



Concorde Investment Services, LLC

11/13/2017

Page No. 1

## COMMISSION STATEMENT

November 15, 2017

JEFFREY KAUFMAN  
801 Gray Oak Drive

BROKER #: K119  
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
11/01/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
11/01/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
11/01/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
11/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
11/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
11/01/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	23.85	0.24	0.00	0.24	90.0	0.22
11/01/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	23.85	0.24	0.00	0.24	90.0	0.22
11/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
11/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
11/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.20	0.42	0.00	0.42	90.0	0.38
11/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.20	0.42	0.00	0.42	90.0	0.38
11/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	135.88	1.36	0.00	1.36	90.0	1.22
11/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	317.05	3.17	0.00	3.17	90.0	2.85
11/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	67.94	0.68	0.00	0.68	90.0	0.61
11/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	67.94	0.68	0.00	0.68	90.0	0.61
11/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	63.32	0.63	0.00	0.63	90.0	0.57
11/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	63.32	0.63	0.00	0.63	90.0	0.57
11/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
11/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
11/01/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	168.52	1.69	0.00	1.69	90.0	1.52
11/01/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	168.52	1.69	0.00	1.69	90.0	1.52
11/01/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
11/01/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
11/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.42	0.52	0.00	0.52	90.0	0.47
11/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.42	0.52	0.00	0.52	90.0	0.47

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
11/01/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
10/30/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	184.62	3.69	0.00	3.69	90.0	3.32
11/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
11/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
11/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
11/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	77.95	0.78	0.00	0.78	90.0	0.70
11/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	77.95	0.78	0.00	0.78	90.0	0.70
11/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	54.40	0.54	0.00	0.54	90.0	0.49
11/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	54.40	0.54	0.00	0.54	90.0	0.49
11/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	55.72	0.56	0.00	0.56	90.0	0.50
11/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	55.72	0.56	0.00	0.56	90.0	0.50
10/25/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	114.58	4.87	0.00	4.87	90.0	4.38
10/30/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	369.23	7.38	0.00	7.38	90.0	6.64
11/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
11/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
11/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
11/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
11/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
11/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
11/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
11/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	70.31	2.64	0.00	2.64	90.0	2.38
11/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	61.07	2.29	0.00	2.29	90.0	2.06
11/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	131.76	4.94	0.00	4.94	90.0	4.45
11/01/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
11/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	45.46	0.45	0.00	0.45	90.0	0.41
11/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	45.46	0.45	0.00	0.45	90.0	0.41
11/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	56.89	0.57	0.00	0.57	90.0	0.51
11/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	56.89	0.57	0.00	0.57	90.0	0.51
11/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	43.01	0.43	0.00	0.43	90.0	0.39
11/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	43.01	0.43	0.00	0.43	90.0	0.39
11/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	46.35	0.46	0.00	0.46	90.0	0.41
11/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	75.00	0.75	0.00	0.75	90.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.27	0.30	0.00	0.30	90.0	0.27
11/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
11/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
11/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.83	0.00	0.83	90.0	0.75
11/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	520.50	5.21	0.00	5.21	90.0	4.69
11/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.08	0.27	0.00	0.27	90.0	0.24
11/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.08	0.27	0.00	0.27	90.0	0.24
11/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
11/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
11/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
11/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
11/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	91.86	0.92	0.00	0.92	90.0	0.83
11/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	91.86	0.92	0.00	0.92	90.0	0.83
11/01/2017	WINFREY, LARRY	AM FUNDS ICA A	200.00	7.50	0.00	7.50	90.0	6.75
11/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	68.23	2.56	0.00	2.56	90.0	2.30
11/01/2017	SUMMERS, AARON	AM FUNDS ICA A	61.06	2.29	0.00	2.29	90.0	2.06
11/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	131.77	4.94	0.00	4.94	90.0	4.45
11/01/2017	DILLON, EMMA	AM FUNDS ICA A	11.61	0.12	0.00	0.12	90.0	0.11
11/01/2017	DILLON, EMMA	AM FUNDS ICA A	15.48	0.15	0.00	0.15	90.0	0.14
11/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	60.00	0.60	0.00	0.60	90.0	0.54
11/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	240.00	2.40	0.00	2.40	90.0	2.16
11/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	46.35	0.46	0.00	0.46	90.0	0.41
11/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	75.00	0.75	0.00	0.75	90.0	0.68
11/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.33	0.00	0.33	90.0	0.30
11/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.08	0.00	2.08	90.0	1.87
11/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
11/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
11/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	81.20	0.81	0.00	0.81	90.0	0.73
11/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.12	0.00	1.12	90.0	1.01
11/01/2017	MEDLEY, LISA	AM FUNDS ICA A	63.31	0.63	0.00	0.63	90.0	0.57
11/01/2017	MEDLEY, LISA	AM FUNDS ICA A	63.31	0.63	0.00	0.63	90.0	0.57
11/01/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
11/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.33	0.00	0.33	90.0	0.30
11/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.08	0.00	2.08	90.0	1.87
10/25/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	114.58	4.87	0.00	4.87	90.0	4.38
10/30/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	184.61	3.69	0.00	3.69	90.0	3.32
11/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
11/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
11/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
11/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	68.24	2.56	0.00	2.56	90.0	2.30
11/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
11/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
11/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	52.80	0.53	0.00	0.53	90.0	0.48
11/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	52.80	0.53	0.00	0.53	90.0	0.48
11/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	34.80	0.35	0.00	0.35	90.0	0.32
11/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.48	0.00	0.48	90.0	0.43
11/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
11/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
11/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
11/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
11/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	44.12	0.44	0.00	0.44	90.0	0.40
11/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	44.12	0.44	0.00	0.44	90.0	0.40
11/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
11/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
11/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	30.91	0.31	0.00	0.31	90.0	0.28
11/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	50.00	0.50	0.00	0.50	90.0	0.45
11/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.27	0.30	0.00	0.30	90.0	0.27
11/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.33	0.00	0.33	90.0	0.30
11/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.08	0.00	2.08	90.0	1.87
11/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	52.81	0.53	0.00	0.53	90.0	0.48
11/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	52.81	0.53	0.00	0.53	90.0	0.48
11/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.08	0.27	0.00	0.27	90.0	0.24
11/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.08	0.27	0.00	0.27	90.0	0.24

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.41	0.00	0.41	90.0	0.37
11/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	2.60	0.00	2.60	90.0	2.34
10/25/2017	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	114.58	4.87	0.00	4.87	90.0	4.38
10/30/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	184.62	3.69	0.00	3.69	90.0	3.32
11/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	44.12	0.44	0.00	0.44	90.0	0.40
11/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	44.12	0.44	0.00	0.44	90.0	0.40
11/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	15.45	0.15	0.00	0.15	90.0	0.14
11/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
11/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.08	0.00	0.08	90.0	0.07
11/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.52	0.00	0.52	90.0	0.47
11/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.83	0.00	0.83	90.0	0.75
11/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	520.50	5.21	0.00	5.21	90.0	4.69
11/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.09	0.27	0.00	0.27	90.0	0.24
11/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.09	0.27	0.00	0.27	90.0	0.24
11/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
11/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
11/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
11/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
10/25/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	114.58	4.87	0.00	4.87	90.0	4.38
11/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
11/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	68.47	0.68	0.00	0.68	90.0	0.61
11/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	68.47	0.68	0.00	0.68	90.0	0.61
11/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
11/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
11/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	15.45	0.15	0.00	0.15	90.0	0.14
11/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
11/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
11/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.17	0.00	0.17	90.0	0.15
11/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.04	0.00	1.04	90.0	0.94
11/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.08	0.27	0.00	0.27	90.0	0.24

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.08	0.27	0.00	0.27	90.0	0.24
11/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
11/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
11/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	79.77	0.80	0.00	0.80	90.0	0.72
11/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	375.00	3.75	0.00	3.75	90.0	3.38
11/01/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
11/01/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
11/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	126.66	1.27	0.00	1.27	90.0	1.14
11/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	211.09	2.11	0.00	2.11	90.0	1.90
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.92	0.00	0.92	90.0	0.83
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.93	0.00	0.93	90.0	0.84
/ /	CROWLEY, MICHA	FIDELITY ADV EVENT DRIVEN OPFS	0.00	3.53	0.00	3.53	90.0	3.18
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	2.27	0.00	2.27	90.0	2.04
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.90	0.00	0.90	90.0	0.81
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	1.05	0.00	1.05	90.0	0.95
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.84	0.00	0.84	90.0	0.76
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.70	0.00	0.70	90.0	0.63
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.11	0.00	0.11	90.0	0.10
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	10.70	0.00	10.70	90.0	9.63
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.29	0.00	1.29	90.0	1.16
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	8.27	0.00	8.27	90.0	7.44
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.69	0.00	2.69	90.0	2.42
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	1.59	0.00	1.59	90.0	1.43
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	4.33	0.00	4.33	90.0	3.90
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.87	0.00	4.87	90.0	4.38
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.38	0.00	1.38	90.0	1.24
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	6.68	0.00	6.68	90.0	6.01
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	8.43	0.00	8.43	90.0	7.59
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.86	0.00	2.86	90.0	2.57
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	14.76	0.00	14.76	90.0	13.28
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.90	0.00	4.90	90.0	4.41
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.27	0.00	1.27	90.0	1.14
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	2.82	0.00	2.82	90.0	2.54

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	6.34	0.00	6.34	90.0	5.71
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.31	0.00	1.31	90.0	1.18
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.72	0.00	0.72	90.0	0.65
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	6.04	0.00	6.04	90.0	5.44
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	11.29	0.00	11.29	90.0	10.16
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.41	0.00	2.41	90.0	2.17
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	3.09	0.00	3.09	90.0	2.78
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	9.93	0.00	9.93	90.0	8.94
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.41	0.00	1.41	90.0	1.27
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.64	0.00	2.64	90.0	2.38
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.42	0.00	1.42	90.0	1.28
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.78	0.00	1.78	90.0	1.60
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	1.17	0.00	1.17	90.0	1.05
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.48	0.00	6.48	90.0	5.83
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.36	0.00	1.36	90.0	1.22
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.57	0.00	0.57	90.0	0.51
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	15.07	0.00	15.07	90.0	13.56
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.73	0.00	1.73	90.0	1.56
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	5.67	0.00	5.67	90.0	5.10
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	3.08	0.00	3.08	90.0	2.77
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	0.89	0.00	0.89	90.0	0.80
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	2.59	0.00	2.59	90.0	2.33
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.75	0.00	0.75	90.0	0.68
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	10.23	0.00	10.23	90.0	9.21
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	2.74	0.00	2.74	90.0	2.47
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.84	0.00	0.84	90.0	0.76
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.94	0.00	0.94	90.0	0.85
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	2.31	0.00	2.31	90.0	2.08
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.53	0.00	0.53	90.0	0.48
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	9.31	0.00	9.31	90.0	8.38
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	6.63	0.00	6.63	90.0	5.97
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	1.01	0.00	1.01	90.0	0.91
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.62	0.00	1.62	90.0	1.46

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.48	0.00	2.48	90.0	2.23
/ /	RICHARDSON, BOBBY	FIEDLEITY ADVISOR JAPAN-CL T	0.00	0.82	0.00	0.82	90.0	0.74
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	16.80	0.00	16.80	90.0	15.12
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	18.71	0.00	18.71	90.0	16.84
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$13,007.09</b>	<b>\$436.06</b>	<b>\$0.00</b>	<b>\$436.06</b>		<b>\$392.59</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
10/31/2017	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	12,374.27	10.31	0.00	10.31	90.0	9.28
10/31/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	99,050.53	41.27	0.00	41.27	90.0	37.14
10/31/2017	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	249,518.78	103.97	0.00	103.97	90.0	93.57
10/31/2017	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	194,961.11	81.23	0.00	81.23	90.0	73.11
10/31/2017	GUIER, CARROL	JNL PERSPECTIVE II 04/14	24,386.00	10.16	0.00	10.16	90.0	9.14
10/31/2017	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	29,322.42	12.22	0.00	12.22	90.0	11.00
10/31/2017	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	146,933.62	61.22	0.00	61.22	90.0	55.10
10/31/2017	OSSMAN, ED	JNL PERSPECTIVE II 05/05	59,026.00	24.59	0.00	24.59	90.0	22.13
10/31/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	27,797.50	11.58	0.00	11.58	90.0	10.42
10/31/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	157,933.15	65.81	0.00	65.81	90.0	59.23
10/31/2017	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	95,158.61	39.65	0.00	39.65	90.0	35.69
10/31/2017	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	129,434.23	53.93	0.00	53.93	90.0	48.54
10/31/2017	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	292,381.13	121.83	0.00	121.83	90.0	109.65
10/31/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	219,365.73	91.40	0.00	91.40	90.0	82.26
10/16/2017	YOUNG, MARY ELIZABETH	PAC LIFE PORTFOLIOS	0.00	19.34	0.00	19.34	90.0	17.41
10/25/2017	SWAIN, DOROLENE	PAC LIFE VALUE	0.00	33.48	0.00	33.48	90.0	30.13
10/30/2017	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	11,691.21	9.75	0.00	9.75	90.0	8.78
10/30/2017	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	28,097.44	23.42	0.00	23.42	90.0	21.08
10/30/2017	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	97,969.83	81.64	0.00	81.64	90.0	73.48
10/30/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	95,894.30	79.91	0.00	79.91	90.0	71.92
10/30/2017	DOWNS, JAMES	SBL ADVISORDESIGNS VA	38,988.64	32.48	0.00	32.48	90.0	29.23
10/30/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	110,044.89	91.69	0.00	91.69	90.0	82.52
10/30/2017	LEE, HOWARD	SBL SECUREDESIGNS VA	262,153.21	54.61	0.00	54.61	90.0	49.15
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$2,382,482.60</b>	<b>\$1,155.49</b>	<b>\$0.00</b>	<b>\$1,155.49</b>		<b>\$1,039.96</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
10/16/2017	MURRAY, JEFFREY	PAC LIFE VUL	584.57	11.69	0.00	11.69	90.0	10.52
10/18/2017	HALL, ELLEN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
10/18/2017	GRIFFITH, CHERYL	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
10/20/2017	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
10/20/2017	GAMM, SKYLAR	PAC LIFE VUL	7.37	7.37	0.00	7.37	90.0	6.63
10/20/2017	GAMM, SKYLAR	PAC LIFE VUL	417.63	104.41	0.00	104.41	90.0	93.97
10/23/2017	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
10/23/2017	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
10/24/2017	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
10/25/2017	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
10/25/2017	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
10/25/2017	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
10/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	1.36	0.00	1.36	90.0	1.22
10/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
10/25/2017	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			<b>\$1,975.49</b>	<b>\$145.89</b>	<b>\$0.00</b>	<b>\$145.89</b>		<b>\$131.29</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
10/28/2017	MCBRIDE, VIRGINIA CAROLY	LANDMARK 2002	0.00	34.09	0.00	34.09	90.0	30.68
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			<b>\$0.00</b>	<b>\$34.09</b>	<b>\$0.00</b>	<b>\$34.09</b>		<b>\$30.68</b>
*** DIRECT TRANSACTIONS TOTAL ***			<b>\$2,397,465.18</b>	<b>\$1,771.53</b>	<b>\$0.00</b>	<b>\$1,771.53</b>		<b>\$1,594.52</b>

**SPLIT TRANSACTIONS****BROKER: JEFF/JASON KAUFMAN/KEMBLE #349**

11/01/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	63.55	0.35	0.00	0.35	90.0	0.32
11/01/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	63.55	0.35	0.00	0.35	90.0	0.32
11/02/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	1,041.67	24.35	0.00	24.35	90.0	21.92
11/02/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	33.84	0.79	0.00	0.79	90.0	0.71
11/01/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	58.31	0.32	0.00	0.32	90.0	0.29
11/01/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	58.31	0.32	0.00	0.32	90.0	0.29
10/25/2017	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	12,000.00	280.50	0.00	280.50	90.0	252.45
11/01/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11
11/01/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u></b>								
10/23/2017	JOHNSON, KASEY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
10/23/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
10/30/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
11/01/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	80.86	0.45	0.00	0.45	90.0	0.41
11/01/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	48.52	0.27	0.00	0.27	90.0	0.24
11/01/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
11/01/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
11/01/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	6.46	0.03	0.00	0.03	90.0	0.03
11/01/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
11/01/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	40.09	0.22	0.00	0.22	90.0	0.20
11/01/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	40.09	0.22	0.00	0.22	90.0	0.20
11/01/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
11/01/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
11/01/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	42.00	0.23	0.00	0.23	90.0	0.21
11/01/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	42.00	0.23	0.00	0.23	90.0	0.21
11/02/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	136.61	3.20	0.00	3.20	90.0	2.88
11/02/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	833.34	19.48	0.00	19.48	90.0	17.53
10/23/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
11/01/2017	ZELLMER, RIANNON	AM FUNDS ICA A	13.23	0.07	0.00	0.07	90.0	0.06
11/01/2017	ZELLMER, RIANNON	AM FUNDS ICA A	13.23	0.07	0.00	0.07	90.0	0.06
11/01/2017	HAGUE, VICTORIA	AM FUNDS ICA A	68.30	0.37	0.00	0.37	90.0	0.33
11/01/2017	HAGUE, VICTORIA	AM FUNDS ICA A	400.00	2.20	0.00	2.20	90.0	1.98
11/01/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
11/01/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
11/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
11/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
11/01/2017	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
11/01/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
11/01/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
11/01/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
11/01/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
11/01/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	17.08	0.09	0.00	0.09	90.0	0.08
11/01/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	100.00	0.55	0.00	0.55	90.0	0.50

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u></b>								
11/01/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	48.51	0.27	0.00	0.27	90.0	0.24
11/01/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	80.86	0.45	0.00	0.45	90.0	0.41
11/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
11/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
11/01/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	42.00	0.23	0.00	0.23	90.0	0.21
11/01/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	42.00	0.23	0.00	0.23	90.0	0.21
11/02/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.15	0.80	0.00	0.80	90.0	0.72
11/02/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	208.33	4.87	0.00	4.87	90.0	4.38
<b>* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *</b>			<b>\$17,400.83</b>	<b>\$358.79</b>	<b>\$0.00</b>	<b>\$358.79</b>		<b>\$322.95</b>

**BROKER: JASON KEMBLE #394**

10/24/2017	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.00	0.00	2.00	90.0	1.80
10/24/2017	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	2.00	0.00	2.00	90.0	1.80
<b>* JASON KEMBLE SUBTOTAL *</b>			<b>\$200.00</b>	<b>\$4.00</b>	<b>\$0.00</b>	<b>\$4.00</b>		<b>\$3.60</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$17,600.83</b>	<b>\$362.79</b>	<b>\$0.00</b>	<b>\$362.79</b>		<b>\$326.55</b>

**ADJUSTMENTS**

11/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
11/15/2017		*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00					-100.00
11/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-675.00</b>

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

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

**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,594.52
Split Transactions	\$326.55
Override Transactions	\$0.00
Adjustments	\$-675.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,246.07
Year-to-date Gross	\$152,073.47
Year-to-date Earnings	\$145,901.40