
03/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.46	0.00	5.46	92.0	5.02
03/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	92.0	1.25

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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	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.99	0.00	2.99	92.0	2.75
03/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.94	0.00	1.94	92.0	1.78
03/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.33	0.00	3.33	92.0	3.06
03/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.77	0.00	1.77	92.0	1.63
03/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.34	0.00	2.34	92.0	2.15
03/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.91	0.00	1.91	92.0	1.76
03/01/2017	MANN, SUNDAY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	REED, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.59	0.00	2.59	92.0	2.38
03/01/2017	REED, COLLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.59	0.00	2.59	92.0	2.38
03/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.65	0.00	3.65	92.0	3.36
03/01/2017	MORRIS, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	PASCHAL, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.94	0.00	4.94	92.0	4.54
03/01/2017	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.25	0.00	1.25	92.0	1.15
03/01/2017	KISER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.25	0.00	1.25	92.0	1.15
03/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.52	0.00	7.52	92.0	6.92
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.60	0.00	12.60	92.0	11.59
03/01/2017	YOSHINO, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.11	0.00	3.11	92.0	2.86
03/01/2017	MURD, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	WARNER, COREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.51	0.00	9.51	92.0	8.75
03/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.54	0.00	4.54	92.0	4.18
03/01/2017	OBERT, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.87	0.00	0.87	92.0	0.80

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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	CARVER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	YOSHINO, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.86	0.00	3.86	92.0	3.55
03/01/2017	FISCHER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.26	0.00	3.26	92.0	3.00
03/01/2017	FOX, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.16	0.00	2.16	92.0	1.99
03/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.43	0.00	9.43	92.0	8.68
03/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.03	0.00	13.03	92.0	11.99
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.93	0.00	15.93	92.0	14.66
03/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.13	0.00	3.13	92.0	2.88
03/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.98	0.00	1.98	92.0	1.82
03/01/2017	HILES, MARC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.40	0.00	4.40	92.0	4.05
03/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.94	0.00	1.94	92.0	1.78
03/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	92.0	1.18
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.06	0.00	2.06	92.0	1.90
03/01/2017	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.30	0.00	3.30	92.0	3.04
03/01/2017	ROSANIA, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.28	0.00	8.28	92.0	7.62
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2017	GOYER, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.67	0.00	2.67	92.0	2.46
03/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.60	0.00	4.60	92.0	4.23
03/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	KIEFER, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	11.02	0.00	11.02	92.0	10.14
03/01/2017	TROUT, TINA	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	18.12	0.00	18.12	92.0	16.67
03/01/2017	HERR, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	23.14	0.00	23.14	92.0	21.29
03/01/2017	LAYTART, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	0.21	0.00	0.21	92.0	0.19
03/01/2017	WARREN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	4.69	0.00	4.69	92.0	4.31
03/01/2017	NICHOLSON, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	18.20	0.00	18.20	92.0	16.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	THOMAS, KATHY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	8.93	0.00	8.93	92.0	8.22
03/01/2017	STEFKO, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	0.08	0.00	0.08	92.0	0.07
03/01/2017	BEVILLE, RANDY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	20.76	0.00	20.76	92.0	19.10
03/01/2017	SMITH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	155.11	0.00	155.11	92.0	142.70
03/01/2017	KNAPP, SYLKE	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	8.40	0.00	8.40	92.0	7.73
03/01/2017	VALADE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	102.67	0.00	102.67	92.0	94.46
03/01/2017	WHITENBURG, DAWN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	10.09	0.00	10.09	92.0	9.28
03/01/2017	SPECK, SHELLY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	15.55	0.00	15.55	92.0	14.31
03/01/2017	HOLMES, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	15.93	0.00	15.93	92.0	14.66
03/01/2017	BARE, HELEN	AM FUNDS COLLEGE 2030 FUND 529A	0.00	0.63	0.00	0.63	92.0	0.58
03/01/2017	COLEMAN, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.12	0.00	1.12	92.0	1.03
03/01/2017	HUNTER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	BECK, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	BECK, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	77.64	2.91	0.00	2.91	92.0	2.68
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.96	0.00	1.96	92.0	1.80
03/01/2017	BLAKE, MIRIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	DREIER, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	VALADE, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.90	0.00	8.90	92.0	8.19
03/01/2017	COMBS, BRIAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.47	0.00	1.47	92.0	1.35
03/01/2017	SANDERSON, CATHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	BOCHI, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.25	0.00	6.25	92.0	5.75
03/01/2017	MILLER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	SWINDLE, DARRYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	KOZIARSKI, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.98	0.00	5.98	92.0	5.50
03/01/2017	KOZIARSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.90	0.00	3.90	92.0	3.59
03/01/2017	DECKER, MARY BETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.66	0.00	0.66	92.0	0.61
03/01/2017	HOLT, JEAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.26	0.00	4.26	92.0	3.92
03/01/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.93	0.00	2.93	92.0	2.70
03/01/2017	COMBS, ROXANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.84	0.00	1.84	92.0	1.69
03/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	23.25	0.00	23.25	92.0	21.39
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.40	0.00	17.40	92.0	16.01
03/01/2017	KRALL, GARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	92.0	1.23

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	GARDNER, SHARYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.64	0.00	1.64	92.0	1.51
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.37	0.00	1.37	92.0	1.26
03/01/2017	MOLNAR, CONNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2017	DURIS, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.11	0.00	3.11	92.0	2.86
03/01/2017	BARE, HELEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.22	0.00	1.22	92.0	1.12
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.20	0.00	2.20	92.0	2.02
03/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	PILEWSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	PILEWSKI, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	GOYER, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	SMOOT, C STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	21.19	0.00	21.19	92.0	19.49
03/01/2017	MARKJA, BERNADINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	URSITTI, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.37	0.00	2.37	92.0	2.18
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	BARE III, HARRY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	SHAFFER, LOREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	HUNTER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.58	0.00	2.58	92.0	2.37
03/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	MURPHY, JACK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	KOTLARCZYK, JANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	HUDAK, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	HUDAK, STASIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	HARRISON, JEFFERY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.20	0.00	3.20	92.0	2.94
03/01/2017	GLORE, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	MURPHY, CAROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	SHAFFER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.07	0.00	4.07	92.0	3.74
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.33	0.00	0.33	92.0	0.30
03/01/2017	STUBLESKI, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.56	0.00	6.56	92.0	6.04
03/01/2017	WALLS, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	SILLIMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.92	0.00	1.92	92.0	1.77

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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	GLORE, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.68	0.00	2.68	92.0	2.47
03/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.40	0.00	1.40	92.0	1.29
03/01/2017	WRIGHT, BECKY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	CURSON, STEVE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	REED, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2017	REED, COLLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2017	SILLIMAN, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.78	0.00	1.78	92.0	1.64
03/01/2017	PASCHAL, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	GARDNER, SHANNON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	GARDNER, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	KISER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.08	0.00	1.08	92.0	0.99
03/01/2017	KISER, EDWARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.12	0.00	5.12	92.0	4.71
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	22.82	0.00	22.82	92.0	20.99
03/01/2017	YOSHINO, KAREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.54	0.00	1.54	92.0	1.42
03/01/2017	WARNER, COREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.48	0.00	5.48	92.0	5.04
03/01/2017	SCANLAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.83	0.00	1.83	92.0	1.68
03/01/2017	CARVER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	YOSHINO, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.41	0.00	2.41	92.0	2.22
03/01/2017	FOX, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.91	0.00	3.91	92.0	3.60
03/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.93	0.00	4.93	92.0	4.54
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.27	0.00	9.27	92.0	8.53
03/01/2017	KORAKAS, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.04	0.00	1.04	92.0	0.96
03/01/2017	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2017	HALSEY, WILLIAM D	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.64	0.00	3.64	92.0	3.35
03/01/2017	DUNNE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.69	0.00	8.69	92.0	7.99
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	GOYER, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	WHITTAKER, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.85	0.00	3.85	92.0	3.54
03/01/2017	ROSS, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.89	0.00	0.89	92.0	0.82

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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	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.24	0.00	14.24	92.0	13.10
03/01/2017	KIEFER, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	9.62	0.00	9.62	92.0	8.85
03/01/2017	TROUT, TINA	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	5.92	0.00	5.92	92.0	5.45
03/01/2017	LAYTART, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	0.17	0.00	0.17	92.0	0.16
03/01/2017	WARREN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	3.97	0.00	3.97	92.0	3.65
03/01/2017	NICHOLSON, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	8.22	0.00	8.22	92.0	7.56
03/01/2017	THOMAS, KATHY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	5.66	0.00	5.66	92.0	5.21
03/01/2017	STEFKO, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	0.07	0.00	0.07	92.0	0.06
03/01/2017	BEVILLE, RANDY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	KNAPP, SYLKE	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	7.43	0.00	7.43	92.0	6.84
03/01/2017	VALADE, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	91.24	0.00	91.24	92.0	83.94
03/01/2017	WHITENBURG, DAWN	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	9.04	0.00	9.04	92.0	8.32
03/01/2017	SPECK, SHELLY	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	13.72	0.00	13.72	92.0	12.62
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	COLEMAN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	HUNTER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	BECK, JOHN	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.19	0.00	0.19	92.0	0.17
03/01/2017	BECK, JOHN	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.19	0.00	0.19	92.0	0.17
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.12	0.00	3.12	92.0	2.87
03/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2017	GRANT, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	DREIER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.33	0.00	7.33	92.0	6.74
03/01/2017	BOCHI, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.79	0.00	2.79	92.0	2.57
03/01/2017	MILLER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.46	0.00	2.46	92.0	2.26
03/01/2017	REEVES, DIANE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.32	0.00	1.32	92.0	1.21
03/01/2017	SWINDLE, DARRYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.83	0.00	1.83	92.0	1.68
03/01/2017	KOZIARSKI, LAURA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	DECKER, MARY BETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	COMBS, ROXANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.30	0.00	2.30	92.0	2.12
03/01/2017	PEARSON, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	92.0	0.29

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.29	0.00	12.29	92.0	11.31
03/01/2017	KRALL, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	92.0	2.34
03/01/2017	GARDNER, SHARYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	92.0	3.08
03/01/2017	MOLNAR, CONNIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.05	0.00	4.05	92.0	3.73
03/01/2017	RONEY, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	41.55	0.00	41.55	92.0	38.23
03/01/2017	IRELAN, TED	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	DURIS, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.46	0.00	5.46	92.0	5.02
03/01/2017	ZUCCARELL, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	BARE, HELEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.82	0.00	1.82	92.0	1.67
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.32	0.00	4.32	92.0	3.97
03/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.17	0.00	4.17	92.0	3.84
03/01/2017	PILEWSKI, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.99	0.00	1.99	92.0	1.83
03/01/2017	WOODRUFF, AUSTIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	GOYER, TIMOTHY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.60	0.00	2.60	92.0	2.39
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	92.0	0.30
03/01/2017	SMOOT, C STEVEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.76	0.00	25.76	92.0	23.70
03/01/2017	MARKJA, BERNADINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.40	0.00	4.40	92.0	4.05
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	BARE III, HARRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2017	KREMPA, CLAUDE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.95	0.00	1.95	92.0	1.79
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	92.0	1.01
03/01/2017	SHAFFER, LOREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2017	HUNTER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.69	0.00	2.69	92.0	2.47
03/01/2017	MURPHY, JACK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.18	0.00	2.18	92.0	2.01
03/01/2017	KOTLARCZYK, JANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.75	0.00	1.75	92.0	1.61
03/01/2017	HUDAK, NICHOLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	HUDAK, STASIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	MURPHY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.94	0.00	4.94	92.0	4.54
03/01/2017	BIHN, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.69	0.00	2.69	92.0	2.47
03/01/2017	SHAFFER, DENISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.14	0.00	5.14	92.0	4.73
03/01/2017	WASSERMAN, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.69	0.00	0.69	92.0	0.63
03/01/2017	IRWIN, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.07	0.00	4.07	92.0	3.74

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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	GLORE, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.54	0.00	4.54	92.0	4.18
03/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	WRIGHT, BECKY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	ROSS, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.01	0.00	2.01	92.0	1.85
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.79	0.00	1.79	92.0	1.65
03/01/2017	CURSON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	MANN, SUNDAY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	REED, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	REED, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	GARDNER, SHANNON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2017	GARDNER, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2017	ROSANIA, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.09	0.00	0.09	92.0	0.08
03/01/2017	ROSS, KRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	92.0	1.01
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.99	0.00	12.99	92.0	11.95
03/01/2017	YOSHINO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.12	0.00	1.12	92.0	1.03
03/01/2017	WARNER, COREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.52	0.00	9.52	92.0	8.76
03/01/2017	SCANLAN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.61	0.00	5.61	92.0	5.16
03/01/2017	MURD, FRANCIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.17	0.00	0.17	92.0	0.16
03/01/2017	YOSHINO, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.40	0.00	4.40	92.0	4.05
03/01/2017	FOX, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2017	KONZ, ORVEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.12	0.00	11.12	92.0	10.23
03/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.68	0.00	8.68	92.0	7.99
03/01/2017	HORN, TARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.02	0.00	3.02	92.0	2.78
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.63	0.00	18.63	92.0	17.14
03/01/2017	HILES, MARC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.06	0.00	3.06	92.0	2.82
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.63	0.00	2.63	92.0	2.42
03/01/2017	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.85	0.00	2.85	92.0	2.62
03/01/2017	ROSANIA, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	HALSEY, WILLIAM D	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.64	0.00	6.64	92.0	6.11
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	92.0	0.36

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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	GOYER, GRACE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.22	0.00	2.22	92.0	2.04
03/01/2017	STOUT, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.37	0.00	1.37	92.0	1.26
03/01/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2017	SCHERMBECK, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	KIEFER, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	13.76	0.00	13.76	92.0	12.66
03/01/2017	TROUT, TINA	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	15.28	0.00	15.28	92.0	14.06
03/01/2017	HERR, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	28.84	0.00	28.84	92.0	26.53
03/01/2017	LAYTART, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	WARREN, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	5.98	0.00	5.98	92.0	5.50
03/01/2017	NICHOLSON, JAMES	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	51.94	0.00	51.94	92.0	47.78
03/01/2017	THOMAS, KATHY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	11.68	0.00	11.68	92.0	10.75
03/01/2017	STEFKO, RONALD	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	BEVILLE, RANDY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	3.59	0.00	3.59	92.0	3.30
03/01/2017	SPECK, SHELLY	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	9.52	0.00	9.52	92.0	8.76
03/01/2017	SZABO, LINDA	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	166.38	0.00	166.38	92.0	153.07
03/01/2017	CONKLIN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS-R2	0.00	3.27	0.00	3.27	92.0	3.01
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS GLOBAL BALANCED A	0.00	4.06	0.00	4.06	92.0	3.74
02/28/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	1.50	0.00	1.50	92.0	1.38
02/28/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	1.50	0.00	1.50	92.0	1.38
03/01/2017	COLEMAN, LINDA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	18.46	0.00	18.46	92.0	16.98
03/01/2017	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	18.46	0.00	18.46	92.0	16.98
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.47	0.00	0.47	92.0	0.43
03/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	77.64	2.91	0.00	2.91	92.0	2.68
03/01/2017	IRWIN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.01	0.00	3.01	92.0	2.77
03/01/2017	DREIER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	HEINAMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.99	0.00	3.99	92.0	3.67
03/01/2017	REEVES, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	92.0	1.28
03/01/2017	KOZIARSKI, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	92.0	4.09
03/01/2017	COMBS, ROXANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.63	0.00	4.63	92.0	4.26
03/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.78	0.00	32.78	92.0	30.16
03/01/2017	KRALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.23	0.00	3.23	92.0	2.97

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GARDNER, SHARYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.12	0.00	3.12	92.0	2.87
03/01/2017	RONEY, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.89	0.00	13.89	92.0	12.78
03/01/2017	DURIS, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.92	0.00	16.92	92.0	15.57
03/01/2017	ZUCCARELL, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	92.0	1.40
03/01/2017	SANDERSON, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	SHAFFER, LOREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	MURPHY, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.13	0.00	2.13	92.0	1.96
03/01/2017	MURPHY, CAROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	92.0	2.20
03/01/2017	WALLS, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2017	MCLAUGHLIN, JAIME	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	MOLNAR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	92.0	1.03
03/01/2017	KORAL, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	ROSS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	0.00	1.22	92.0	1.12
03/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	92.0	1.09
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.74	0.00	7.74	92.0	7.12
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	92.0	1.81
03/01/2017	WARNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.15	0.00	3.15	92.0	2.90
03/01/2017	FLEMING, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	92.0	3.33
03/01/2017	HORN, TARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.98	0.00	2.98	92.0	2.74
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.48	0.00	10.48	92.0	9.64
03/01/2017	HILES, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	RAY, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	ZABORSKI, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.76	0.00	9.76	92.0	8.98
03/01/2017	KIEFER, SUSAN	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	13.77	0.00	13.77	92.0	12.67
03/01/2017	TROUT, TINA	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	9.56	0.00	9.56	92.0	8.80
03/01/2017	HERR, GREGORY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	28.92	0.00	28.92	92.0	26.61
03/01/2017	WARREN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	2.95	0.00	2.95	92.0	2.71
03/01/2017	STEFKO, RONALD	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	SMITH, DAVID	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	195.29	0.00	195.29	92.0	179.67
03/01/2017	VALADE, JOHN	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	125.18	0.00	125.18	92.0	115.17
03/01/2017	SPECK, SHELLY	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	9.54	0.00	9.54	92.0	8.78

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HOLMES, JAMES	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	14.84	0.00	14.84	92.0	13.65
03/01/2017	CONKLIN, DAVID	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	3.35	0.00	3.35	92.0	3.08
03/01/2017	XU, YING	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	3.43	0.00	3.43	92.0	3.16
03/01/2017	KISER, EDWARD	AM FUNDS ICA 529C	0.00	10.16	0.00	10.16	92.0	9.35
03/01/2017	IRWIN, JOHN	AM FUNDS ICA A	0.00	1.47	0.00	1.47	92.0	1.35
03/01/2017	HEINAMAN, ROBERT	AM FUNDS ICA A	0.00	9.21	0.00	9.21	92.0	8.47
03/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	8.21	0.00	8.21	92.0	7.55
03/01/2017	HAUSER, ROBERT	AM FUNDS ICA A	0.00	20.24	0.00	20.24	92.0	18.62
03/01/2017	FAIRCHILD, DANA	AM FUNDS ICA A	0.00	3.32	0.00	3.32	92.0	3.05
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS ICA A	0.00	8.85	0.00	8.85	92.0	8.14
03/01/2017	HALSEY, DEBORAH	AM FUNDS ICA A	0.00	3.08	0.00	3.08	92.0	2.83
03/01/2017	ZABORSKI, PAUL	AM FUNDS ICA A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2017	KISER, EDWARD	AM FUNDS ICA A	0.00	7.96	0.00	7.96	92.0	7.32
03/01/2017	CONKLIN, DAVID	AM FUNDS ICA R2	0.00	3.28	0.00	3.28	92.0	3.02
03/01/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	200.00	3.20	0.00	3.20	92.0	2.94
03/01/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	20.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	200.00	3.20	0.00	3.20	92.0	2.94
03/01/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	100.00	1.60	0.00	1.60	92.0	1.47
03/01/2017	OH/TOD	AM FUNDS INCOME FUND OF AMERICA A	5,000.00	187.50	0.00	187.50	92.0	172.50
03/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.14	0.00	2.14	92.0	1.97
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.14	0.00	9.14	92.0	8.41
03/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.21	0.00	0.21	92.0	0.19
03/01/2017	BENSCH, CANDACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.40	0.00	6.40	92.0	5.89
03/01/2017	GRANT, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.75	0.00	0.75	92.0	0.69
03/01/2017	BLAKE, MIRIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	92.0	4.54
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.91	0.00	3.91	92.0	3.60
03/01/2017	VALADE, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.01	0.00	8.01	92.0	7.37
03/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.94	0.00	17.94	92.0	16.50
03/01/2017	BOCHI, ANDREW	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.34	0.00	4.34	92.0	3.99
03/01/2017	REEVES, DIANE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.32	0.00	2.32	92.0	2.13
03/01/2017	HENDERSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.80	0.00	1.80	92.0	1.66
03/01/2017	KRALL, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.56	0.00	4.56	92.0	4.20

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	GARDNER, SHARYL	AM FUNDS INCOME FUND OF AMERICA A	0.00	30.65	0.00	30.65	92.0	28.20
03/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.03	0.00	0.03	92.0	0.03
03/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	WOODRUFF, AUSTIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.89	0.00	0.89	92.0	0.82
03/01/2017	PILEWSKI, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2017	MARKJA, BERNADINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.89	0.00	2.89	92.0	2.66
03/01/2017	BARE III, HARRY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	BENSCH, ARLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.13	0.00	4.13	92.0	3.80
03/01/2017	MURPHY, JACK	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.85	0.00	1.85	92.0	1.70
03/01/2017	BIHN, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.79	0.00	1.79	92.0	1.65
03/01/2017	ISAACSON, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.87	0.00	5.87	92.0	5.40
03/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.07	0.00	20.07	92.0	18.46
03/01/2017	DECKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	69.82	0.00	69.82	92.0	64.23
03/01/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	39.20	0.00	39.20	92.0	36.06
03/01/2017	STUBLESKI, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.40	0.00	25.40	92.0	23.37
03/01/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.21	0.00	10.21	92.0	9.39
03/01/2017	KRAUS, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	GLORE, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.03	0.00	4.03	92.0	3.71
03/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.57	0.00	4.57	92.0	4.20
03/01/2017	ROSS, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.43	0.00	3.43	92.0	3.16
03/01/2017	WALBERG, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.89	0.00	2.89	92.0	2.66
03/01/2017	BRILLHART, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.72	0.00	1.72	92.0	1.58
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.25	0.00	4.25	92.0	3.91
03/01/2017	CURSON, STEVE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	PASCHAL, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.72	0.00	6.72	92.0	6.18
03/01/2017	ROSANIA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.06	0.00	0.06	92.0	0.06
03/01/2017	GARDNER, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	92.0	0.63
03/01/2017	GERMAN, MARIANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	KONZ, ORVEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.40	0.00	1.40	92.0	1.29
03/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.18	0.00	2.18	92.0	2.01
03/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.20	0.00	2.20	92.0	2.02

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WASSERMAN, FRANK	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.52	0.00	18.52	92.0	17.04
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.12	0.00	5.12	92.0	4.71
03/01/2017	HALSEY, DEBORAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.66	0.00	5.66	92.0	5.21
03/01/2017	HILES, MARC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.02	0.00	2.02	92.0	1.86
03/01/2017	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.55	0.00	6.55	92.0	6.03
03/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.36	0.00	2.36	92.0	2.17
03/01/2017	PELLIONI, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.77	0.00	5.77	92.0	5.31
03/01/2017	ROSANIA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.20	0.00	0.20	92.0	0.18
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	ZINK, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.01	0.00	4.01	92.0	3.69
03/01/2017	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.54	0.00	0.54	92.0	0.50
03/01/2017	MOON, CHARLES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.50	0.00	1.50	92.0	1.38
03/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.37	0.00	3.37	92.0	3.10
03/01/2017	SEYMOUR, DONALD	AM FUNDS INCOME FUND OF AMERICA C	0.00	41.10	0.00	41.10	92.0	37.81
03/01/2017	FAIRCHILD, KERRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	10.87	0.00	10.87	92.0	10.00
03/01/2017	HOLMES, JAMES	AM FUNDS INCOME FUND OF AMERICA-R2	0.00	8.39	0.00	8.39	92.0	7.72
03/01/2017	CONKLIN, DAVID	AM FUNDS INCOME FUND OF AMERICA-R2	0.00	4.12	0.00	4.12	92.0	3.79
03/01/2017	HENDERSON, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.25	0.00	1.25	92.0	1.15
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.42	0.00	2.42	92.0	2.23
03/01/2017	STUBLESKI, DANIEL	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	KRAUS, JENNIFER	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.19	0.00	0.19	92.0	0.17
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.91	0.00	1.91	92.0	1.76
03/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.00	0.00	7.00	92.0	6.44
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.03	0.00	5.03	92.0	4.63
03/01/2017	FERRARI, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.47	0.00	5.47	92.0	5.03
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.16	0.00	6.16	92.0	5.67
03/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	1.96	0.00	1.96	92.0	1.80
03/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	1.96	0.00	1.96	92.0	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	BLAKE, MIRIAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	ROSS, SALLY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.92	0.00	0.92	92.0	0.85
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.47	0.00	2.47	92.0	2.27
03/01/2017	DURIS, JOSEPH	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.93	0.00	3.93	92.0	3.62
03/01/2017	MOORE, LINDA	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.43	0.00	1.43	92.0	1.32
03/01/2017	HUNTER, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.42	0.00	2.42	92.0	2.23
03/01/2017	ISAACSON, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	ZINK, KARIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.60	0.00	2.60	92.0	2.39
03/01/2017	TARRIS, CHRISTINE	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.34	0.00	2.34	92.0	2.15
03/01/2017	SUTHERLAND, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	KORAL, ANDREW	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2017	WALBERG, PAUL	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.32	0.00	2.32	92.0	2.13
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.77	0.00	1.77	92.0	1.63
03/01/2017	ROSANIA, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.10	0.00	0.10	92.0	0.09
03/01/2017	LECHUGA, CARRIE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	OBERT, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	OBERT, DEBORA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	FISCHER, DAVID	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.63	0.00	2.63	92.0	2.42
03/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	5.94	0.00	5.94	92.0	5.46
03/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.67	0.00	2.67	92.0	2.46
03/01/2017	IRWIN, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.59	0.00	1.59	92.0	1.46
03/01/2017	BENSCH, JEFFREY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	HILES, MARC	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	SMITH, SUZANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.56	0.00	3.56	92.0	3.28
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.07	0.00	1.07	92.0	0.98
03/01/2017	GODFREY, TIMOTHY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	ZINK, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.50	0.00	3.50	92.0	3.22
03/01/2017	LARSON, PENNY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.46	0.00	1.46	92.0	1.34
03/01/2017	MCFARLAND, BRANDON	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.15	0.00	0.15	92.0	0.14

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DRAKE, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	MOON, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2017	COLEMAN, PARISS	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.85	0.00	1.85	92.0	1.70
03/01/2017	HOLMES, JAMES	AM FUNDS INTL GROWTH AND INCOME R2	0.00	9.72	0.00	9.72	92.0	8.94
03/01/2017	CONKLIN, DAVID	AM FUNDS INTL GROWTH AND INCOME R2	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	RONEY, LINDA	AM FUNDS MORTGAGE A	0.00	50.52	0.00	50.52	92.0	46.48
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	COLEMAN, LINDA	AM FUNDS NEW ECONOMY 529A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW ECONOMY 529A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW ECONOMY A	0.00	4.88	0.00	4.88	92.0	4.49
03/01/2017	HEINAMAN, ROBERT	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	GRANT, THOMAS	AM FUNDS NEW ECONOMY A	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2017	DREIER, DAVID	AM FUNDS NEW ECONOMY A	0.00	3.07	0.00	3.07	92.0	2.82
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	VALADE, JOHN	AM FUNDS NEW ECONOMY A	0.00	14.98	0.00	14.98	92.0	13.78
03/01/2017	REEVES, DIANE	AM FUNDS NEW ECONOMY A	0.00	2.19	0.00	2.19	92.0	2.01
03/01/2017	KOZIARSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	6.41	0.00	6.41	92.0	5.90
03/01/2017	DECKER, MARY BETH	AM FUNDS NEW ECONOMY A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2017	ROSS, SALLY	AM FUNDS NEW ECONOMY A	0.00	1.65	0.00	1.65	92.0	1.52
03/01/2017	HOLT, JEAN	AM FUNDS NEW ECONOMY A	0.00	5.01	0.00	5.01	92.0	4.61
03/01/2017	PEARSON, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	KOTLARCYK, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	9.89	0.00	9.89	92.0	9.10
03/01/2017	GARDNER, SHARYL	AM FUNDS NEW ECONOMY A	0.00	4.75	0.00	4.75	92.0	4.37
03/01/2017	MOLNAR, CONNIE	AM FUNDS NEW ECONOMY A	0.00	3.04	0.00	3.04	92.0	2.80
03/01/2017	RONEY, LINDA	AM FUNDS NEW ECONOMY A	0.00	13.80	0.00	13.80	92.0	12.70
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	BARE, HELEN	AM FUNDS NEW ECONOMY A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	2.72	0.00	2.72	92.0	2.50
03/01/2017	MOLNAR, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2017	PILEWSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	DAY, CHERYL	AM FUNDS NEW ECONOMY A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	PILEWSKI, JOHN	AM FUNDS NEW ECONOMY A	0.00	1.52	0.00	1.52	92.0	1.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GOYER, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	2.07	0.00	2.07	92.0	1.90
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS NEW ECONOMY A	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	MARKJA, BERNADINE	AM FUNDS NEW ECONOMY A	0.00	0.75	0.00	0.75	92.0	0.69
03/01/2017	URSITTI, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	2.54	0.00	2.54	92.0	2.34
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	SHAFFER, LOREN	AM FUNDS NEW ECONOMY A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	HUNTER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.19	0.00	2.19	92.0	2.01
03/01/2017	BRILLHART, RYAN	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	MURPHY, JACK	AM FUNDS NEW ECONOMY A	0.00	1.94	0.00	1.94	92.0	1.78
03/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW ECONOMY A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	HUDAK, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	0.75	0.00	0.75	92.0	0.69
03/01/2017	GLORE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	MURPHY, CAROL	AM FUNDS NEW ECONOMY A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2017	SHAFFER, DENISE	AM FUNDS NEW ECONOMY A	0.00	4.40	0.00	4.40	92.0	4.05
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS NEW ECONOMY A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	IRWIN, JOHN	AM FUNDS NEW ECONOMY A	0.00	5.36	0.00	5.36	92.0	4.93
03/01/2017	STUBLESKI, DANIEL	AM FUNDS NEW ECONOMY A	0.00	4.20	0.00	4.20	92.0	3.86
03/01/2017	WALLS, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	KRAUS, JENNIFER	AM FUNDS NEW ECONOMY A	0.00	0.97	0.00	0.97	92.0	0.89
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW ECONOMY A	0.00	1.31	0.00	1.31	92.0	1.21
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	2.47	0.00	2.47	92.0	2.27
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	4.21	0.00	4.21	92.0	3.87
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW ECONOMY A	0.00	0.63	0.00	0.63	92.0	0.58
03/01/2017	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	0.00	2.52	0.00	2.52	92.0	2.32
03/01/2017	GODFREY, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	0.48	0.00	0.48	92.0	0.44
03/01/2017	GOYER, GRACE	AM FUNDS NEW ECONOMY A	0.00	1.28	0.00	1.28	92.0	1.18
03/01/2017	ROSS, NICOLE	AM FUNDS NEW ECONOMY A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	COLEMAN, PARISS	AM FUNDS NEW ECONOMY A	0.00	2.22	0.00	2.22	92.0	2.04
02/23/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	300.00	3.00	0.00	3.00	92.0	2.76
02/28/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	300.00	3.00	0.00	3.00	92.0	2.76
03/01/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	0.00	50.50	0.00	50.50	92.0	46.46
03/01/2017	XU, YING	AM FUNDS NEW ECONOMY FUND-R2	0.00	3.27	0.00	3.27	92.0	3.01

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	COLEMAN, LINDA	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2017	OH/TOD	AM FUNDS NEW PERSPECTIVE A	5,000.00	187.50	0.00	187.50	92.0	172.50
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW PERSPECTIVE A	0.00	3.10	0.00	3.10	92.0	2.85
03/01/2017	BLAKE, MIRIAM	AM FUNDS NEW PERSPECTIVE A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2017	BENSCH, CANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	5.99	0.00	5.99	92.0	5.51
03/01/2017	VALADE, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	13.33	0.00	13.33	92.0	12.26
03/01/2017	REEVES, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	2.40	0.00	2.40	92.0	2.21
03/01/2017	DECKER, MARY BETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	HOLT, JEAN	AM FUNDS NEW PERSPECTIVE A	0.00	5.08	0.00	5.08	92.0	4.67
03/01/2017	PEARSON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2017	EDWARTOSKI, DONNA	AM FUNDS NEW PERSPECTIVE A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	GARDNER, SHARYL	AM FUNDS NEW PERSPECTIVE A	0.00	3.13	0.00	3.13	92.0	2.88
03/01/2017	ONEY, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	7.99	0.00	7.99	92.0	7.35
03/01/2017	DURIS, JOSEPH	AM FUNDS NEW PERSPECTIVE A	0.00	3.59	0.00	3.59	92.0	3.30
03/01/2017	ZUCCARELL, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	0.80	0.00	0.80	92.0	0.74
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS NEW PERSPECTIVE A	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2017	WOODRUFF, AUSTIN	AM FUNDS NEW PERSPECTIVE A	0.00	6.08	0.00	6.08	92.0	5.59
03/01/2017	SWINDLE, DARRYL	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	0.00	1.04	92.0	0.96
03/01/2017	KREMPA, CLAUDE	AM FUNDS NEW PERSPECTIVE A	0.00	4.16	0.00	4.16	92.0	3.83
03/01/2017	SHAFFER, LOREN	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	MURPHY, JACK	AM FUNDS NEW PERSPECTIVE A	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	JAKSETIC, ZACHARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2017	HAUSER, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	19.20	0.00	19.20	92.0	17.66
03/01/2017	STUBLESKI, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	7.80	0.00	7.80	92.0	7.18
03/01/2017	FAIRCHILD, DANA	AM FUNDS NEW PERSPECTIVE A	0.00	3.51	0.00	3.51	92.0	3.23
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	1.39	0.00	1.39	92.0	1.28
03/01/2017	FISCHER, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	1.23	0.00	1.23	92.0	1.13
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	5.17	0.00	5.17	92.0	4.76
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	6.68	0.00	6.68	92.0	6.15
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	8.44	0.00	8.44	92.0	7.76

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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	KISER, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	11.38	0.00	11.38	92.0	10.47
03/01/2017	COLEMAN, LINDA	AM FUNDS NEW WORLD 529A	0.00	1.38	0.00	1.38	92.0	1.27
03/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD 529A	0.00	0.37	0.00	0.37	92.0	0.34
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	1.60	0.00	1.60	92.0	1.47
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.18	0.00	1.18	92.0	1.09
03/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.18	0.00	1.18	92.0	1.09
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS NEW WORLD A	0.00	1.79	0.00	1.79	92.0	1.65
03/01/2017	BLAKE, MIRIAM	AM FUNDS NEW WORLD A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	MOORE, GARY	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	92.0	0.49
03/01/2017	DREIER, DAVID	AM FUNDS NEW WORLD A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	VALADE, JOHN	AM FUNDS NEW WORLD A	0.00	3.17	0.00	3.17	92.0	2.92
03/01/2017	COMBS, BRIAN	AM FUNDS NEW WORLD A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	BOCHI, ANDREW	AM FUNDS NEW WORLD A	0.00	3.63	0.00	3.63	92.0	3.34
03/01/2017	MILLER, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	KOZIARSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	ROSS, SALLY	AM FUNDS NEW WORLD A	0.00	1.27	0.00	1.27	92.0	1.17
03/01/2017	COMBS, ROXANNE	AM FUNDS NEW WORLD A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	PEARSON, JOHN	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	KRALL, GARY	AM FUNDS NEW WORLD A	0.00	2.83	0.00	2.83	92.0	2.60
03/01/2017	GARDNER, SHARYL	AM FUNDS NEW WORLD A	0.00	2.84	0.00	2.84	92.0	2.61
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS NEW WORLD A	0.00	1.47	0.00	1.47	92.0	1.35
03/01/2017	DURIS, JOSEPH	AM FUNDS NEW WORLD A	0.00	3.86	0.00	3.86	92.0	3.55
03/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	BARE, HELEN	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	MOLNAR, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	PILEWSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	SUTHERLAND, JOHN	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	PILEWSKI, JOHN	AM FUNDS NEW WORLD A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	GOYER, TIMOTHY	AM FUNDS NEW WORLD A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	MOORE, LINDA	AM FUNDS NEW WORLD A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	0.00	3.00	0.00	3.00	92.0	2.76
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS NEW WORLD A	0.00	0.19	0.00	0.19	92.0	0.17

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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	SMOOT, C STEVEN	AM FUNDS NEW WORLD A	0.00	13.56	0.00	13.56	92.0	12.48
03/01/2017	MARKJA, BERNADINE	AM FUNDS NEW WORLD A	0.00	3.17	0.00	3.17	92.0	2.92
03/01/2017	URSITTI, MATTHEW	AM FUNDS NEW WORLD A	0.00	3.48	0.00	3.48	92.0	3.20
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW WORLD A	0.00	3.72	0.00	3.72	92.0	3.42
03/01/2017	BENSCH, ARLYN	AM FUNDS NEW WORLD A	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	KREMPA, CLAUDE	AM FUNDS NEW WORLD A	0.00	1.42	0.00	1.42	92.0	1.31
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	SHAFFER, LOREN	AM FUNDS NEW WORLD A	0.00	0.89	0.00	0.89	92.0	0.82
03/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	MURPHY, JACK	AM FUNDS NEW WORLD A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.08	0.00	2.08	92.0	1.91
03/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW WORLD A	0.00	2.08	0.00	2.08	92.0	1.91
03/01/2017	MURPHY, CAROL	AM FUNDS NEW WORLD A	0.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	SHAFFER, DENISE	AM FUNDS NEW WORLD A	0.00	4.02	0.00	4.02	92.0	3.70
03/01/2017	COUSINO, SUSAN	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	WASSERMAN, JULIE	AM FUNDS NEW WORLD A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS NEW WORLD A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	ISAACSON, ROBERT	AM FUNDS NEW WORLD A	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	5.45	0.00	5.45	92.0	5.01
03/01/2017	TARRIS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.83	0.00	1.83	92.0	1.68
03/01/2017	MCLAUGHLIN, JAIME	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	92.0	0.41
03/01/2017	KRAUS, JENNIFER	AM FUNDS NEW WORLD A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	GLORE, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.96	0.00	1.96	92.0	1.80
03/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	CURSON, STEVE	AM FUNDS NEW WORLD A	0.00	1.24	0.00	1.24	92.0	1.14
03/01/2017	GARDNER, PATRICIA	AM FUNDS NEW WORLD A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	LECHUGA, CARRIE	AM FUNDS NEW WORLD A	0.00	0.24	0.00	0.24	92.0	0.22
03/01/2017	KISER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	2.17	0.00	2.17	92.0	2.00
03/01/2017	KISER, EDWARD	AM FUNDS NEW WORLD A	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	7.12	0.00	7.12	92.0	6.55

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	14.10	0.00	14.10	92.0	12.97
03/01/2017	KANOUS, JOSHUA	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	WARNER, COREY	AM FUNDS NEW WORLD A	0.00	2.44	0.00	2.44	92.0	2.24
03/01/2017	SCANLAN, DAVID	AM FUNDS NEW WORLD A	0.00	1.61	0.00	1.61	92.0	1.48
03/01/2017	OBERT, RONALD	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	OBERT, DEBORA	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	YOSHINO, DOUGLAS	AM FUNDS NEW WORLD A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2017	FISCHER, DAVID	AM FUNDS NEW WORLD A	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2017	FOX, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	HAUTER, GREGORY	AM FUNDS NEW WORLD A	0.00	0.68	0.00	0.68	92.0	0.63
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	4.61	0.00	4.61	92.0	4.24
03/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	5.88	0.00	5.88	92.0	5.41
03/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	WASSERMAN, FRANK	AM FUNDS NEW WORLD A	0.00	1.60	0.00	1.60	92.0	1.47
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW WORLD A	0.00	8.57	0.00	8.57	92.0	7.88
03/01/2017	HALSEY, DEBORAH	AM FUNDS NEW WORLD A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	KORAKAS, SANDRA	AM FUNDS NEW WORLD A	0.00	1.06	0.00	1.06	92.0	0.98
03/01/2017	BENSCH, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	HILES, MARC	AM FUNDS NEW WORLD A	0.00	2.52	0.00	2.52	92.0	2.32
03/01/2017	SMITH, SUZANNE	AM FUNDS NEW WORLD A	0.00	3.26	0.00	3.26	92.0	3.00
03/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW WORLD A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	GOYER, CALLIE	AM FUNDS NEW WORLD A	0.00	1.80	0.00	1.80	92.0	1.66
03/01/2017	HALSEY, WILLIAM D	AM FUNDS NEW WORLD A	0.00	3.26	0.00	3.26	92.0	3.00
03/01/2017	ZINK, ROBERT	AM FUNDS NEW WORLD A	0.00	2.44	0.00	2.44	92.0	2.24
03/01/2017	LARSON, PENNY	AM FUNDS NEW WORLD A	0.00	1.15	0.00	1.15	92.0	1.06
03/01/2017	COUSINO, NICHOLAS	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	GOYER, GRACE	AM FUNDS NEW WORLD A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	MCFARLAND, BRANDON	AM FUNDS NEW WORLD A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	DRAKE, ERIC	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	ROSS, NICOLE	AM FUNDS NEW WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	COLEMAN, PARISS	AM FUNDS NEW WORLD A	0.00	1.85	0.00	1.85	92.0	1.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SEYMOUR, DONALD	AM FUNDS NEW WORLD C	0.00	10.70	0.00	10.70	92.0	9.84
03/01/2017	KIEFER, SUSAN	AM FUNDS NEW WORLD R2	0.00	9.32	0.00	9.32	92.0	8.57
03/01/2017	TROUT, TINA	AM FUNDS NEW WORLD R2	0.00	5.79	0.00	5.79	92.0	5.33
03/01/2017	LAYTART, MATTHEW	AM FUNDS NEW WORLD R2	0.00	0.15	0.00	0.15	92.0	0.14
03/01/2017	WARREN, JEFFREY	AM FUNDS NEW WORLD R2	0.00	2.16	0.00	2.16	92.0	1.99
03/01/2017	NICHOLSON, JAMES	AM FUNDS NEW WORLD R2	0.00	9.79	0.00	9.79	92.0	9.01
03/01/2017	THOMAS, KATHY	AM FUNDS NEW WORLD R2	0.00	3.77	0.00	3.77	92.0	3.47
03/01/2017	STEFKO, RONALD	AM FUNDS NEW WORLD R2	0.00	0.07	0.00	0.07	92.0	0.06
03/01/2017	BEVILLE, RANDY	AM FUNDS NEW WORLD R2	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	KNAPP, SYLKE	AM FUNDS NEW WORLD R2	0.00	7.09	0.00	7.09	92.0	6.52
03/01/2017	VALADE, JOHN	AM FUNDS NEW WORLD R2	0.00	86.67	0.00	86.67	92.0	79.74
03/01/2017	WHITENBURG, DAWN	AM FUNDS NEW WORLD R2	0.00	8.59	0.00	8.59	92.0	7.90
03/01/2017	SPECK, SHELLEY	AM FUNDS NEW WORLD R2	0.00	13.04	0.00	13.04	92.0	12.00
03/01/2017	SCHOEN, ELIZABETH	AM FUNDS NEW WORLD R2	0.00	26.45	0.00	26.45	92.0	24.33
03/01/2017	SCHOEN, JONATHAN	AM FUNDS NEW WORLD R2	0.00	34.88	0.00	34.88	92.0	32.09
02/28/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
03/01/2017	IRWIN, JOHN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.88	0.00	2.88	92.0	2.65
03/01/2017	GRANT, THOMAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	BLAKE, MIRIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.56	0.00	0.56	92.0	0.52
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	SCHOONOVER, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	HEINAMAN, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.38	0.00	6.38	92.0	5.87
03/01/2017	REEVES, DIANE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	KRALL, GARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.05	0.00	2.05	92.0	1.89
03/01/2017	GARDNER, SHARYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.64	0.00	9.64	92.0	8.87
03/01/2017	DURIS, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.01	0.00	3.01	92.0	2.77
03/01/2017	BARE, HELEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.51	0.00	1.51	92.0	1.39
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.76	0.00	3.76	92.0	3.46
03/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.61	0.00	1.61	92.0	1.48
03/01/2017	PILEWSKI, JOHN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.55	0.00	1.55	92.0	1.43
03/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	BARE III, HARRY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.90	0.00	1.90	92.0	1.75

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	KREMPA, CLAUDE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.14	0.00	1.14	92.0	1.05
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2017	MURPHY, JACK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	MURPHY, CAROL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.04	0.00	2.04	92.0	1.88
03/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.75	0.00	1.75	92.0	1.61
03/01/2017	ROSS, DANIEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.87	0.00	5.87	92.0	5.40
03/01/2017	WALBERG, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	MANN, SUNDAY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	ROSANIA, MICHAEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.03	0.00	0.03	92.0	0.03
03/01/2017	ROSS, KRISTINE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.65	0.00	1.65	92.0	1.52
03/01/2017	ZARAGOZA, JULIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	ZARAGOZA, VICTOR	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	WARNER, COREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	SCANLAN, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.69	0.00	1.69	92.0	1.55
03/01/2017	GERMAN, MARIANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	CARVER, DENISE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.12	0.00	0.12	92.0	0.11
03/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.08	0.00	1.08	92.0	0.99
03/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	FISCHER, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.24	0.00	1.24	92.0	1.14
03/01/2017	FOX, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	HAUETER, GREGORY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.01	0.00	10.01	92.0	9.21
03/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	11.19	0.00	11.19	92.0	10.29
03/01/2017	HORN, TARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.09	0.00	1.09	92.0	1.00
03/01/2017	WASSERMAN, FRANK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.86	0.00	2.86	92.0	2.63
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.51	0.00	3.51	92.0	3.23
03/01/2017	BENSCH, JEFFREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2017	COLEMAN, LINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.43	0.00	1.43	92.0	1.32
03/01/2017	SMITH, SUZANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.34	0.00	2.34	92.0	2.15
03/01/2017	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.40	0.00	5.40	92.0	4.97
03/01/2017	PELLIONI, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.44	0.00	5.44	92.0	5.00

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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	WOODRUFF, STEPHANIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.07	0.00	0.07	92.0	0.06
03/01/2017	ROSS, NICOLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.29	0.00	1.29	92.0	1.19
03/01/2017	KALE, DENNIS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.39	0.00	2.39	92.0	2.20
03/01/2017	MOLNAR, COURTNEY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	LARSON, PENNY	AM FUNDS SHORT TERM TAXEXEMPT BND A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS SMALLCAP WORLD A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2017	DREIER, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	1.73	0.00	1.73	92.0	1.59
03/01/2017	VALADE, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	12.55	0.00	12.55	92.0	11.55
03/01/2017	BOCHI, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	2.41	0.00	2.41	92.0	2.22
03/01/2017	KOZIARSKI, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	8.30	0.00	8.30	92.0	7.64
03/01/2017	HOLT, JEAN	AM FUNDS SMALLCAP WORLD A	0.00	5.11	0.00	5.11	92.0	4.70
03/01/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	2.04	0.00	2.04	92.0	1.88
03/01/2017	PEARSON, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.44	0.00	0.44	92.0	0.40
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	14.74	0.00	14.74	92.0	13.56
03/01/2017	KRALL, GARY	AM FUNDS SMALLCAP WORLD A	0.00	2.40	0.00	2.40	92.0	2.21
03/01/2017	GARDNER, SHARYL	AM FUNDS SMALLCAP WORLD A	0.00	3.07	0.00	3.07	92.0	2.82
03/01/2017	BEE, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	1.29	0.00	1.29	92.0	1.19
03/01/2017	MOLNAR, CONNIE	AM FUNDS SMALLCAP WORLD A	0.00	2.66	0.00	2.66	92.0	2.45
03/01/2017	ONEY, LINDA	AM FUNDS SMALLCAP WORLD A	0.00	5.45	0.00	5.45	92.0	5.01
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	BARE, HELEN	AM FUNDS SMALLCAP WORLD A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS SMALLCAP WORLD A	0.00	2.80	0.00	2.80	92.0	2.58
03/01/2017	MOLNAR, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2017	PILEWSKI, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SMALLCAP WORLD A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2017	GOYER, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	1.65	0.00	1.65	92.0	1.52
03/01/2017	SWINDLE, DARRYL	AM FUNDS SMALLCAP WORLD A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	MARKJA, BERNADINE	AM FUNDS SMALLCAP WORLD A	0.00	1.78	0.00	1.78	92.0	1.64
03/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	SHAFFER, LOREN	AM FUNDS SMALLCAP WORLD A	0.00	0.80	0.00	0.80	92.0	0.74
03/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.36	0.00	0.36	92.0	0.33

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	MURPHY, JACK	AM FUNDS SMALLCAP WORLD A	0.00	1.33	0.00	1.33	92.0	1.22
03/01/2017	KOTLARCYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.63	0.00	0.63	92.0	0.58
03/01/2017	GLORE, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	MURPHY, CAROL	AM FUNDS SMALLCAP WORLD A	0.00	1.56	0.00	1.56	92.0	1.44
03/01/2017	SHAFFER, DENISE	AM FUNDS SMALLCAP WORLD A	0.00	5.36	0.00	5.36	92.0	4.93
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	ZINK, KARIS	AM FUNDS SMALLCAP WORLD A	0.00	1.62	0.00	1.62	92.0	1.49
03/01/2017	IRWIN, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	5.56	0.00	5.56	92.0	5.12
03/01/2017	WALLS, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	GLORE, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	1.62	0.00	1.62	92.0	1.49
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	4.68	0.00	4.68	92.0	4.31
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	13.49	0.00	13.49	92.0	12.41
03/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	3.72	0.00	3.72	92.0	3.42
03/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	9.99	0.00	9.99	92.0	9.19
03/01/2017	HORN, TARA	AM FUNDS SMALLCAP WORLD A	0.00	2.61	0.00	2.61	92.0	2.40
03/01/2017	HILES, MARC	AM FUNDS SMALLCAP WORLD A	0.00	1.82	0.00	1.82	92.0	1.67
03/01/2017	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	0.00	2.43	0.00	2.43	92.0	2.24
03/01/2017	SMITH, PADRAIC	AM FUNDS SMALLCAP WORLD A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	HALSEY, WILLIAM D	AM FUNDS SMALLCAP WORLD A	0.00	4.29	0.00	4.29	92.0	3.95
03/01/2017	GOYER, GRACE	AM FUNDS SMALLCAP WORLD A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	ZABORSKI, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
03/01/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.18	0.00	0.18	92.0	0.17
02/28/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	200.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	0.00	24.27	0.00	24.27	92.0	22.33
03/03/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	250.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	COLEMAN, LINDA	AM FUNDS SMALLCAP WORLD-529A	0.00	1.32	0.00	1.32	92.0	1.21
03/01/2017	HERR, GREGORY	AM FUNDS SMALLCAP WORLD-R2	0.00	25.32	0.00	25.32	92.0	23.29
03/01/2017	SZABO, LINDA	AM FUNDS SMALLCAP WORLD-R2	0.00	63.25	0.00	63.25	92.0	58.19
03/01/2017	SCHOEN, ELIZABETH	AM FUNDS SMALLCAP WORLD-R2	0.00	34.27	0.00	34.27	92.0	31.53
03/01/2017	HOLMES, JAMES	AM FUNDS SMALLCAP WORLD-R2	0.00	8.16	0.00	8.16	92.0	7.51
03/01/2017	CONKLIN, DAVID	AM FUNDS SMALLCAP WORLD-R2	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	SCHOEN, JONATHAN	AM FUNDS SMALLCAP WORLD-R2	0.00	45.64	0.00	45.64	92.0	41.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/27/2017	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	1,000.00	27.50	0.00	27.50	92.0	25.30
03/01/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	600.00	6.00	0.00	6.00	92.0	5.52
03/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.21	0.00	3.21	92.0	2.95
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.23	0.00	6.23	92.0	5.73
03/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	GRANT, THOMAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.06	0.00	2.06	92.0	1.90
03/01/2017	BRUMMETT, DOUGLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.18	0.00	1.18	92.0	1.09
03/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	29.61	0.00	29.61	92.0	27.24
03/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	MILLER, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	REEVES, DIANE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	ROSS, SALLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.99	0.00	0.99	92.0	0.91
03/01/2017	GARDNER, SHARYL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	15.43	0.00	15.43	92.0	14.20
03/01/2017	SUTHERLAND, BARBARA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.25	0.00	0.25	92.0	0.23
03/01/2017	MOORE, LINDA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.80	0.00	0.80	92.0	0.74
03/01/2017	MARKJA, BERNADINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.80	0.00	1.80	92.0	1.66
03/01/2017	BARE III, HARRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.19	0.00	6.19	92.0	5.69
03/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.19	0.00	3.19	92.0	2.93
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.78	0.00	1.78	92.0	1.64
03/01/2017	WASSERMAN, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2017	ISAACSON, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	16.01	0.00	16.01	92.0	14.73
03/01/2017	ZINK, KARIS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	29.99	0.00	29.99	92.0	27.59
03/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.56	0.00	5.56	92.0	5.12
03/01/2017	SILLIMAN, JEFFREY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.94	0.00	3.94	92.0	3.62
03/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.50	0.00	0.50	92.0	0.46

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ROSS, DANIEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	16.48	0.00	16.48	92.0	15.16
03/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	7.03	0.00	7.03	92.0	6.47
03/01/2017	BRILLHART, SHARON	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.14	0.00	2.14	92.0	1.97
03/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2017	RUPP, MARJORIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.71	0.00	1.71	92.0	1.57
03/01/2017	PASCHAL, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.06	0.00	6.06	92.0	5.58
03/01/2017	ROSANIA, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.05	0.00	0.05	92.0	0.05
03/01/2017	ROSANIA, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.04	0.00	0.04	92.0	0.04
03/01/2017	ROSS, KRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.93	0.00	2.93	92.0	2.70
03/01/2017	LECHUGA, CARRIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	KISER, ELIZABETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	ZARAGOZA, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.19	0.00	1.19	92.0	1.09
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.37	0.00	2.37	92.0	2.18
03/01/2017	SCHNEE, LEO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	GERMAN, MARIANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	BRILLHART, GREGORY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	WASSERMAN, FRANK	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.10	0.00	6.10	92.0	5.61
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	11.87	0.00	11.87	92.0	10.92
03/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.48	0.00	3.48	92.0	3.20
03/01/2017	IRWIN, JOYCE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	ROSANIA, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.21	0.00	0.21	92.0	0.19
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	WASSERMAN, RICHARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	LARSON, PENNY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.60	0.00	2.60	92.0	2.39
03/01/2017	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.07	0.00	2.07	92.0	1.90
03/01/2017	GROSVENOR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2017	FAIRCHILD, KERRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.78	0.00	5.78	92.0	5.32
03/01/2017	BIHN, JANELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.33	0.00	2.33	92.0	2.14

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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	MOON, CHARLES	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.94	0.00	5.94	92.0	5.46
03/01/2017	ROSS, NICOLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.49	0.00	2.49	92.0	2.29
03/01/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	64.97	0.00	64.97	92.0	59.77
03/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.60	0.00	3.60	92.0	3.31
03/01/2017	HEINAMAN, ROBERT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	13.08	0.00	13.08	92.0	12.03
03/01/2017	MILLER, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.54	0.00	0.54	92.0	0.50
03/01/2017	REEVES, DIANE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.17	0.00	1.17	92.0	1.08
03/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2017	HENDERSON, BARBARA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	GARDNER, SHARYL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	18.80	0.00	18.80	92.0	17.30
03/01/2017	RONEY, LINDA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	49.53	0.00	49.53	92.0	45.57
03/01/2017	BARE, HELEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.09	0.00	1.09	92.0	1.00
03/01/2017	BARE III, HARRY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.42	0.00	1.42	92.0	1.31
03/01/2017	KREMPA, CLAUDE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.08	0.00	2.08	92.0	1.91
03/01/2017	SANDVIG TRUST, ANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.41	0.00	1.41	92.0	1.30
03/01/2017	IRWIN, JOHN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.10	0.00	11.10	92.0	10.21
03/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	ROSS, DANIEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.24	0.00	3.24	92.0	2.98
03/01/2017	ROSS, KRISTINE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.98	0.00	2.98	92.0	2.74
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.33	0.00	0.33	92.0	0.30
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.54	0.00	0.54	92.0	0.50
03/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.38	0.00	8.38	92.0	7.71
03/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.68	0.00	7.68	92.0	7.07
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.41	0.00	8.41	92.0	7.74
03/01/2017	SMITH, PADRAIC	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	WOODRUFF, STEPHANIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2017	DONNELLY, EMILY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.30	0.00	0.30	92.0	0.28
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.86	0.00	3.86	92.0	3.55
03/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.89	0.00	0.89	92.0	0.82
03/01/2017	OH/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	7,491.35	280.93	0.00	280.93	92.0	258.46
03/01/2017	BLAKE, MIRIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	92.0	0.91
03/01/2017	BENSCH, CANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	92.0	1.55

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GRANT, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2017	DREIER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2017	VALADE, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.27	0.00	7.27	92.0	6.69
03/01/2017	COMBS, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.24	0.00	2.24	92.0	2.06
03/01/2017	BOCHI, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.45	0.00	4.45	92.0	4.09
03/01/2017	SWINDLE, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	92.0	0.14
03/01/2017	REEVES, DIANE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	KOZIARSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.08	0.00	3.08	92.0	2.83
03/01/2017	ROSS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.25	0.00	3.25	92.0	2.99
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.02	0.00	8.02	92.0	7.38
03/01/2017	KRALL, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.49	0.00	3.49	92.0	3.21
03/01/2017	GARDNER, SHARYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.97	0.00	7.97	92.0	7.33
03/01/2017	RONEY, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.10	0.00	41.10	92.0	37.81
03/01/2017	ZUCCARELL, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.02	0.00	1.02	92.0	0.94
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.64	0.00	1.64	92.0	1.51
03/01/2017	BARE, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.15	0.00	2.15	92.0	1.98
03/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.79	0.00	3.79	92.0	3.49
03/01/2017	PILEWSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	WOODRUFF, AUSTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	DAY, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	PILEWSKI, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.64	0.00	1.64	92.0	1.51
03/01/2017	SMOOT, C STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.49	0.00	16.49	92.0	15.17
03/01/2017	HANUDEL, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.05	0.00	7.05	92.0	6.49
03/01/2017	URSITTI, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.70	0.00	3.70	92.0	3.40
03/01/2017	BARE III, HARRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2017	HUNTER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.79	0.00	1.79	92.0	1.65
03/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	92.0	2.08
03/01/2017	KOTLARCZYK, JANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	92.0	0.90
03/01/2017	HARRISON, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.62	0.00	3.62	92.0	3.33
03/01/2017	MURPHY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.74	0.00	4.74	92.0	4.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SHAFFER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.85	0.00	2.85	92.0	2.62
03/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	BEAUPREZ, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	JAKSETIC, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2017	HAUSER, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.94	0.00	10.94	92.0	10.06
03/01/2017	HAUSER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.08	0.00	3.08	92.0	2.83
03/01/2017	STUBLESKI, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.84	0.00	20.84	92.0	19.17
03/01/2017	WALLS, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.38	0.00	0.38	92.0	0.35
03/01/2017	KRAUS, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.97	0.00	1.97	92.0	1.81
03/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.65	0.00	2.65	92.0	2.44
03/01/2017	KORAL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2017	ROSS, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.49	0.00	1.49	92.0	1.37
03/01/2017	CASTOR, TIMOTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2017	HELMINIAK, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	92.0	1.32
03/01/2017	CURSON, STEVE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	92.0	1.39
03/01/2017	ROSS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2017	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.18	0.00	11.18	92.0	10.29
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2017	FLEMING, ANDREA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.89	0.00	2.89	92.0	2.66
03/01/2017	WASSERMAN, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.67	0.00	3.67	92.0	3.38
03/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.05	0.00	11.05	92.0	10.17
03/01/2017	HALSEY, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.37	0.00	2.37	92.0	2.18
03/01/2017	KORAKAS, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	BENSCH, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.26	0.00	3.26	92.0	3.00
03/01/2017	HILES, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.47	0.00	2.47	92.0	2.27
03/01/2017	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.72	0.00	2.72	92.0	2.50
03/01/2017	GOYER, GRACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.71	0.00	1.71	92.0	1.57
03/01/2017	STOUT, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	FAIRCHILD, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	KISER, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.89	0.00	9.89	92.0	9.10
03/01/2017	COLEMAN, PARISS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.12	0.00	5.12	92.0	4.71
03/01/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	120.45	0.00	120.45	92.0	110.81
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	92.0	0.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.58	0.00	5.58	92.0	5.13
03/01/2017	CARVER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	300.00	3.00	0.00	3.00	92.0	2.76
03/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	0.00	17.83	0.00	17.83	92.0	16.40
03/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2020 TARGET DATE-C	0.00	34.31	0.00	34.31	92.0	31.57
03/01/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	600.00	6.00	0.00	6.00	92.0	5.52
03/01/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	54.57	0.00	54.57	92.0	50.20
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	1.74	0.00	1.74	92.0	1.60
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.15	0.00	1.15	92.0	1.06
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	0.78	0.00	0.78	92.0	0.72
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.17	0.00	1.17	92.0	1.08
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	0.97	0.00	0.97	92.0	0.89
03/01/2017	WOODRUFF, STEPHANIE	INFLATION LINKED BOND FUND A	0.00	0.20	0.00	0.20	92.0	0.18
03/01/2017	TROUT, TINA	U.S. GOVERNMENT SECURITIES FUND-R2	0.00	5.70	0.00	5.70	92.0	5.24
03/01/2017	HOLMES, JAMES	U.S. GOVERNMENT SECURITIES FUND-R2	0.00	6.43	0.00	6.43	92.0	5.92
* MUTUAL FUNDS SUBTOTAL *			\$39,931.63	\$9,259.04	\$0.00	\$9,259.04		\$8,518.24
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2017	IRWIN, JOHN	JNL ELITE ACCESS	138,349.47	28.82	0.00	28.82	92.0	26.51
02/28/2017	DEMKO, VERNA	JNL PERSPECTIVE	50,267.49	10.47	0.00	10.47	92.0	9.63
02/28/2017	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,444.71	1.44	0.00	1.44	92.0	1.32
02/28/2017	LONG, LORI	JNL PERSPECTIVE L	14,651.75	12.21	0.00	12.21	92.0	11.23
02/28/2017	BENSCH, ARLYN	JNL PERSPECTIVE L	31,108.92	25.92	0.00	25.92	92.0	23.85
02/28/2017	BENSCH, CANDACE	JNL PERSPECTIVE L	26,448.88	22.04	0.00	22.04	92.0	20.28
02/28/2017	KRALL, JERRY	JOHN HANCOCK VENTURE III	42,799.80	35.67	0.00	35.67	92.0	32.82
02/28/2017	KEEFE, GERALD	JOHN HANCOCK VENTURE III	14,127.80	11.77	0.00	11.77	92.0	10.83
02/28/2017	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	109,370.37	91.14	0.00	91.14	92.0	83.85
02/28/2017	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	44,191.50	36.83	0.00	36.83	92.0	33.88
02/28/2017	GARDNER, WM	JOHN HANCOCK VENTURE III	120,734.32	100.61	0.00	100.61	92.0	92.56
02/28/2017	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	61,448.52	51.21	0.00	51.21	92.0	47.11
02/28/2017	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	60,787.75	50.66	0.00	50.66	92.0	46.61
02/28/2017	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	107,092.36	89.24	0.00	89.24	92.0	82.10
02/28/2017	MOORE, GARY	JOHN HANCOCK VENTURE III	83,142.94	69.29	0.00	69.29	92.0	63.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2017	IRWIN, JOHN	JOHN HANCOCK VENTURE III	70,670.87	58.89	0.00	58.89	92.0	54.18
02/28/2017	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	53,729.08	44.77	0.00	44.77	92.0	41.19
02/28/2017	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	53,392.60	44.49	0.00	44.49	92.0	40.93
02/24/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	REEVES, TERRENCE	MML ARTISTRY	70.00	3.85	0.00	3.85	92.0	3.54
* VARIABLE ANNUITIES SUBTOTAL *			\$1,085,879.13	\$792.07	\$0.00	\$792.07		\$728.70
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/22/2017	YOSHINO, KAREN	ING PREMIUM PLUS	0.00	47.19	0.00	47.19	92.0	43.41
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$47.19	\$0.00	\$47.19		\$43.41
*** BROKER TRANSACTIONS TOTAL ***			\$1,125,810.76	\$10,098.30	\$0.00	\$10,098.30		\$9,290.35

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

03/01/2017	ALDRICH, JAMI	AM FUNDS AMCAP A	0.00	0.54	0.00	0.54	85.0	0.04
03/01/2017	ABBE JR, GARY	AM FUNDS AMCAP A	0.00	1.60	0.00	1.60	85.0	0.11
03/01/2017	PAPIO, AARON	AM FUNDS AMCAP A	0.00	0.53	0.00	0.53	85.0	0.04
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	5.23	0.00	5.23	85.0	0.37
03/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	85.0	0.05
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS AMERICAN BALANCED A	0.00	3.36	0.00	3.36	85.0	0.24
03/01/2017	FOSTER, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	85.0	0.03
03/01/2017	WRAY, KIM	AM FUNDS AMERICAN BALANCED A	0.00	9.90	0.00	9.90	85.0	0.69
03/01/2017	PAPIO, JOE	AM FUNDS AMERICAN BALANCED A	0.00	0.58	0.00	0.58	85.0	0.04
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	8.84	0.00	8.84	85.0	0.62
03/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	0.32	0.00	0.32	85.0	0.02
03/01/2017	MEREDITH, TERESE	AM FUNDS AMERICAN BALANCED A	0.00	2.13	0.00	2.13	85.0	0.15
03/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.07	0.00	4.07	85.0	0.28
03/01/2017	KRAMER, DELANEY	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	85.0	0.01
03/01/2017	KRAMER, KARYS	AM FUNDS AMERICAN BALANCED A	0.00	0.24	0.00	0.24	85.0	0.02
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	85.0	0.09
03/01/2017	ALDRICH, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	85.0	0.01
03/01/2017	LEININGER, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	2.18	0.00	2.18	85.0	0.15
03/01/2017	PERRY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	6.49	0.00	6.49	85.0	0.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	8.77	0.00	8.77	85.0	0.61
03/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.96	0.00	0.96	85.0	0.07
03/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.79	0.00	1.79	85.0	0.13
03/01/2017	VESEY, ROBERT	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.32	0.00	0.32	85.0	0.02
03/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.38	0.00	0.38	85.0	0.03
03/01/2017	RICHARDS, STEPHEN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.74	0.00	1.74	85.0	0.12
03/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.19	0.00	0.19	85.0	0.01
03/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.16	0.00	0.16	85.0	0.01
03/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.03	0.00	2.03	85.0	0.14
03/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	5.66	0.00	5.66	85.0	0.40
03/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	18.45	0.00	18.45	85.0	1.29
03/01/2017	DESELMS, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.57	0.00	1.57	85.0	0.11
03/01/2017	DESELMS, ELEVLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.49	0.00	6.49	85.0	0.45
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.62	0.00	3.62	85.0	0.25
03/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.41	0.00	0.41	85.0	0.03
03/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.64	0.00	0.64	85.0	0.04
03/01/2017	BAKER, ELAINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.98	0.00	4.98	85.0	0.35
03/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.66	0.00	0.66	85.0	0.05
03/01/2017	BAUMGARTNER, DIANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.40	0.00	5.40	85.0	0.38
03/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.14	0.00	1.14	85.0	0.08
03/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.68	0.00	0.68	85.0	0.05
03/01/2017	HAWBLITZ, PETER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.21	0.00	3.21	85.0	0.22
03/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.58	0.00	5.58	85.0	0.39
03/01/2017	VESEY, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.70	0.00	0.70	85.0	0.05
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.38	0.00	7.38	85.0	0.52
03/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	85.0	0.02
03/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.35	0.00	0.35	85.0	0.02
03/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.17	0.00	0.17	85.0	0.01
03/01/2017	ABBE JR, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.68	0.00	1.68	85.0	0.12
03/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.34	0.00	1.34	85.0	0.09
03/01/2017	DREEZE, MARCELINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.70	0.00	0.70	85.0	0.05
03/01/2017	MI/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.54	0.00	2.54	85.0	0.18
03/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.14	0.00	10.14	85.0	0.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	MEREDITH, JEFFERY	AM FUNDS AMERICAN MUTUAL A	0.00	2.15	0.00	2.15	85.0	0.15
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.19	0.00	3.19	85.0	0.22
03/01/2017	FOSTER, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.32	0.00	0.32	85.0	0.02
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.11	0.00	4.11	85.0	0.29
03/01/2017	RIEBE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.22	0.00	3.22	85.0	0.23
03/01/2017	HALSEY, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.16	0.00	0.16	85.0	0.01
03/01/2017	DIENER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.27	0.00	8.27	85.0	0.58
03/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.90	0.00	7.90	85.0	0.55
03/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	85.0	0.05
03/01/2017	LEININGER, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	85.0	0.08
03/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.17	0.00	1.17	85.0	0.08
03/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.21	0.00	5.21	85.0	0.36
03/01/2017	NOWAK, COLETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.86	0.00	1.86	85.0	0.13
03/01/2017	BAUMGARTNER, DIANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.29	0.00	4.29	85.0	0.30
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.22	0.00	2.22	85.0	0.16
03/01/2017	FOSTER, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.01	0.00	3.01	85.0	0.21
03/01/2017	WRAY, KIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.01	0.00	14.01	85.0	0.98
03/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.64	0.00	5.64	85.0	0.39
03/01/2017	VESEY, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	85.0	0.04
03/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	85.0	0.06
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.72	0.00	11.72	85.0	0.82
03/01/2017	MEREDITH, TERESE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	85.0	0.11
03/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02
03/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.27	0.00	8.27	85.0	0.58
03/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.49	0.00	3.49	85.0	0.24
03/01/2017	FISHER, SCOTT TW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	85.0	0.21
03/01/2017	FRENCH, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	85.0	0.02
03/01/2017	FRENCH, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	85.0	0.02
03/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	85.0	0.03
03/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	85.0	0.04
03/01/2017	KRAL, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.22	0.00	2.22	85.0	0.16
03/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	85.0	0.09
03/01/2017	STACY, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
03/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	85.0	0.05
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	85.0	0.09
03/01/2017	LATTA, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	85.0	0.05
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.13	0.00	6.13	85.0	0.43
03/01/2017	MI/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.58	0.00	5.58	85.0	0.39
03/01/2017	PERRY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.07	0.00	5.07	85.0	0.35
03/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	8.81	0.00	8.81	85.0	0.62
03/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS CAPITAL WORLD BOND A	0.00	5.44	0.00	5.44	85.0	0.38
03/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS CAPITAL WORLD BOND A	0.00	5.45	0.00	5.45	85.0	0.38
03/01/2017	HALSEY, WILLIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.15	0.00	0.15	85.0	0.01
03/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.30	0.00	0.30	85.0	0.02
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD BOND A	0.00	2.94	0.00	2.94	85.0	0.21
03/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.42	0.00	1.42	85.0	0.10
03/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.20	0.00	2.20	85.0	0.15
03/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.22	0.00	9.22	85.0	0.65
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.85	0.00	6.85	85.0	0.48
03/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.63	0.00	0.63	85.0	0.04
03/01/2017	LEININGER, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.79	0.00	1.79	85.0	0.13
03/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.40	0.00	9.40	85.0	0.66
03/01/2017	JOHNSON, ZACHARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.83	0.00	0.83	85.0	0.06
03/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.39	0.00	2.39	85.0	0.17
03/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.46	0.00	2.46	85.0	0.17
03/01/2017	JOHNSON, CHLOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	85.0	0.06
03/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	85.0	0.09
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	85.0	0.09
03/01/2017	WRAY, KIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.08	0.00	7.08	85.0	0.50
03/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.05	0.00	5.05	85.0	0.35
03/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	VESEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	85.0	0.03
03/01/2017	PAPIO, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	85.0	0.03
03/01/2017	PAPIO, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	85.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.02	0.00	1.02	85.0	0.07
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.73	0.00	7.73	85.0	0.54
03/01/2017	MEREDITH, JEFFERY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.53	0.00	2.53	85.0	0.18
03/01/2017	KRAMER, TRISTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	ZORNOW, JORDAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	85.0	0.07
03/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	85.0	0.02
03/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.73	0.00	7.73	85.0	0.54
03/01/2017	LEININGER, CHRISTAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	85.0	0.04
03/01/2017	ABBE JR, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	85.0	0.03
03/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.34	0.00	0.34	85.0	0.02
03/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	85.0	0.02
03/01/2017	HARRISON, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	85.0	0.09
03/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	85.0	0.07
03/01/2017	STACY, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	85.0	0.01
03/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	85.0	0.03
03/01/2017	GRAHAM, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	85.0	0.02
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.33	0.00	7.33	85.0	0.51
03/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.02	0.00	6.02	85.0	0.42
03/01/2017	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.03	0.00	2.03	85.0	0.14
03/01/2017	PERRY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.08	0.00	9.08	85.0	0.64
03/01/2017	FRANTZ, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	WRAY, KIM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.56	0.00	4.56	85.0	0.32
03/01/2017	ZORNOW, JORDAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.21	0.00	1.21	85.0	0.08
03/01/2017	FISHER, SCOTT TW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.88	0.00	2.88	85.0	0.20
03/01/2017	LEININGER, KENNETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.97	0.00	0.97	85.0	0.07
03/01/2017	DIENER, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.65	0.00	6.65	85.0	0.47
03/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	85.0	0.08
03/01/2017	DESELMS, ELEVLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.37	0.00	10.37	85.0	0.73
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.17	0.00	16.17	85.0	1.13
03/01/2017	KREMPEC, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.00	0.00	1.00	85.0	0.07
03/01/2017	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.37	0.00	2.37	85.0	0.17
03/01/2017	FOSTER, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.69	0.00	0.69	85.0	0.05
03/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.95	0.00	0.95	85.0	0.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	BAKER, ELAINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.72	0.00	6.72	85.0	0.47
03/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.12	0.00	2.12	85.0	0.15
03/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.93	0.00	1.93	85.0	0.14
03/01/2017	WRAY, KIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.91	0.00	6.91	85.0	0.48
03/01/2017	EYLER, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.11	0.00	12.11	85.0	0.85
03/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.27	0.00	2.27	85.0	0.16
03/01/2017	DENHAM, CONSTANCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	85.0	0.03
03/01/2017	JOHNSON, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	85.0	0.10
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.82	0.00	12.82	85.0	0.90
03/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	85.0	0.03
03/01/2017	MEREDITH, TERESE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.74	0.00	2.74	85.0	0.19
03/01/2017	MEREDITH, JEFFERY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.19	0.00	2.19	85.0	0.15
03/01/2017	KRAMER, TRISTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.76	0.00	0.76	85.0	0.05
03/01/2017	ZORNOW, JORDAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.43	0.00	2.43	85.0	0.17
03/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	85.0	0.03
03/01/2017	LEININGER, CHRISTAH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.52	0.00	0.52	85.0	0.04
03/01/2017	FISHER, SCOTT TW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.56	0.00	4.56	85.0	0.32
03/01/2017	HALSEY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.18	0.00	0.18	85.0	0.01
03/01/2017	LEININGER, ZACHARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	LEININGER, ELI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	ALDRICH, JAMI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.53	0.00	0.53	85.0	0.04
03/01/2017	FRENCH, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.46	0.00	0.46	85.0	0.03
03/01/2017	FRENCH, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.46	0.00	0.46	85.0	0.03
03/01/2017	KRAMER, DELANEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	85.0	0.02
03/01/2017	ABBE JR, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.66	0.00	3.66	85.0	0.26
03/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.17	0.00	0.17	85.0	0.01
03/01/2017	KRAMER, KARYS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	85.0	0.02
03/01/2017	HARRISON, JERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.19	0.00	2.19	85.0	0.15
03/01/2017	DREEZE, MARCELINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.52	0.00	1.52	85.0	0.11
03/01/2017	STACY, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.64	0.00	0.64	85.0	0.04
03/01/2017	CANNON, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.60	0.00	0.60	85.0	0.04
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.45	0.00	1.45	85.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
03/01/2017	LATTA, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.07	0.00	1.07	85.0	0.07
03/01/2017	GRAHAM, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	85.0	0.02
03/01/2017	ALDRICH, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.22	0.00	0.22	85.0	0.02
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.35	0.00	10.35	85.0	0.72
03/01/2017	MI/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.69	0.00	6.69	85.0	0.47
03/01/2017	PAPIO, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.32	0.00	0.32	85.0	0.02
03/01/2017	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.14	0.00	2.14	85.0	0.15
03/01/2017	PERRY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.79	0.00	8.79	85.0	0.62
03/01/2017	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	0.00	0.38	0.00	0.38	85.0	0.03
03/01/2017	DIENER, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.24	0.00	2.24	85.0	0.16
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.00	0.00	4.00	85.0	0.28
03/01/2017	BAKER, ELAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.73	0.00	5.73	85.0	0.40
03/01/2017	NOWAK, COLETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	85.0	0.03
03/01/2017	BAUMGARTNER, DIANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	85.0	0.18
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.43	0.00	2.43	85.0	0.17
03/01/2017	FOSTER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	85.0	0.07
03/01/2017	WRAY, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.18	0.00	3.18	85.0	0.22
03/01/2017	DESELMS, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	85.0	0.03
03/01/2017	KRAMER, DELANEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	85.0	0.02
03/01/2017	BELKOFER, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	85.0	0.04
03/01/2017	KRAMER, KARYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	85.0	0.02
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	85.0	0.05
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.36	0.00	3.36	85.0	0.24
03/01/2017	LEININGER, KENNETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.05	0.00	1.05	85.0	0.07
03/01/2017	DIENER, RONALD	AM FUNDS ICA A	0.00	6.12	0.00	6.12	85.0	0.43
03/01/2017	MEREDITH, TERESE	AM FUNDS ICA A	0.00	2.08	0.00	2.08	85.0	0.15
03/01/2017	ZORNOW, JORDAN	AM FUNDS ICA A	0.00	2.25	0.00	2.25	85.0	0.16
03/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS ICA A	0.00	7.81	0.00	7.81	85.0	0.55
03/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS ICA A	0.00	7.84	0.00	7.84	85.0	0.55
03/01/2017	KRIEGER, RENEE	AM FUNDS ICA A	0.00	9.89	0.00	9.89	85.0	0.69
03/01/2017	BELKOFER, STACEY	AM FUNDS ICA A	0.00	0.59	0.00	0.59	85.0	0.04
03/01/2017	GRAHAM, DAVID	AM FUNDS ICA A	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	DIENER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.56	0.00	20.56	85.0	1.44

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.56	0.00	0.56	85.0	0.04
03/01/2017	FOSTER, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.71	0.00	0.71	85.0	0.05
03/01/2017	BAKER, ELAINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.24	0.00	4.24	85.0	0.30
03/01/2017	HAWBLITZ, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.76	0.00	3.76	85.0	0.26
03/01/2017	PAPIO, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.34	0.00	0.34	85.0	0.02
03/01/2017	PAPIO, JOE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	85.0	0.03
03/01/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	85.0	0.03
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.69	0.00	12.69	85.0	0.89
03/01/2017	FRANTZ, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.33	0.00	0.33	85.0	0.02
03/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.26	0.00	15.26	85.0	1.07
03/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.51	0.00	15.51	85.0	1.09
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.15	0.00	1.15	85.0	0.08
03/01/2017	ALDRICH, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	LEININGER, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.56	0.00	2.56	85.0	0.18
03/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.53	0.00	0.53	85.0	0.04
03/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.68	0.00	0.68	85.0	0.05
03/01/2017	DIENER, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	8.25	0.00	8.25	85.0	0.58
03/01/2017	RIEBE, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.23	0.00	3.23	85.0	0.23
03/01/2017	KRAL, ADAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.26	0.00	1.26	85.0	0.09
03/01/2017	LATTA, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.44	0.00	0.44	85.0	0.03
03/01/2017	ALDRICH, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.16	0.00	0.16	85.0	0.01
03/01/2017	LEININGER, KENNETH	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.95	0.00	1.95	85.0	0.14
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS MORTGAGE A	0.00	3.05	0.00	3.05	85.0	0.21
03/01/2017	DESELMS, ELEVLYN	AM FUNDS NEW ECONOMY A	0.00	10.16	0.00	10.16	85.0	0.71
03/01/2017	KRIEGER, RENEE	AM FUNDS NEW ECONOMY A	0.00	8.78	0.00	8.78	85.0	0.61
03/01/2017	FISHER, SCOTT TW	AM FUNDS NEW ECONOMY A	0.00	4.30	0.00	4.30	85.0	0.30
03/01/2017	LEININGER, ZACHARY	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	LEININGER, ELI	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	3.43	0.00	3.43	85.0	0.24
03/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	BAKER, ELAINE	AM FUNDS NEW PERSPECTIVE A	0.00	5.49	0.00	5.49	85.0	0.38
03/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.50	0.00	0.50	85.0	0.04
03/01/2017	WRAY, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	3.51	0.00	3.51	85.0	0.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	KRIEGER, RENEE	AM FUNDS NEW PERSPECTIVE A	0.00	7.08	0.00	7.08	85.0	0.50
03/01/2017	ABBE JR, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.71	0.00	0.71	85.0	0.05
03/01/2017	PAPPIO, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	85.0	0.02
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.65	0.00	2.65	85.0	0.19
03/01/2017	LEININGER, LISA	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	85.0	0.04
03/01/2017	WRAY, KIM	AM FUNDS NEW WORLD A	0.00	4.77	0.00	4.77	85.0	0.33
03/01/2017	EYLER, BARBARA	AM FUNDS NEW WORLD A	0.00	2.74	0.00	2.74	85.0	0.19
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	10.05	0.00	10.05	85.0	0.70
03/01/2017	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	0.91	0.00	0.91	85.0	0.06
03/01/2017	BAKER, ELAINE	AM FUNDS SMALLCAP WORLD A	0.00	4.81	0.00	4.81	85.0	0.34
03/01/2017	WRAY, KIM	AM FUNDS SMALLCAP WORLD A	0.00	5.43	0.00	5.43	85.0	0.38
03/01/2017	EYLER, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	3.20	0.00	3.20	85.0	0.22
03/01/2017	MEREDITH, TERESE	AM FUNDS SMALLCAP WORLD A	0.00	1.82	0.00	1.82	85.0	0.13
03/01/2017	MEREDITH, JEFFERY	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	85.0	0.10
03/01/2017	ZORNOW, JORDAN	AM FUNDS SMALLCAP WORLD A	0.00	2.09	0.00	2.09	85.0	0.15
03/01/2017	LEININGER, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.21	0.00	0.21	85.0	0.01
03/01/2017	LEININGER, ELI	AM FUNDS SMALLCAP WORLD A	0.00	0.21	0.00	0.21	85.0	0.01
03/01/2017	ALDRICH, JAMI	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	85.0	0.03
03/01/2017	FRENCH, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.17	0.00	0.17	85.0	0.01
03/01/2017	FRENCH, RICHARD	AM FUNDS SMALLCAP WORLD A	0.00	0.17	0.00	0.17	85.0	0.01
03/01/2017	ABBE JR, GARY	AM FUNDS SMALLCAP WORLD A	0.00	2.45	0.00	2.45	85.0	0.17
03/01/2017	BELKOFER, STACEY	AM FUNDS SMALLCAP WORLD A	0.00	0.35	0.00	0.35	85.0	0.02
03/01/2017	KRAL, ADAM	AM FUNDS SMALLCAP WORLD A	0.00	1.69	0.00	1.69	85.0	0.12
03/01/2017	DREEZE, MARCELINA	AM FUNDS SMALLCAP WORLD A	0.00	0.88	0.00	0.88	85.0	0.06
03/01/2017	CANNON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	0.49	0.00	0.49	85.0	0.03
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	85.0	0.06
03/01/2017	LATTA, MARY	AM FUNDS SMALLCAP WORLD A	0.00	0.84	0.00	0.84	85.0	0.06
03/01/2017	GRAHAM, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	0.36	0.00	0.36	85.0	0.03
03/01/2017	ALDRICH, SUSAN	AM FUNDS SMALLCAP WORLD A	0.00	0.19	0.00	0.19	85.0	0.01
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS SMALLCAP WORLD A	0.00	4.99	0.00	4.99	85.0	0.35
03/01/2017	MI/TOD	AM FUNDS SMALLCAP WORLD A	0.00	8.14	0.00	8.14	85.0	0.57
03/01/2017	PAPPIO, AARON	AM FUNDS SMALLCAP WORLD A	0.00	0.28	0.00	0.28	85.0	0.02
03/01/2017	LEININGER, KENNETH	AM FUNDS SMALLCAP WORLD A	0.00	1.02	0.00	1.02	85.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
02/28/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
03/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	85.0	1.19
03/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.16	0.00	3.16	85.0	0.22
03/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	85.0	0.26
03/01/2017	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	85.0	0.05
03/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	85.0	0.07
03/01/2017	TANGEMAN, JEANETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	27.33	0.00	27.33	85.0	1.91
03/01/2017	DESELMS, ELEVLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.83	0.00	8.83	85.0	0.62
03/01/2017	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.09	0.00	0.09	85.0	0.01
03/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.96	0.00	11.96	85.0	0.84
03/01/2017	FILIPEK, BETHANY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.09	0.00	3.09	85.0	0.22
03/01/2017	DESELMS, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.90	0.00	3.90	85.0	0.27
03/01/2017	BASSETT, HANNAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	85.0	0.07
03/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.06	0.00	1.06	85.0	0.07
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.98	0.00	3.98	85.0	0.28
03/01/2017	BEISWENGER, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.02	0.00	6.02	85.0	0.42
03/01/2017	COUSINO, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.09	0.00	26.09	85.0	1.83
03/01/2017	TAYLOR, GERALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.88	0.00	12.88	85.0	0.90
03/01/2017	KREMPEC, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.22	0.00	0.22	85.0	0.02
03/01/2017	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	85.0	0.14
03/01/2017	FILIPEK, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.06	0.00	20.06	85.0	1.40
03/01/2017	AUGUSTYNIAK, SETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	85.0	0.11
03/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	85.0	0.05
03/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.85	0.00	0.85	85.0	0.06
03/01/2017	BAKER, ELAINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.31	0.00	6.31	85.0	0.44
03/01/2017	DIERKSHEIDE, TRACI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.65	0.00	1.65	85.0	0.12
03/01/2017	JOHNSON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.58	0.00	0.58	85.0	0.04
03/01/2017	FRANTZ, KAYLYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	85.0	0.05
03/01/2017	FRANTZ, CASSANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	85.0	0.05
03/01/2017	NOWAK, COLETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.80	0.00	0.80	85.0	0.06
03/01/2017	BAUMGARTNER, DIANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.88	0.00	6.88	85.0	0.48
03/01/2017	ANNESSER, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.58	0.00	0.58	85.0	0.04
03/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.92	0.00	1.92	85.0	0.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.91	0.00	1.91	85.0	0.13
03/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.61	0.00	8.61	85.0	0.60
03/01/2017	JACKSON, MARNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.31	0.00	12.31	85.0	0.86
03/01/2017	JOHNSON, CHLOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	85.0	0.05
03/01/2017	BASSETT, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	85.0	0.03
03/01/2017	COOK, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.59	0.00	0.59	85.0	0.04
03/01/2017	KRIEGER, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.17	0.00	3.17	85.0	0.22
03/01/2017	FRANTZ, KARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	85.0	0.04
03/01/2017	RIEBE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.87	0.00	1.87	85.0	0.13
03/01/2017	HAWBLITZ, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.66	0.00	5.66	85.0	0.40
03/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.07	0.00	4.07	85.0	0.28
03/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.11	0.00	3.11	85.0	0.22
03/01/2017	WRAY, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.52	0.00	13.52	85.0	0.95
03/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	85.0	0.03
03/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.63	0.00	2.63	85.0	0.18
03/01/2017	VESEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	85.0	0.07
03/01/2017	THANASIU, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.37	0.00	1.37	85.0	0.10
03/01/2017	PAPIO, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.57	0.00	0.57	85.0	0.04
03/01/2017	PAPIO, JOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	85.0	0.03
03/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.59	0.00	0.59	85.0	0.04
03/01/2017	ZORNOW TRUST, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.81	0.00	17.81	85.0	1.25
03/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	85.0	0.03
03/01/2017	MEREDITH, TERESE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	85.0	0.07
03/01/2017	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.27	0.00	4.27	85.0	0.30
03/01/2017	KRAMER, TRISTON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	85.0	0.04
03/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.54	0.00	8.54	85.0	0.60
03/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.61	0.00	8.61	85.0	0.60
03/01/2017	KRIEGER, RENEE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.34	0.00	8.34	85.0	0.58
03/01/2017	FISHER, SCOTT TW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.92	0.00	3.92	85.0	0.27
03/01/2017	LEININGER, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	LEININGER, ELI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	ALDRICH, JAMI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.49	0.00	0.49	85.0	0.03
03/01/2017	FRENCH, VICTORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	85.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/01/2017	FRENCH, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	85.0	0.02
03/01/2017	KRAMER, DELANEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.22	0.00	0.22	85.0	0.02
03/01/2017	ABBE JR, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.29	0.00	3.29	85.0	0.23
03/01/2017	BELKOFER, STACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.41	0.00	0.41	85.0	0.03
03/01/2017	KRAMER, KARYS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	85.0	0.02
03/01/2017	KRAL, ADAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.88	0.00	2.88	85.0	0.20
03/01/2017	DREEZE, MARCELINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.77	0.00	1.77	85.0	0.12
03/01/2017	STACY, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.34	0.00	0.34	85.0	0.02
03/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	85.0	0.05
03/01/2017	SAPP, ANGELAMARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.73	0.00	1.73	85.0	0.12
03/01/2017	LATTA, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
03/01/2017	GRAHAM, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	85.0	0.02
03/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.12	0.00	10.12	85.0	0.71
03/01/2017	MI/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.82	0.00	7.82	85.0	0.55
03/01/2017	PAPIO, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	85.0	0.03
03/01/2017	LEININGER, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.19	0.00	3.19	85.0	0.22
03/01/2017	PERRY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.44	0.00	14.44	85.0	1.01
03/01/2017	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	85.0	0.02
03/01/2017	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.50	0.00	3.50	85.0	0.25
02/16/2017	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	300.00	11.25	0.00	11.25	85.0	0.79
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	6.57	0.00	6.57	85.0	0.46
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	2.74	0.00	2.74	85.0	0.19
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	3.85	0.00	3.85	85.0	0.27
/ /	KRAL, ADAM	FIDELITY ADV HEALTH CARE T	0.00	0.99	0.00	0.99	85.0	0.07
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	4.91	0.00	4.91	85.0	0.34
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	3.37	0.00	3.37	85.0	0.24
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	3.32	0.00	3.32	85.0	0.23
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	5.13	0.00	5.13	85.0	0.36
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	5.32	0.00	5.32	85.0	0.37
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	7.05	0.00	7.05	85.0	0.49
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY GROWTH T	0.00	2.66	0.00	2.66	85.0	0.19
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	4.61	0.00	4.61	85.0	0.32
02/28/2017	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	5.48	0.00	5.48	85.0	0.38

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	5.40	0.00	5.40	85.0	0.38
/ /	KRAL, ADAM	FIDELITY MIDCAP T	0.00	0.84	0.00	0.84	85.0	0.06
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	12.64	0.00	12.64	85.0	0.88
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	5.97	0.00	5.97	85.0	0.42
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	4.96	0.00	4.96	85.0	0.35
02/28/2017	BUEHRER, DANIEL	JNL PERSPECTIVE L	174,703.15	145.59	0.00	145.59	85.0	10.19
02/28/2017	NOWAK, DAVID	JOHN HANCOCK VENTURE III	17,891.01	14.91	0.00	14.91	85.0	1.04
02/28/2017	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	50,724.84	42.27	0.00	42.27	85.0	2.96
02/28/2017	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	40,109.95	33.42	0.00	33.42	85.0	2.34
03/01/2017	DESELMS, ROBERT	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.64	0.00	0.64	85.0	0.04
03/01/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
* THOMAS HALSEY SUBTOTAL *			\$284,228.95	\$1,514.10	\$0.00	\$1,514.10		\$106.02
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/01/2017	MANNON, ANN	AM FUNDS 2010 TARGET DATE R2	0.00	18.25	0.00	18.25	90.0	0.37
03/01/2017	SCHMIDBAUER, JOSEPH	AM FUNDS 2015 TARGET DATE R2	0.00	111.83	0.00	111.83	90.0	2.24
03/01/2017	SCHMIDBAUER, ROBIN	AM FUNDS 2025 TARGET DATE R2	0.00	62.47	0.00	62.47	90.0	1.25
03/01/2017	WILSON, SHANNON	AM FUNDS 2030 TARGET DATE R2	0.00	6.68	0.00	6.68	90.0	0.13
03/01/2017	COURTS, TRACI	AM FUNDS 2030 TARGET DATE R2	0.00	1.68	0.00	1.68	90.0	0.03
03/01/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	3.42	0.00	3.42	90.0	0.07
03/01/2017	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	11.34	0.00	11.34	90.0	0.23
03/01/2017	NEITZ, DONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	0.08
03/01/2017	SCHUMACHER, ROSEMARY	AM FUNDS BOND FUND OF AMERICA A	0.00	5.40	0.00	5.40	90.0	0.11
03/01/2017	MAXFIELD, RICHARD	AM FUNDS BOND FUND OF AMERICA A	0.00	18.97	0.00	18.97	90.0	0.38
03/01/2017	PENNINGTON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	11.97	0.00	11.97	90.0	0.24
03/01/2017	SHAFFER TRUST, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	14.02	0.00	14.02	90.0	0.28
03/01/2017	GRAHAM, JUDY	AM FUNDS BOND FUND OF AMERICA A	0.00	7.26	0.00	7.26	90.0	0.15
03/01/2017	DAVIS, HOWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	6.38	0.00	6.38	90.0	0.13
03/01/2017	MICHALSKI, PAIGE	AM FUNDS BOND FUND OF AMERICA A	0.00	7.51	0.00	7.51	90.0	0.15
03/01/2017	HILEMAN, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	27.22	0.00	27.22	90.0	0.54
03/01/2017	MOORE CHARIT TRUST, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	16.40	0.00	16.40	90.0	0.33
03/01/2017	BLADEL, JACQUELYN	AM FUNDS BOND FUND OF AMERICA A	0.00	76.73	0.00	76.73	90.0	1.53
03/01/2017	RICE, GREGG	AM FUNDS BOND FUND OF AMERICA A	0.00	35.77	0.00	35.77	90.0	0.72
03/01/2017	MITTEN, ETTA	AM FUNDS BOND FUND OF AMERICA A	0.00	38.92	0.00	38.92	90.0	0.78

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
03/01/2017	GRUBB, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	0.00	30.91	0.00	30.91	90.0	0.62
03/01/2017	JACOB TRUST, MARILYN	AM FUNDS BOND FUND OF AMERICA A	0.00	31.96	0.00	31.96	90.0	0.64
03/01/2017	RICE, PAMELA	AM FUNDS BOND FUND OF AMERICA A	0.00	8.24	0.00	8.24	90.0	0.16
03/01/2017	ROSSWURM, ELAINE	AM FUNDS BOND FUND OF AMERICA A	0.00	15.70	0.00	15.70	90.0	0.31
03/01/2017	SCHMIDBAUER, JOSEPH	AM FUNDS BOND FUND OF AMERICA R2	0.00	58.20	0.00	58.20	90.0	1.16
03/01/2017	MEYER, JILL	AM FUNDS BOND FUND OF AMERICA R2	0.00	11.39	0.00	11.39	90.0	0.23
03/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.70	0.00	3.70	90.0	0.07
03/01/2017	JACOB TRUST, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.16	0.00	4.16	90.0	0.08
03/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD BOND A	0.00	6.70	0.00	6.70	90.0	0.13
03/01/2017	JEFFERS, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	4.64	0.00	4.64	90.0	0.09
03/01/2017	GAJEWSKI, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	4.04	0.00	4.04	90.0	0.08
03/01/2017	JACOB, MARILYN	AM FUNDS CAPITAL WORLD BOND A	0.00	17.75	0.00	17.75	90.0	0.36
03/01/2017	BUEHLER, ARNOLD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.63	0.00	16.63	90.0	0.33
03/01/2017	SCHWEINHAGEN, RUPERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.42	0.00	30.42	90.0	0.61
03/01/2017	NEITZ, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.27	0.00	24.27	90.0	0.49
03/01/2017	PENNINGTON, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.66	0.00	22.66	90.0	0.45
03/01/2017	MAXFIELD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.83	0.00	33.83	90.0	0.68
03/01/2017	BESTOR, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.00	0.00	15.00	90.0	0.30
03/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	51.31	0.00	51.31	90.0	1.03
03/01/2017	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.55	0.00	26.55	90.0	0.53
03/01/2017	GRIM, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	90.0	0.02
03/01/2017	ROSSWURM, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.53	0.00	21.53	90.0	0.43
03/01/2017	WODA, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.16	0.00	3.16	90.0	0.06
03/01/2017	RECKNER, GARTH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	90.0	0.03
03/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.68	0.00	31.68	90.0	0.63
03/01/2017	SHAFFER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	90.0	0.01
03/01/2017	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.23	0.00	35.23	90.0	0.70
03/01/2017	RICE, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.70	0.00	3.70	90.0	0.07
03/01/2017	RICE JR, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.53	0.00	4.53	90.0	0.09
03/01/2017	WODA, HELENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.08	0.00	2.08	90.0	0.04
03/01/2017	SWEARINGEN, ERIC	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	45.73	0.00	45.73	90.0	0.91
03/01/2017	SCHMIDBAUER, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	72.11	0.00	72.11	90.0	1.44
03/01/2017	MEYER, JILL	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	14.06	0.00	14.06	90.0	0.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/01/2017	SCHMIDBAUER, ROBIN	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	48.19	0.00	48.19	90.0	0.96
03/01/2017	WILSON, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	3.01	0.00	3.01	90.0	0.06
03/01/2017	WARD, KIMBERLEY	AM FUNDS CAPITAL WORLD GRTH & INC R	0.00	1.23	0.00	1.23	90.0	0.02
03/01/2017	RINGGER, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.97	0.00	11.97	90.0	0.24
03/01/2017	JEFFERS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.42	0.00	8.42	90.0	0.17
03/01/2017	FLECK, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.76	0.00	11.76	90.0	0.24
03/01/2017	SHAFFER, JAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.74	0.00	17.74	90.0	0.35
03/01/2017	RICE, GREGG	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.41	0.00	3.41	90.0	0.07
03/01/2017	PENNINGTON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.12	0.00	25.12	90.0	0.50
03/01/2017	RICE, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.79	0.00	3.79	90.0	0.08
03/01/2017	GRIM, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.33	0.00	0.33	90.0	0.01
03/01/2017	RICE JR, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.01
03/01/2017	SEITZINGER, MARK	AM FUNDS ICA A	0.00	14.61	0.00	14.61	90.0	0.29
03/01/2017	MOORE, EILEEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	54.56	0.00	54.56	90.0	1.09
03/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	13.72	0.00	13.72	90.0	0.27
03/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	21.98	0.00	21.98	90.0	0.44
03/01/2017	DAVIS, HOWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	11.71	0.00	11.71	90.0	0.23
03/01/2017	SWEARINGEN, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.93	0.00	1.93	90.0	0.04
03/01/2017	LYKES, EMMANUEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.42	0.00	1.42	90.0	0.03
03/01/2017	NEITZ, CHRISTINA	AM FUNDS NEW WORLD A	0.00	4.06	0.00	4.06	90.0	0.08
03/01/2017	GRIM, SUSAN	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	90.0	0.01
03/01/2017	SCHMIDBAUER, JOSEPH	AM FUNDS NEW WORLD R2	0.00	23.67	0.00	23.67	90.0	0.47
03/01/2017	MEYER, JILL	AM FUNDS NEW WORLD R2	0.00	9.97	0.00	9.97	90.0	0.20
03/01/2017	SCHMIDBAUER, ROBIN	AM FUNDS NEW WORLD R2	0.00	10.00	0.00	10.00	90.0	0.20
03/01/2017	PENNINGTON, SANDRA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	21.74	0.00	21.74	90.0	0.43
03/01/2017	MAXFIELD, RICHARD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.29	0.00	10.29	90.0	0.21
03/01/2017	PENNINGTON, STEVE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.44	0.00	6.44	90.0	0.13
03/01/2017	WODA, HELENE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.13	0.00	5.13	90.0	0.10
03/01/2017	MOORE, EILEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	13.12	0.00	13.12	90.0	0.26
03/01/2017	JACOB, MARILYN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.70	0.00	5.70	90.0	0.11
03/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.70	0.00	5.70	90.0	0.11
03/01/2017	SHAFFER, JAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	16.29	0.00	16.29	90.0	0.33
03/01/2017	JEFFERS, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	6.70	0.00	6.70	90.0	0.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
03/01/2017	FLECK, GERALD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.77	0.00	8.77	90.0	0.18
03/01/2017	GRIM, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	90.0	0.01
01/31/2017	SHAFFER, CLARK	ICON BOND FUND C	0.00	13.43	0.00	13.43	90.0	0.27
01/31/2017	RICE, CHERYL	ICON BOND FUND C	0.00	2.05	0.00	2.05	90.0	0.04
01/31/2017	GECIK, STANLEY	ICON BOND FUND C	0.00	4.18	0.00	4.18	90.0	0.08
01/31/2017	RECKNER, GARTH	ICON BOND FUND C	0.00	1.06	0.00	1.06	90.0	0.02
02/28/2017	RICHARDS, MILDRED	JNL PERSPECTIVE	38,193.32	7.96	0.00	7.96	90.0	0.16
03/01/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
02/28/2017	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,121.12	1.33	0.00	1.33	90.0	0.03
02/28/2017	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	42,197.74	35.16	0.00	35.16	90.0	0.70
02/28/2017	SMITH, FRANK	JOHN HANCOCK VENTURE III	100,724.24	83.94	0.00	83.94	90.0	1.68
02/28/2017	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	27,144.99	22.62	0.00	22.62	90.0	0.45
02/28/2017	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	38,955.10	32.46	0.00	32.46	90.0	0.65
02/28/2017	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	128,426.11	107.02	0.00	107.02	90.0	2.14
02/28/2017	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	139,063.53	115.89	0.00	115.89	90.0	2.32
02/28/2017	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	171,544.93	142.95	0.00	142.95	90.0	2.86
02/28/2017	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	23,977.22	19.98	0.00	19.98	90.0	0.40
02/28/2017	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	47,107.85	39.26	0.00	39.26	90.0	0.79
02/28/2017	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	16,828.34	14.02	0.00	14.02	90.0	0.28
02/28/2017	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	24,729.86	20.61	0.00	20.61	90.0	0.41
02/28/2017	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	168,895.59	140.75	0.00	140.75	90.0	2.82
02/28/2017	ELWING, LOUISE	JOHN HANCOCK VENTURE III	157,511.97	131.26	0.00	131.26	90.0	2.63
02/28/2017	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	155,031.03	129.19	0.00	129.19	90.0	2.58
02/28/2017	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	215,694.42	179.75	0.00	179.75	90.0	3.60
02/28/2017	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	42,810.61	35.68	0.00	35.68	90.0	0.71
02/28/2017	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	117,784.40	98.15	0.00	98.15	90.0	1.96
02/28/2017	RICE, PAMELA	JOHN HANCOCK VENTURE III	109,892.86	91.58	0.00	91.58	90.0	1.83
02/28/2017	RINGGER, LINDA	JOHN HANCOCK VENTURE III	119,609.23	99.67	0.00	99.67	90.0	1.99
02/28/2017	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	23,765.99	19.80	0.00	19.80	90.0	0.40
02/28/2017	WODA, HELENE	JOHN HANCOCK VENTURE III	29,043.06	24.20	0.00	24.20	90.0	0.48
* ROBERT THOMPSON SUBTOTAL *			\$1,941,203.51	\$3,168.86	\$0.00	\$3,168.86		\$63.34
*** OVERRIDE TRANSACTIONS TOTAL ***			\$2,225,432.46	\$4,682.96	\$0.00	\$4,682.96		\$169.36

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*PERSHING: ETF PROSPECTUS	0.00					-2.69
03/15/2017		*TECHNOLOGY: ADMIN - DEB RYAN	0.00					-100.00
03/15/2017		*TECHNOLOGY: ADMIN - J BOYERS	0.00					-100.00
03/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-777.69

BROKER COMMISSION TOTALS

Broker Transactions	\$9,290.35
Split Transactions	\$0.00
Override Transactions	\$169.36
Adjustments	\$-777.69
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$8,682.02
Year-to-date Gross	\$29,016.71
Year-to-date Earnings	\$27,820.46

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