

**COMMISSION STATEMENT****March 15, 2018**

101 CFGROUP/KOSANKE
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
02/27/2018	MCKENZIE TRUST, ROBERT & DONNABR	TOTAL INC & REAL ESTATE FUND C	129,588.68	110.07	0.00	110.07	95.0	104.57
02/27/2018	KOPCZYK TRUST, LAWRENCE & PATRBR	TOTAL INC & REAL ESTATE FUND C	82,385.66	69.97	0.00	69.97	95.0	66.47
02/27/2018	SPEARY, ROBERT	BR TOTAL INC & REAL ESTATE FUND C	75,399.98	64.04	0.00	64.04	95.0	60.84
02/27/2018	ORTAGO, PAULA	BR TOTAL INC & REAL ESTATE FUND C	42,534.65	36.12	0.00	36.12	95.0	34.31
02/27/2018	MERRITT REVOCABLE TRUST, KATHYBR	TOTAL INC & REAL ESTATE FUND C	50,020.85	42.48	0.00	42.48	95.0	40.36
02/27/2018	SUTTON, LYNETTE	BR TOTAL INC & REAL ESTATE FUND C	23,990.75	20.37	0.00	20.37	95.0	19.35
01/31/2018	WEYCKER, AARON	GRIFFIN INST'L ACCESS R E FUND C	35,133.58	29.83	0.00	29.83	95.0	28.34
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	53,017.44	45.03	0.00	45.03	95.0	42.78
01/31/2018	THOMSON, DOUGLAS	GRIFFIN INST'L ACCESS R E FUND C	102,761.13	87.28	0.00	87.28	95.0	82.92
01/31/2018	MILLER, RAYMOND	GRIFFIN INST'L ACCESS R E FUND C	30,832.62	26.19	0.00	26.19	95.0	24.88
01/31/2018	SUTTON, TIMOTHY	GRIFFIN INST'L ACCESS R E FUND C	12,640.10	107.36	0.00	107.36	95.0	101.99
01/31/2018	WAGNER II, HARRY	GRIFFIN INST'L ACCESS R E FUND C	303,611.87	257.87	0.00	257.87	95.0	244.98
01/31/2018	MIERAS-HESSLER, DEBORAH	GRIFFIN INST'L ACCESS R E FUND C	35,268.02	29.96	0.00	29.96	95.0	28.46
01/31/2018	CANNER, JULIE	GRIFFIN INST'L ACCESS R E FUND C	41,915.07	35.60	0.00	35.60	95.0	33.82
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	149,765.22	127.20	0.00	127.20	95.0	120.84
01/31/2018	CYRULEWSKI, JIM	GRIFFIN INST'L ACCESS R E FUND C	113,801.30	96.65	0.00	96.65	95.0	91.82
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	123,097.21	104.55	0.00	104.55	95.0	99.32
01/31/2018	BEAUDETTE, FLOYD	GRIFFIN INST'L ACCESS R E FUND C	50,606.18	42.99	0.00	42.99	95.0	40.84
01/31/2018	YANIS, MATTHEW	GRIFFIN INST'L ACCESS R E FUND C	126,537.59	107.47	0.00	107.47	95.0	102.10
01/31/2018	GALLO, ANTHONY	GRIFFIN INST'L ACCESS R E FUND C	40,125.25	34.08	0.00	34.08	95.0	32.38
01/31/2018	QUICK, ELAINE	GRIFFIN INST'L ACCESS R E FUND C	50,374.52	42.79	0.00	42.79	95.0	40.65
01/31/2018	FERRARI, JACQUELINE	GRIFFIN INST'L ACCESS R E FUND C	70,284.44	59.69	0.00	59.69	95.0	56.71
01/31/2018	CARMODY, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	41,860.24	35.55	0.00	35.55	95.0	33.77
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	25,305.18	21.49	0.00	21.49	95.0	20.42
01/31/2018	SIMONY, RICHARD	GRIFFIN INST'L ACCESS R E FUND C	20,290.44	17.23	0.00	17.23	95.0	16.37
01/31/2018	SPEARY, LISA	GRIFFIN INST'L ACCESS R E FUND C	24,975.15	21.21	0.00	21.21	95.0	20.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
01/31/2018	KAWALA, CHRISTINA	GRIFFIN INST'L ACCESS R E FUND C	12,063.75	10.24	0.00	10.24	95.0	9.73
01/31/2018	KING, DAVID	GRIFFIN INST'L ACCESS R E FUND C	802.71	0.68	0.00	0.68	95.0	0.65
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	30,340.91	25.77	0.00	25.77	95.0	24.48
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	9,043.31	7.68	0.00	7.68	95.0	7.30
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	11,497.17	97.65	0.00	97.65	95.0	92.77
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	189,867.42	161.25	0.00	161.25	95.0	153.19
01/31/2018	DEMAN, KENNETH	GRIFFIN INST'L ACCESS R E FUND C	52,895.27	44.92	0.00	44.92	95.0	42.67
01/31/2018	KEELER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	26,217.36	22.27	0.00	22.27	95.0	21.16
01/31/2018	BUSZEK, PAUL	GRIFFIN INST'L ACCESS R E FUND C	25,957.38	22.04	0.00	22.04	95.0	20.94
01/31/2018	WETZEL, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	10,278.63	8.73	0.00	8.73	95.0	8.29
01/31/2018	ELLIOT, JAMES	GRIFFIN INST'L ACCESS R E FUND C	98,603.89	83.75	0.00	83.75	95.0	79.56
01/31/2018	ELLIOT, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	66,511.81	56.49	0.00	56.49	95.0	53.67
01/31/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	55,272.82	46.95	0.00	46.95	95.0	44.60
01/31/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	24,726.29	21.00	0.00	21.00	95.0	19.95
01/31/2018	FEWLESS, SCOTT	GRIFFIN INST'L ACCESS R E FUND C	15,437.63	13.11	0.00	13.11	95.0	12.45
01/31/2018	BARTOI, JOHN	GRIFFIN INST'L ACCESS R E FUND C	84,437.73	71.72	0.00	71.72	95.0	68.13
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	49,386.97	41.95	0.00	41.95	95.0	39.85
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	77,318.83	65.67	0.00	65.67	95.0	62.39
01/31/2018	THOMSON, DOUGLAS	GRIFFIN INST'L ACCESS R E FUND C	103,286.53	87.72	0.00	87.72	95.0	83.33
01/31/2018	AMMAN, KATHLEEN	GRIFFIN INST'L ACCESS R E FUND C	20,209.81	17.16	0.00	17.16	95.0	16.30
01/31/2018	BAUMGART, ROY MARK	GRIFFIN INST'L ACCESS R E FUND C	30,430.03	25.84	0.00	25.84	95.0	24.55
01/31/2018	SMITH, MARTHA	GRIFFIN INST'L ACCESS R E FUND C	74,375.05	63.17	0.00	63.17	95.0	60.01
01/31/2018	SPEARY, LISA	GRIFFIN INST'L ACCESS R E FUND C	50,587.19	42.96	0.00	42.96	95.0	40.81
01/31/2018	VOGEL, KEITH	GRIFFIN INST'L ACCESS R E FUND C	118,177.27	100.37	0.00	100.37	95.0	95.35
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	49,619.02	42.15	0.00	42.15	95.0	40.04
01/31/2018	WILMAN, ANN	GRIFFIN INST'L ACCESS R E FUND C	27,502.46	23.36	0.00	23.36	95.0	22.19
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	101,149.28	85.91	0.00	85.91	95.0	81.61
01/31/2018	ETHIER, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	45,947.09	39.03	0.00	39.03	95.0	37.08
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	37,327.60	31.71	0.00	31.71	95.0	30.12
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	119,418.66	101.43	0.00	101.43	95.0	96.36
01/31/2018	STAHL, CURTIS	GRIFFIN INST'L ACCESS R E FUND C	26,875.07	22.83	0.00	22.83	95.0	21.69
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	49,808.38	42.31	0.00	42.31	95.0	40.19
01/31/2018	ORTAGO, PAULA	GRIFFIN INST'L ACCESS R E FUND C	42,317.80	35.95	0.00	35.95	95.0	34.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
01/31/2018	KOSANKE, CHARLES W	GRIFFIN INST'L ACCESS R E FUND C	25,517.63	21.67	0.00	21.67	95.0	20.59
01/31/2018	DINKA, JOHN	GRIFFIN INST'L ACCESS R E FUND C	113,986.90	96.81	0.00	96.81	95.0	91.97
01/31/2018	DINKA, CATHERINE	GRIFFIN INST'L ACCESS R E FUND C	107,104.88	90.96	0.00	90.96	95.0	86.41
01/31/2018	BELLINGER, GEORGE	GRIFFIN INST'L ACCESS R E FUND C	85,899.03	72.96	0.00	72.96	95.0	69.31
01/31/2018	GHELFI, CRAIG	GRIFFIN INST'L ACCESS R E FUND C	93,700.11	79.59	0.00	79.59	95.0	75.61
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	30,038.73	25.51	0.00	25.51	95.0	24.23
01/31/2018	KRONNER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	50,355.45	42.77	0.00	42.77	95.0	40.63
01/31/2018	RANG, JAMES	GRIFFIN INST'L ACCESS R E FUND C	9,952.23	8.45	0.00	8.45	95.0	8.03
01/31/2018	OLSON, DAVID	GRIFFIN INST'L ACCESS R E FUND C	22,369.26	19.00	0.00	19.00	95.0	18.05
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	10,502.19	8.92	0.00	8.92	95.0	8.47
01/31/2018	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	42,910.78	36.44	0.00	36.44	95.0	34.62
* INTERVAL FUNDS SUBTOTAL *			\$4,186,151.43	\$3,739.92	\$0.00	\$3,739.92		\$3,552.92

PRODUCT CATEGORY: 529 PLANS

02/23/2018	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	1.88	0.00	1.88	95.0	1.79
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
02/28/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
02/26/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
02/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
02/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G477	50.00	0.50	0.00	0.50	95.0	0.48
* 529 PLANS SUBTOTAL *			\$600.00	\$14.02	\$0.00	\$14.02		\$13.36

PRODUCT CATEGORY: MUTUAL FUNDS

02/20/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
02/26/2018	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	1.88	0.00	1.88	95.0	1.79
02/22/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
02/20/2018	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
03/01/2018	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2018	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
02/23/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
02/26/2018	UNTIL AGE 18, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA C	200.00	2.00	0.00	2.00	95.0	1.90
02/28/2018	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
03/01/2018	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
03/02/2018	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	6.38	0.00	6.38	95.0	6.06
02/23/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
02/01/2018	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
02/15/2018	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	50.00	2.00	0.00	2.00	95.0	1.90
02/28/2018	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	5,500.00	110.00	0.00	110.00	95.0	104.50
02/15/2018	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	50.00	2.00	0.00	2.00	95.0	1.90
02/15/2018	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	30.00	1.20	0.00	1.20	95.0	1.14
02/28/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
02/28/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
02/28/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
02/23/2018	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
02/26/2018	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	1,500.00	15.00	0.00	15.00	95.0	14.25
02/20/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
02/20/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
02/20/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
02/26/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
02/26/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.00	2.04	0.00	2.04	95.0	1.94
02/26/2018	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	36.72	0.37	0.00	0.37	95.0	0.35
02/26/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	52.93	0.53	0.00	0.53	95.0	0.50
02/26/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	31.76	0.32	0.00	0.32	95.0	0.30
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
02/26/2018	DITRI, ANN	OPPENHEIMER GLOBAL C	198.00	1.98	0.00	1.98	95.0	1.88
02/26/2018	DITRI, ANN	OPPENHEIMER GLOBAL C	35.64	0.36	0.00	0.36	95.0	0.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/26/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	20.23	0.20	0.00	0.20	95.0	0.19
02/26/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	52.93	0.53	0.00	0.53	95.0	0.50
02/26/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	31.76	0.32	0.00	0.32	95.0	0.30
02/26/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	52.93	0.53	0.00	0.53	95.0	0.50
02/26/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	31.76	0.32	0.00	0.32	95.0	0.30
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
02/26/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
02/26/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
02/26/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	20.23	0.20	0.00	0.20	95.0	0.19
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
02/26/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	40.47	0.40	0.00	0.40	95.0	0.38
02/26/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	52.93	0.53	0.00	0.53	95.0	0.50
02/26/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	31.76	0.32	0.00	0.32	95.0	0.30
02/26/2018	DITRI, ANN	OPPENHEIMER VALUE C	198.00	1.98	0.00	1.98	95.0	1.88
02/26/2018	DITRI, ANN	OPPENHEIMER VALUE C	35.64	0.36	0.00	0.36	95.0	0.34
02/26/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
02/26/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
03/01/2018	WONCH, LIZ	PUTNAM INVESTORS A	50.00	2.50	0.00	2.50	95.0	2.38
* MUTUAL FUNDS SUBTOTAL *			\$10,941.77	\$228.88	\$0.00	\$228.88		\$217.39

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/28/2018	BERTRAND, C JERRY	JNL ELITE ACCESS	57,558.94	31.18	0.00	31.18	95.0	29.62
02/28/2018	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	25,715.13	21.43	0.00	21.43	95.0	20.36
02/28/2018	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	104,578.35	43.57	0.00	43.57	95.0	41.39
02/28/2018	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	524.49	0.44	0.00	0.44	95.0	0.42
02/28/2018	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	30,140.72	12.56	0.00	12.56	95.0	11.93
02/28/2018	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	47,202.62	19.67	0.00	19.67	95.0	18.69

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2018	RANG, MARILYN	JNL PERSPECTIVE II 05/05	74,605.83	31.09	0.00	31.09	95.0	29.54
02/28/2018	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	179,647.06	74.85	0.00	74.85	95.0	71.11
02/28/2018	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	130,958.11	54.57	0.00	54.57	95.0	51.84
02/28/2018	PIROZZO, PETER	JNL PERSPECTIVE L	56,851.24	61.59	0.00	61.59	95.0	58.51
02/28/2018	LEGGE, GERALD	JNL PERSPECTIVE L	311,429.93	337.38	0.00	337.38	95.0	320.51
02/28/2018	DIEM, LINDA	JOHN HANCOCK VENTURE	685.50	0.14	0.00	0.14	95.0	0.13
02/28/2018	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	8,029.43	1.67	0.00	1.67	95.0	1.59
02/28/2018	DANIEL, SABRINA	JOHN HANCOCK VENTURE	309.90	0.06	0.00	0.06	95.0	0.06
02/04/2018	SCHROETER, RICHARD	TRANSAMERICA EXTRA	39,779.13	33.15	0.00	33.15	95.0	31.49
02/14/2018	GRUSH, ERNEST	TRANSAMERICA LANDMARK	159,506.28	132.92	0.00	132.92	95.0	126.27
02/28/2018	MADSEN, JOYCE	TRANSAMERICA LANDMARK	5,068.81	4.22	0.00	4.22	95.0	4.01
* VARIABLE ANNUITIES SUBTOTAL *			\$1,232,591.47	\$860.49	\$0.00	\$860.49		\$817.47
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HIGGINS, JAMES	529 AMCAP FUND CLASS A	0.00	17.55	0.00	17.55	95.0	16.67
03/01/2018	BOWEN, ED	529 AMCAP FUND CLASS A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	HOLLAND, JENNIFER	AM FUNDS 2015 TARGET DATE A	0.00	4.69	0.00	4.69	95.0	4.46
03/01/2018	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	0.00	2.85	0.00	2.85	95.0	2.71
03/01/2018	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	0.00	3.16	0.00	3.16	95.0	3.00
03/01/2018	BROSHEAR, KARA	AM FUNDS 2040 TARGET DATE-A	0.00	0.95	0.00	0.95	95.0	0.90
03/01/2018	EVANGELISTA, JACQUELINE	AM FUNDS AMCAP A	0.00	13.16	0.00	13.16	95.0	12.50
03/01/2018	KELLEY, GAYLE	AM FUNDS AMCAP A	0.00	16.74	0.00	16.74	95.0	15.90
03/01/2018	HOFFMAN, BARBARA	AM FUNDS AMCAP A	0.00	15.75	0.00	15.75	95.0	14.96
03/01/2018	PHILLIPS, RANDALL	AM FUNDS AMCAP A	0.00	15.95	0.00	15.95	95.0	15.15
03/01/2018	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	0.00	9.76	0.00	9.76	95.0	9.27
03/01/2018	PARDEE, LORRAINE	AM FUNDS AMCAP A	0.00	2.26	0.00	2.26	95.0	2.15
03/01/2018	JONES, GERALD	AM FUNDS AMCAP A	0.00	1.47	0.00	1.47	95.0	1.40
03/01/2018	ALVEY, CODY	AM FUNDS AMCAP A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS AMCAP A	0.00	3.84	0.00	3.84	95.0	3.65
03/01/2018	STILLWELL, ERIK	AM FUNDS AMCAP A	0.00	1.53	0.00	1.53	95.0	1.45
03/01/2018	BLAYLOCK, JENNIFER	AM FUNDS AMCAP A	0.00	0.66	0.00	0.66	95.0	0.63
03/01/2018	GINGELL, JANET	AM FUNDS AMCAP A	0.00	45.76	0.00	45.76	95.0	43.47
03/01/2018	ARMSTRONG, ROBERT	AM FUNDS AMERICAN BALANCED 529A	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2018	BOWEN, ED	AM FUNDS AMERICAN BALANCED 529A	0.00	0.27	0.00	0.27	95.0	0.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	SMITH, H DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	4.52	0.00	4.52	95.0	4.29
03/01/2018	FINK, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	16.41	0.00	16.41	95.0	15.59
03/01/2018	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	52.73	0.00	52.73	95.0	50.09
03/01/2018	BALAEV, ALEXANDER	AM FUNDS AMERICAN BALANCED A	0.00	1.31	0.00	1.31	95.0	1.24
03/01/2018	HELD, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	9.11	0.00	9.11	95.0	8.65
03/01/2018	SHALDA, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	8.64	0.00	8.64	95.0	8.21
03/01/2018	BUSTER, RICKY	AM FUNDS AMERICAN BALANCED A	0.00	11.08	0.00	11.08	95.0	10.53
03/01/2018	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	14.33	0.00	14.33	95.0	13.61
03/01/2018	NICOLOSI, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	22.20	0.00	22.20	95.0	21.09
03/01/2018	GRIFFIN, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	8.58	0.00	8.58	95.0	8.15
03/01/2018	MOELLER, STEVE	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2018	RAYMER, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	11.00	0.00	11.00	95.0	10.45
03/01/2018	GREGORY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	7.61	0.00	7.61	95.0	7.23
03/01/2018	BABIN, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	7.49	0.00	7.49	95.0	7.12
03/01/2018	TREINEN, MATT	AM FUNDS AMERICAN BALANCED A	0.00	2.01	0.00	2.01	95.0	1.91
03/01/2018	VELAYUDHAN, NALINI	AM FUNDS AMERICAN BALANCED A	0.00	2.52	0.00	2.52	95.0	2.39
03/01/2018	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.29	0.00	2.29	95.0	2.18
03/01/2018	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	95.0	1.77
03/01/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	15.53	0.00	15.53	95.0	14.75
03/01/2018	CYRULEWSKI, JIM	AM FUNDS AMERICAN BALANCED C	0.00	14.30	0.00	14.30	95.0	13.59
03/01/2018	BLANKENSHIP, JANET	AM FUNDS AMERICAN BALANCED C	0.00	23.54	0.00	23.54	95.0	22.36
03/01/2018	KEELER, DAVID	AM FUNDS AMERICAN BALANCED C	0.00	147.54	0.00	147.54	95.0	140.16
03/01/2018	KOSANKE, MARK	AM FUNDS AMERICAN BALANCED C	0.00	30.17	0.00	30.17	95.0	28.66
03/01/2018	KISH, VIVIAN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	97.01	0.00	97.01	95.0	92.16
03/01/2018	NICOLOSI, ROSE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.93	0.00	5.93	95.0	5.63
03/01/2018	GRIFFIN, SHEILA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.88	0.00	13.88	95.0	13.19
03/01/2018	GREGORY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.56	0.00	1.56	95.0	1.48
03/01/2018	FINK, MARGARET	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	27.39	0.00	27.39	95.0	26.02
03/01/2018	ILICH, NORMA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.39	0.00	7.39	95.0	7.02
03/01/2018	KRAUSE, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	77.87	0.00	77.87	95.0	73.98
03/01/2018	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.50	0.00	3.50	95.0	3.33
03/01/2018	MATAR, ROBERTG	AM FUNDS AMERICAN MUTUAL 529A	0.00	8.12	0.00	8.12	95.0	7.71
03/01/2018	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.06	0.00	1.06	95.0	1.01

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	BERNARDI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	14.22	0.00	14.22	95.0	13.51
03/01/2018	GRAVES, ANNE	AM FUNDS AMERICAN MUTUAL A	0.00	70.39	0.00	70.39	95.0	66.87
03/01/2018	BALAEV, ALEXANDER	AM FUNDS AMERICAN MUTUAL A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2018	HAVLIK, BRIAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2018	WOJTKOWSKI, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	5.03	0.00	5.03	95.0	4.78
03/01/2018	FULTON, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	11.23	0.00	11.23	95.0	10.67
03/01/2018	BABIN, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	8.57	0.00	8.57	95.0	8.14
03/01/2018	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	32.35	0.00	32.35	95.0	30.73
03/01/2018	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL A	0.00	5.75	0.00	5.75	95.0	5.46
03/01/2018	ROGERS, THOMAS	AM FUNDS AMERICAN MUTUAL A	0.00	10.64	0.00	10.64	95.0	10.11
03/01/2018	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	0.00	1.90	0.00	1.90	95.0	1.81
03/01/2018	SCHECK, VICTORIA	AM FUNDS AMERICAN MUTUAL A	0.00	9.87	0.00	9.87	95.0	9.38
03/01/2018	BUSARSKY, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	384.70	0.00	384.70	95.0	365.47
03/01/2018	KEBA, STEPHEN	AM FUNDS AMERICAN MUTUAL A	0.00	17.81	0.00	17.81	95.0	16.92
03/01/2018	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL C	0.00	0.35	0.00	0.35	95.0	0.33
03/01/2018	WETZEL, ROBERT	AM FUNDS AMERICAN MUTUAL C	0.00	186.94	0.00	186.94	95.0	177.59
03/01/2018	GURKE/BENE, NIKOLE	AM FUNDS AMERICAN MUTUAL C	0.00	67.77	0.00	67.77	95.0	64.38
03/01/2018	MI/TOD	AM FUNDS AMERICAN MUTUAL C	0.00	54.98	0.00	54.98	95.0	52.23
03/01/2018	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.78	0.00	0.78	95.0	0.74
03/01/2018	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.79	0.00	0.79	95.0	0.75
03/01/2018	ARMSTRONG, ROBERT	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.58	0.00	0.58	95.0	0.55
03/01/2018	BOWEN, ED	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2018	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	0.00	6.23	0.00	6.23	95.0	5.92
03/01/2018	BERNARDI, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	2.19	0.00	2.19	95.0	2.08
03/01/2018	FINK, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	46.15	0.00	46.15	95.0	43.84
03/01/2018	MANNING, ELSIE	AM FUNDS BOND FUND OF AMERICA A	0.00	14.01	0.00	14.01	95.0	13.31
03/01/2018	BUSTER, RICKY	AM FUNDS BOND FUND OF AMERICA A	0.00	9.16	0.00	9.16	95.0	8.70
03/01/2018	JAMES, RODNEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	95.0	0.11
03/01/2018	RILEY, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	CYRULEWSKI, JIM	AM FUNDS BOND FUND OF AMERICA C	0.00	8.85	0.00	8.85	95.0	8.41
03/01/2018	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.79	0.00	1.79	95.0	1.70
03/01/2018	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.71	0.00	1.71	95.0	1.62
03/01/2018	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.09	0.00	3.09	95.0	2.94

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.73	0.00	5.73	95.0	5.44
03/01/2018	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	10.03	0.00	10.03	95.0	9.53
03/01/2018	BARNETT, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.18	0.00	0.18	95.0	0.17
03/01/2018	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.43	0.00	0.43	95.0	0.41
03/01/2018	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.88	0.00	0.88	95.0	0.84
03/01/2018	LONG, SARAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.06	0.00	0.06	95.0	0.06
03/01/2018	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	77.62	0.00	77.62	95.0	73.74
03/01/2018	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	92.20	0.00	92.20	95.0	87.59
03/01/2018	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.33	0.00	1.33	95.0	1.26
03/01/2018	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.80	0.00	3.80	95.0	3.61
03/01/2018	BALAEV, ALEXANDER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2018	HELD, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.64	0.00	8.64	95.0	8.21
03/01/2018	BUSTER, RICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.38	0.00	5.38	95.0	5.11
03/01/2018	FROMM, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	95.0	0.49
03/01/2018	NICOLOSI, ROSE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.57	0.00	13.57	95.0	12.89
03/01/2018	GRECH, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.48	0.00	14.48	95.0	13.76
03/01/2018	IMUS, ARLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.03	0.00	3.03	95.0	2.88
03/01/2018	GREGORY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.82	0.00	5.82	95.0	5.53
03/01/2018	MUSAL, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.81	0.00	2.81	95.0	2.67
03/01/2018	BABIN, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.41	0.00	5.41	95.0	5.14
03/01/2018	TREINEN, MATT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.90	0.00	1.90	95.0	1.81
03/01/2018	VELAYUDHAN, NALINI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	95.0	1.39
03/01/2018	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.30	0.00	8.30	95.0	7.89
03/01/2018	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	95.0	0.61
03/01/2018	MARTIN, ELENA MARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	MARTIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	MARTIN, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	MEDAUGH, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	MEDAUGH, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	STEBBINS, JANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.90	0.00	2.90	95.0	2.76
03/01/2018	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.78	0.00	24.78	95.0	23.54
03/01/2018	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	95.0	0.27
03/01/2018	SCHECK, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.66	0.00	16.66	95.0	15.83

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	KEBA, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.41	0.00	15.41	95.0	14.64
03/01/2018	WEST TRUST, NORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.66	0.00	4.66	95.0	4.43
03/01/2018	WHITEFOOT, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	21.18	0.00	21.18	95.0	20.12
03/01/2018	KNIGHT, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	39.09	0.00	39.09	95.0	37.14
03/01/2018	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.34	0.00	2.34	95.0	2.22
03/01/2018	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.34	0.00	2.34	95.0	2.22
03/01/2018	MERREN, DANELL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	41.04	0.00	41.04	95.0	38.99
03/01/2018	ROGERS, DONNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	40.89	0.00	40.89	95.0	38.85
03/01/2018	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2018	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD BOND C	0.00	13.64	0.00	13.64	95.0	12.96
03/01/2018	KEELER, DAVID	AM FUNDS CAPITAL WORLD BOND C	0.00	85.93	0.00	85.93	95.0	81.63
03/01/2018	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	13.54	0.00	13.54	95.0	12.86
03/01/2018	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.43	0.00	5.43	95.0	5.16
03/01/2018	SCHLEICH, SIERRA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.30	0.00	0.30	95.0	0.29
03/01/2018	LUMETTA, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.81	0.00	3.81	95.0	3.62
03/01/2018	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	11.72	0.00	11.72	95.0	11.13
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.74	0.00	1.74	95.0	1.65
03/01/2018	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.50	0.00	5.50	95.0	5.23
03/01/2018	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.85	0.00	0.85	95.0	0.81
03/01/2018	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.21	0.00	9.21	95.0	8.75
03/01/2018	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	22.99	0.00	22.99	95.0	21.84
03/01/2018	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	22.64	0.00	22.64	95.0	21.51
03/01/2018	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.98	0.00	5.98	95.0	5.68
03/01/2018	ALEX, ADELINE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	10.31	0.00	10.31	95.0	9.79
03/01/2018	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.85	0.00	0.85	95.0	0.81
03/01/2018	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.85	0.00	0.85	95.0	0.81
03/01/2018	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	22.64	0.00	22.64	95.0	21.51
03/01/2018	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.44	0.00	2.44	95.0	2.32
03/01/2018	GREENE, LUCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	63.75	0.00	63.75	95.0	60.56
03/01/2018	ODELL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.58	0.00	27.58	95.0	26.20
03/01/2018	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	195.97	0.00	195.97	95.0	186.17
03/01/2018	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.74	0.00	24.74	95.0	23.50
03/01/2018	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.50	0.00	31.50	95.0	29.93

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.73	0.00	11.73	95.0	11.14
03/01/2018	GREENE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	112.38	0.00	112.38	95.0	106.76
03/01/2018	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2018	MILLER, CHARLENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	95.0	0.46
03/01/2018	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.45	0.00	8.45	95.0	8.03
03/01/2018	VARTABEDIAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.89	0.00	35.89	95.0	34.10
03/01/2018	ZOGRAFOS TRUST, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.19	0.00	29.19	95.0	27.73
03/01/2018	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	38.44	0.00	38.44	95.0	36.52
03/01/2018	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.97	0.00	16.97	95.0	16.12
03/01/2018	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.66	0.00	14.66	95.0	13.93
03/01/2018	SCHLEICH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.48	0.00	17.48	95.0	16.61
03/01/2018	GORSEK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.54	0.00	10.54	95.0	10.01
03/01/2018	MERKLE, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.47	0.00	14.47	95.0	13.75
03/01/2018	CHARLES, JOEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	95.0	1.57
03/01/2018	FOX UBER, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	75.06	0.00	75.06	95.0	71.31
03/01/2018	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.00	0.00	11.00	95.0	10.45
03/01/2018	GRECH, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.15	0.00	16.15	95.0	15.34
03/01/2018	IMUS, ARLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	87.85	0.00	87.85	95.0	83.46
03/01/2018	JONES, MEREK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.68	0.00	1.68	95.0	1.60
03/01/2018	MANSOUR, EVA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.82	0.00	14.82	95.0	14.08
03/01/2018	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.11	0.00	3.11	95.0	2.95
03/01/2018	STILLWELL, LYNNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	95.0	0.69
03/01/2018	ZOGRAFOS, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.66	0.00	4.66	95.0	4.43
03/01/2018	DELISLE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2018	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.55	0.00	7.55	95.0	7.17
03/01/2018	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.55	0.00	7.55	95.0	7.17
03/01/2018	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.55	0.00	7.55	95.0	7.17
03/01/2018	BOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	95.0	1.39
03/01/2018	DILL, JAKOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2018	PARDEE, CRAIG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.10	0.00	24.10	95.0	22.90
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.65	0.00	2.65	95.0	2.52
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	95.0	2.85
03/01/2018	STILLWELL, ERIK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.54	0.00	1.54	95.0	1.46

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.21	0.00	7.21	95.0	6.85
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.86	0.00	8.86	95.0	8.42
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.89	0.00	5.89	95.0	5.60
03/01/2018	GAULKE, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.96	0.00	0.96	95.0	0.91
03/01/2018	KARGULA, CURT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.64	0.00	3.64	95.0	3.46
03/01/2018	GALL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.26	0.00	4.26	95.0	4.05
03/01/2018	DEFRANCESCO, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2018	BLAYLOCK, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	95.0	0.29
03/01/2018	BUTTY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.48	0.00	24.48	95.0	23.26
03/01/2018	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.42	0.00	4.42	95.0	4.20
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.42	0.00	4.42	95.0	4.20
03/01/2018	GREGORY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.62	0.00	6.62	95.0	6.29
03/01/2018	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.43	0.00	12.43	95.0	11.81
03/01/2018	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.68	0.00	7.68	95.0	7.30
03/01/2018	CHASSE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.91	0.00	5.91	95.0	5.61
03/01/2018	BROWNING, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2018	MUSAL, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.18	0.00	3.18	95.0	3.02
03/01/2018	BABIN, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.90	0.00	6.90	95.0	6.56
03/01/2018	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	95.0	0.26
03/01/2018	TSOUKALAS, IOANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	95.0	0.48
03/01/2018	HIGEL, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2018	SHEPHERD, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2018	GIBSON, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.81	0.00	1.81	95.0	1.72
03/01/2018	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.98	0.00	0.98	95.0	0.93
03/01/2018	BENDER, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	95.0	0.39
03/01/2018	HABERMAN, IAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.77	0.00	15.77	95.0	14.98
03/01/2018	PER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	95.0	0.12
03/01/2018	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.66	0.00	3.66	95.0	3.48
03/01/2018	JORDAN, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.60	0.00	11.60	95.0	11.02
03/01/2018	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.76	0.00	10.76	95.0	10.22
03/01/2018	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.88	0.00	7.88	95.0	7.49
03/01/2018	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.78	0.00	13.78	95.0	13.09
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.72	0.00	7.72	95.0	7.33

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	SLAYBAUGH, YVONNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.69	0.00	23.69	95.0	22.51
03/01/2018	THOMPSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.14	0.00	27.14	95.0	25.78
03/01/2018	RILEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.36	0.00	3.36	95.0	3.19
03/01/2018	DELISLE/AUTH PER, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	95.0	1.02
03/01/2018	SCHRITZ, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.22	0.00	11.22	95.0	10.66
03/01/2018	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.22	0.00	11.22	95.0	10.66
03/01/2018	SIEDLAK, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.48	0.00	12.48	95.0	11.86
03/01/2018	SIEDLAK, LESLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.66	0.00	1.66	95.0	1.58
03/01/2018	KRAUSE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.38	0.00	8.38	95.0	7.96
03/01/2018	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.43	0.00	29.43	95.0	27.96
03/01/2018	SCHUBA, LAWRENCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	95.0	0.47
03/01/2018	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	95.0	0.33
03/01/2018	HAWK, MARYBELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.48	0.00	35.48	95.0	33.71
03/01/2018	WARNER, KRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2018	KRAUSE, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	154.93	0.00	154.93	95.0	147.18
03/01/2018	LEDFOORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	43.95	0.00	43.95	95.0	41.75
03/01/2018	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	83.77	0.00	83.77	95.0	79.58
03/01/2018	CYRULEWSKI, JIM	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	11.80	0.00	11.80	95.0	11.21
03/01/2018	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	34.45	0.00	34.45	95.0	32.73
03/01/2018	KEELER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	218.09	0.00	218.09	95.0	207.19
03/01/2018	KOSANKE, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	45.33	0.00	45.33	95.0	43.06
03/01/2018	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.11	0.00	4.11	95.0	3.90
03/01/2018	VINING, KRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.17	0.00	1.17	95.0	1.11
03/01/2018	LEDFOORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2018	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.03	0.00	0.03	95.0	0.03
03/01/2018	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.44	0.00	1.44	95.0	1.37
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.48	0.00	1.48	95.0	1.41
03/01/2018	LUMETTA, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.54	0.00	0.54	95.0	0.51
03/01/2018	RICHARDS, COLE	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.58	0.00	0.58	95.0	0.55
03/01/2018	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	5.48	0.00	5.48	95.0	5.21
03/01/2018	HOFFMAN, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.21	0.00	15.21	95.0	14.45
03/01/2018	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.37	0.00	1.37	95.0	1.30
03/01/2018	MARGERUM, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.94	0.00	0.94	95.0	0.89

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	ALVEY, SHERRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.60	0.00	0.60	95.0	0.57
03/01/2018	WALKER TRUST, SUE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.53	0.00	6.53	95.0	6.20
03/01/2018	PARDEE, LORRAINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.66	0.00	1.66	95.0	1.58
03/01/2018	WASHINGTON, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	95.0	0.16
03/01/2018	TAYLOR, GORDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	95.0	0.84
03/01/2018	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	95.0	0.84
03/01/2018	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.87	0.00	1.87	95.0	1.78
03/01/2018	TAYLOR, ALLAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.87	0.00	1.87	95.0	1.78
03/01/2018	JONES, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.28	0.00	1.28	95.0	1.22
03/01/2018	ALVEY, CODY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.55	0.00	5.55	95.0	5.27
03/01/2018	ALVEY, BRETT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.13	0.00	8.13	95.0	7.72
03/01/2018	KENDZIERSKI, JENNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.29	0.00	1.29	95.0	1.23
03/01/2018	GRECH, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.25	0.00	14.25	95.0	13.54
03/01/2018	NANAS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.99	0.00	0.99	95.0	0.94
03/01/2018	STILLWELL, LYNNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	95.0	0.84
03/01/2018	DELISLE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	95.0	0.66
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.31	0.00	2.31	95.0	2.19
03/01/2018	SIMMONDS, ASHLEIGH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.11	0.00	2.11	95.0	2.00
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.64	0.00	2.64	95.0	2.51
03/01/2018	STILLWELL, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.40	0.00	0.40	95.0	0.38
03/01/2018	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.74	0.00	4.74	95.0	4.50
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.24	0.00	6.24	95.0	5.93
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.38	0.00	5.38	95.0	5.11
03/01/2018	KARGULA, CURT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.14	0.00	2.14	95.0	2.03
03/01/2018	BLAYLOCK, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.27	0.00	0.27	95.0	0.26
03/01/2018	BUTTY, NANCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.93	0.00	18.93	95.0	17.98
03/01/2018	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.90	0.00	3.90	95.0	3.71
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.90	0.00	3.90	95.0	3.71
03/01/2018	GINGELL, JANET	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	76.43	0.00	76.43	95.0	72.61
03/01/2018	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.98	0.00	10.98	95.0	10.43
03/01/2018	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.90	0.00	6.90	95.0	6.56
03/01/2018	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2018	TSOUKALAS, IOANNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.45	0.00	0.45	95.0	0.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2018	BENDER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	95.0	0.24
03/01/2018	PER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	95.0	0.10
03/01/2018	NATHAN, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.10	0.00	1.10	95.0	1.05
03/01/2018	DILL, MADELINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2018	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.28	0.00	19.28	95.0	18.32
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	22.04	0.00	22.04	95.0	20.94
03/01/2018	RILEY, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2018	DELISLE/AUTH PER, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2018	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	24.98	0.00	24.98	95.0	23.73
03/01/2018	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2018	HINDS, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.85	0.00	3.85	95.0	3.66
03/01/2018	BOWEN, ED	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.19	0.00	1.19	95.0	1.13
03/01/2018	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	11.45	0.00	11.45	95.0	10.88
03/01/2018	ADAMS, JACKSON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.74	0.00	1.74	95.0	1.65
03/01/2018	HOLT, DEBBIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	71.49	0.00	71.49	95.0	67.92
03/01/2018	MAKI-DRAGER, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	95.0	1.46
03/01/2018	MIELKE, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	53.45	0.00	53.45	95.0	50.78
03/01/2018	HAMER, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2018	BURGESS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.53	0.00	3.53	95.0	3.35
03/01/2018	ZECH, DONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.20	0.00	14.20	95.0	13.49
03/01/2018	JONES, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	95.0	1.90
03/01/2018	SIMON, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	95.0	0.55
03/01/2018	SCHRITZ, BRYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	20.90	0.00	20.90	95.0	19.86
03/01/2018	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.88	0.00	8.88	95.0	8.44
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.89	0.00	10.89	95.0	10.35
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.32	0.00	3.32	95.0	3.15
03/01/2018	KARGULA, CURT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.97	0.00	2.97	95.0	2.82
03/01/2018	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.14	0.00	5.14	95.0	4.88
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.14	0.00	5.14	95.0	4.88
03/01/2018	GREGORY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.25	0.00	8.25	95.0	7.84
03/01/2018	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.51	0.00	14.51	95.0	13.78
03/01/2018	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.37	0.00	9.37	95.0	8.90

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	TSOUKALAS, IOANNIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.67	0.00	0.67	95.0	0.64
03/01/2018	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	27.07	0.00	27.07	95.0	25.72
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.71	0.00	29.71	95.0	28.22
03/01/2018	KOSANKE, MARK	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	229.91	0.00	229.91	95.0	218.41
03/01/2018	WHITEFOOT, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.12	0.00	25.12	95.0	23.86
03/01/2018	VINING, KRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	2.54	0.00	2.54	95.0	2.41
03/01/2018	WALKER, SUE	AM FUNDS GLOBAL BALANCED A	0.00	22.08	0.00	22.08	95.0	20.98
03/01/2018	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.18	0.00	1.18	95.0	1.12
03/01/2018	KACZOR, LISA	AM FUNDS GLOBAL BALANCED A	0.00	10.13	0.00	10.13	95.0	9.62
03/01/2018	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.32	0.00	1.32	95.0	1.25
03/01/2018	KELLY, SCOTT	AM FUNDS GLOBAL BALANCED A	0.00	1.78	0.00	1.78	95.0	1.69
03/01/2018	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2018	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.44	0.00	2.44	95.0	2.32
03/01/2018	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.49	0.00	2.49	95.0	2.37
03/01/2018	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	13.28	0.00	13.28	95.0	12.62
03/01/2018	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.17	0.00	9.17	95.0	8.71
03/01/2018	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.54	0.00	4.54	95.0	4.31
03/01/2018	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2018	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.29	0.00	0.29	95.0	0.28
03/01/2018	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.86	0.00	0.86	95.0	0.82
03/01/2018	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.07	0.00	9.07	95.0	8.62
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.05	0.00	9.05	95.0	8.60
03/01/2018	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.83	0.00	11.83	95.0	11.24
03/01/2018	RICHARDS, COLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.64	0.00	0.64	95.0	0.61
03/01/2018	KOUZA, SOPHIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.27	0.00	6.27	95.0	5.96
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.81	0.00	4.81	95.0	4.57
03/01/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.61	0.00	7.61	95.0	7.23
03/01/2018	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.32	0.00	1.32	95.0	1.25
03/01/2018	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2018	ADAMS, JACKSON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.47	0.00	1.47	95.0	1.40
03/01/2018	GREENE, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.33	0.00	43.33	95.0	41.16
03/01/2018	BRINKER/BENE, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2018	MAKI, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	95.0	2.92

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HOLT, DEBBIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	78.88	0.00	78.88	95.0	74.94
03/01/2018	HOLLAND, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.87	0.00	4.87	95.0	4.63
03/01/2018	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	57.44	0.00	57.44	95.0	54.57
03/01/2018	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	95.0	1.36
03/01/2018	VOGLER, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.78	0.00	3.78	95.0	3.59
03/01/2018	MAKI-DRAGER, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.58	0.00	3.58	95.0	3.40
03/01/2018	MIELKE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.56	0.00	39.56	95.0	37.58
03/01/2018	PARDEE, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.92	0.00	2.92	95.0	2.77
03/01/2018	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.60	0.00	20.60	95.0	19.57
03/01/2018	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.43	0.00	5.43	95.0	5.16
03/01/2018	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.00	0.00	6.00	95.0	5.70
03/01/2018	BRAINER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	95.0	0.28
03/01/2018	BRINKER, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	95.0	1.43
03/01/2018	BRINKER, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	95.0	1.43
03/01/2018	GILLETTE, BETTYANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	95.0	2.42
03/01/2018	NICOLOSI, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.48	0.00	13.48	95.0	12.81
03/01/2018	REDDEN, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.80	0.00	27.80	95.0	26.41
03/01/2018	SHIELDS, E PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.05	0.00	6.05	95.0	5.75
03/01/2018	DAUGHERTY, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.67	0.00	1.67	95.0	1.59
03/01/2018	GRANE/, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	95.0	1.49
03/01/2018	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.12	0.00	2.12	95.0	2.01
03/01/2018	VOGLER, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.68	0.00	8.68	95.0	8.25
03/01/2018	LAQUE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.79	0.00	3.79	95.0	3.60
03/01/2018	MERKLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2018	MERKLE, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2018	SHALDA, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.43	0.00	32.43	95.0	30.81
03/01/2018	MILLER-TAMM/AUTH PER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.93	0.00	7.93	95.0	7.53
03/01/2018	PARTNERSHIP, CARLSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.70	0.00	6.70	95.0	6.37
03/01/2018	GIVENS, SCOTT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	124.99	0.00	124.99	95.0	118.74
03/01/2018	WALKER TRUST, SUE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.18	0.00	5.18	95.0	4.92
03/01/2018	VANDERMEER, BRYON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.44	0.00	42.44	95.0	40.32
03/01/2018	SIMON, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2018	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.29	0.00	8.29	95.0	7.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.93	0.00	2.93	95.0	2.78
03/01/2018	NIKOLLAU, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.80	0.00	20.80	95.0	19.76
03/01/2018	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.14	0.00	36.14	95.0	34.33
03/01/2018	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.00	0.00	4.00	95.0	3.80
03/01/2018	SCHRITZ, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	73.03	0.00	73.03	95.0	69.38
03/01/2018	VOGLER, BREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.55	0.00	11.55	95.0	10.97
03/01/2018	VOGLER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.54	0.00	9.54	95.0	9.06
03/01/2018	STRAYVE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2018	RIETH, HOLLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.74	0.00	1.74	95.0	1.65
03/01/2018	STARKEY, RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.77	0.00	3.77	95.0	3.58
03/01/2018	SCHLEICH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	48.04	0.00	48.04	95.0	45.64
03/01/2018	ALVEY, BRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.83	0.00	2.83	95.0	2.69
03/01/2018	GEE, JACKSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	95.0	0.86
03/01/2018	GEE, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.97	0.00	0.97	95.0	0.92
03/01/2018	VOGLER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.55	0.00	7.55	95.0	7.17
03/01/2018	VOGLER, ANNA RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.55	0.00	7.55	95.0	7.17
03/01/2018	BOZA, VICTOR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	95.0	1.44
03/01/2018	PARDEE, CRAIG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.57	0.00	31.57	95.0	29.99
03/01/2018	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.98	0.00	6.98	95.0	6.63
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.03	0.00	9.03	95.0	8.58
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.57	0.00	7.57	95.0	7.19
03/01/2018	GAULKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	RACHEL, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	95.0	0.48
03/01/2018	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.78	0.00	5.78	95.0	5.49
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.78	0.00	5.78	95.0	5.49
03/01/2018	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.27	0.00	16.27	95.0	15.46
03/01/2018	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.66	0.00	9.66	95.0	9.18
03/01/2018	BROWNING, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2018	MUSAL, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.86	0.00	4.86	95.0	4.62
03/01/2018	BABIN, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.14	0.00	9.14	95.0	8.68
03/01/2018	TSOUKALAS, IOANNIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	95.0	0.49
03/01/2018	BENNETT, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	95.0	1.02
03/01/2018	CARSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	95.0	0.87

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MARBLEY, SHEILA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2018	NATHAN, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	95.0	1.46
03/01/2018	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.07	0.00	18.07	95.0	17.17
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.72	0.00	9.72	95.0	9.23
03/01/2018	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.27	0.00	39.27	95.0	37.31
03/01/2018	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	95.0	0.34
03/01/2018	ROTH, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.63	0.00	18.63	95.0	17.70
03/01/2018	SCHMITT, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.18	0.00	10.18	95.0	9.67
03/01/2018	SCHECK, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.72	0.00	20.72	95.0	19.68
03/01/2018	SCHNEIDER, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.72	0.00	35.72	95.0	33.93
03/01/2018	SHAW, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.08	0.00	7.08	95.0	6.73
03/01/2018	TROGAN/BENE, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	80.82	0.00	80.82	95.0	76.78
03/01/2018	BRINKER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	95.0	1.14
03/01/2018	TROGAN, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.86	0.00	3.86	95.0	3.67
03/01/2018	MI/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.55	0.00	8.55	95.0	8.12
03/01/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	47.81	0.00	47.81	95.0	45.42
03/01/2018	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.33	0.00	14.33	95.0	13.61
03/01/2018	PETERSON, ALEXA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2018	PETERSON, TREY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.25	0.00	1.25	95.0	1.19
03/01/2018	CYRULEWSKI, JIM	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.78	0.00	15.78	95.0	14.99
03/01/2018	BLANKENSHIP, JANET	AM FUNDS GROWTH FUND OF AMERICA C	0.00	32.67	0.00	32.67	95.0	31.04
03/01/2018	KEELER, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	209.29	0.00	209.29	95.0	198.83
03/01/2018	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	60.65	0.00	60.65	95.0	57.62
03/01/2018	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	266.55	0.00	266.55	95.0	253.22
03/01/2018	WHITEFOOT, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.31	0.00	19.31	95.0	18.34
03/01/2018	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	6.36	0.00	6.36	95.0	6.04
03/01/2018	WOJDYNSKI, ROSE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	24.05	0.00	24.05	95.0	22.85
03/01/2018	MCKENZIE, DONNA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	94.47	0.00	94.47	95.0	89.75
03/01/2018	MCKENZIE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	77.22	0.00	77.22	95.0	73.36
03/01/2018	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.57	0.00	7.57	95.0	7.19
03/01/2018	VINING, KRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.24	0.00	2.24	95.0	2.13
03/01/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.87	0.00	5.87	95.0	5.58
03/01/2018	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.22	0.00	0.22	95.0	0.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	BOWEN, ED	AM FUNDS HIGH INCOME TRUST 529A	0.00	0.27	0.00	0.27	95.0	0.26
03/01/2018	MARCOLA, ETHAN	AM FUNDS ICA 529A	0.00	1.04	0.00	1.04	95.0	0.99
03/01/2018	BOWEN, ED	AM FUNDS ICA 529A	0.00	0.71	0.00	0.71	95.0	0.67
03/01/2018	MIHELICH, DARLENE	AM FUNDS ICA 529A	0.00	5.66	0.00	5.66	95.0	5.38
03/01/2018	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	26.42	0.00	26.42	95.0	25.10
03/01/2018	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	26.29	0.00	26.29	95.0	24.98
03/01/2018	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	26.28	0.00	26.28	95.0	24.97
03/01/2018	MCVAY, JOHN	AM FUNDS ICA A	0.00	16.07	0.00	16.07	95.0	15.27
03/01/2018	BREIDENSTEIN, CHARLES	AM FUNDS ICA A	0.00	37.50	0.00	37.50	95.0	35.63
03/01/2018	MARQUARDSEN, HOLGER	AM FUNDS ICA A	0.00	76.08	0.00	76.08	95.0	72.28
03/01/2018	MARQUARDSEN, ANNA	AM FUNDS ICA A	0.00	57.29	0.00	57.29	95.0	54.43
03/01/2018	SEMENIK, EMILY	AM FUNDS ICA A	0.00	195.24	0.00	195.24	95.0	185.48
03/01/2018	BODNAR, NANCY	AM FUNDS ICA A	0.00	13.18	0.00	13.18	95.0	12.52
03/01/2018	DROGELL, DAVID	AM FUNDS ICA A	0.00	16.63	0.00	16.63	95.0	15.80
03/01/2018	BORKHOLDER, STEVEN	AM FUNDS ICA A	0.00	16.10	0.00	16.10	95.0	15.30
03/01/2018	MORELLI, MARY	AM FUNDS ICA A	0.00	68.18	0.00	68.18	95.0	64.77
03/01/2018	HOFFMAN, BARBARA	AM FUNDS ICA A	0.00	47.57	0.00	47.57	95.0	45.19
03/01/2018	YOUNG, SUSAN	AM FUNDS ICA A	0.00	0.65	0.00	0.65	95.0	0.62
03/01/2018	SPEICHER, JANET	AM FUNDS ICA A	0.00	12.70	0.00	12.70	95.0	12.07
03/01/2018	MILLER, JANE	AM FUNDS ICA A	0.00	0.63	0.00	0.63	95.0	0.60
03/01/2018	JENERETTE, ANGULNETTE	AM FUNDS ICA A	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2018	CLOTHIER /SAR-SEP, JAMES	AM FUNDS ICA A	0.00	0.31	0.00	0.31	95.0	0.29
03/01/2018	BAKEWELL, RALPH	AM FUNDS ICA A	0.00	69.00	0.00	69.00	95.0	65.55
03/01/2018	HOLLAND, JENNIFER	AM FUNDS ICA A	0.00	2.57	0.00	2.57	95.0	2.44
03/01/2018	HIMELHOCH, SETH	AM FUNDS ICA A	0.00	1.48	0.00	1.48	95.0	1.41
03/01/2018	GRENADIER, KAREN	AM FUNDS ICA A	0.00	33.24	0.00	33.24	95.0	31.58
03/01/2018	REETZ, TIMOTHY	AM FUNDS ICA A	0.00	0.52	0.00	0.52	95.0	0.49
03/01/2018	GINGELL, PAUL	AM FUNDS ICA A	0.00	45.37	0.00	45.37	95.0	43.10
03/01/2018	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	3.95	0.00	3.95	95.0	3.75
03/01/2018	MIHELICH, JOHN	AM FUNDS ICA A	0.00	8.72	0.00	8.72	95.0	8.28
03/01/2018	NOONAN, PATRICIA	AM FUNDS ICA A	0.00	4.16	0.00	4.16	95.0	3.95
03/01/2018	FINK, MARGARET	AM FUNDS ICA A	0.00	119.16	0.00	119.16	95.0	113.20
03/01/2018	RAMOS/DEC'D, RENEE	AM FUNDS ICA A	0.00	4.05	0.00	4.05	95.0	3.85

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	SIEDLAK, PATRICIA	AM FUNDS ICA A	0.00	15.41	0.00	15.41	95.0	14.64
03/01/2018	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	11.80	0.00	11.80	95.0	11.21
03/01/2018	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	6.31	0.00	6.31	95.0	5.99
03/01/2018	SIEDLAK JT TEN, TERRY	AM FUNDS ICA A	0.00	14.94	0.00	14.94	95.0	14.19
03/01/2018	ALVEY, SHERRIE	AM FUNDS ICA A	0.00	1.78	0.00	1.78	95.0	1.69
03/01/2018	KING, PETER	AM FUNDS ICA A	0.00	5.22	0.00	5.22	95.0	4.96
03/01/2018	KING, CRYSTAL	AM FUNDS ICA A	0.00	5.09	0.00	5.09	95.0	4.84
03/01/2018	GEORGES, ELIZABETH	AM FUNDS ICA A	0.00	23.35	0.00	23.35	95.0	22.18
03/01/2018	PAVLINA, MICHAEL	AM FUNDS ICA A	0.00	0.10	0.00	0.10	95.0	0.10
03/01/2018	ABEL, JEFFREY	AM FUNDS ICA A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2018	DROGELL, LINDA	AM FUNDS ICA A	0.00	12.87	0.00	12.87	95.0	12.23
03/01/2018	GREENE, DAVID	AM FUNDS ICA A	0.00	24.79	0.00	24.79	95.0	23.55
03/01/2018	PASEK, CHRISTINE	AM FUNDS ICA A	0.00	4.58	0.00	4.58	95.0	4.35
03/01/2018	PASEK, KEVIN	AM FUNDS ICA A	0.00	4.58	0.00	4.58	95.0	4.35
03/01/2018	BACHTELL, JAMES	AM FUNDS ICA A	0.00	28.66	0.00	28.66	95.0	27.23
03/01/2018	MIHELICH, DARLENE	AM FUNDS ICA A	0.00	22.58	0.00	22.58	95.0	21.45
03/01/2018	DZIATCZAK, LISA	AM FUNDS ICA A	0.00	2.97	0.00	2.97	95.0	2.82
03/01/2018	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	2.38	0.00	2.38	95.0	2.26
03/01/2018	KOLESNIKOW, AMY	AM FUNDS ICA A	0.00	24.79	0.00	24.79	95.0	23.55
03/01/2018	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	2.38	0.00	2.38	95.0	2.26
03/01/2018	NIEKEMP, KATHY	AM FUNDS ICA A	0.00	2.34	0.00	2.34	95.0	2.22
03/01/2018	NIEHAUS, MARK	AM FUNDS ICA A	0.00	8.05	0.00	8.05	95.0	7.65
03/01/2018	GERSPACHER, BRIANA	AM FUNDS ICA A	0.00	2.01	0.00	2.01	95.0	1.91
03/01/2018	KNOTT, PAUL	AM FUNDS ICA A	0.00	13.01	0.00	13.01	95.0	12.36
03/01/2018	BALAEV, ALEXANDER	AM FUNDS ICA A	0.00	0.46	0.00	0.46	95.0	0.44
03/01/2018	MARKOVITZ, EDWARD	AM FUNDS ICA A	0.00	1.01	0.00	1.01	95.0	0.96
03/01/2018	SZOCINSKI, CASIMER	AM FUNDS ICA A	0.00	8.17	0.00	8.17	95.0	7.76
03/01/2018	LEWIS, MARK	AM FUNDS ICA A	0.00	3.46	0.00	3.46	95.0	3.29
03/01/2018	LAREAU, ALEXANDER	AM FUNDS ICA A	0.00	0.97	0.00	0.97	95.0	0.92
03/01/2018	JOHNSON, ALBERT	AM FUNDS ICA A	0.00	0.93	0.00	0.93	95.0	0.88
03/01/2018	HAVLIK, BRIAN	AM FUNDS ICA A	0.00	0.06	0.00	0.06	95.0	0.06
03/01/2018	VOLAKAKIS, VEGA	AM FUNDS ICA A	0.00	9.60	0.00	9.60	95.0	9.12
03/01/2018	BAILEY, STEVEN	AM FUNDS ICA A	0.00	3.66	0.00	3.66	95.0	3.48

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	CAVANAUGH, COLLIN	AM FUNDS ICA A	0.00	1.85	0.00	1.85	95.0	1.76
03/01/2018	BUTLER, KATHLEEN	AM FUNDS ICA A	0.00	4.40	0.00	4.40	95.0	4.18
03/01/2018	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	83.03	0.00	83.03	95.0	78.88
03/01/2018	MCLAUGHLIN, TRACY	AM FUNDS ICA A	0.00	15.05	0.00	15.05	95.0	14.30
03/01/2018	KRAUSE, EVELYN	AM FUNDS ICA A	0.00	112.10	0.00	112.10	95.0	106.50
03/01/2018	STRAYVE, MICHAEL	AM FUNDS ICA A	0.00	0.39	0.00	0.39	95.0	0.37
03/01/2018	VOLAKAKIS, LOGAN	AM FUNDS ICA A	0.00	8.10	0.00	8.10	95.0	7.70
03/01/2018	SULLIVAN, ZACHARY	AM FUNDS ICA A	0.00	2.45	0.00	2.45	95.0	2.33
03/01/2018	KNOTT, MARY	AM FUNDS ICA A	0.00	0.88	0.00	0.88	95.0	0.84
03/01/2018	GORSEK, JOHN	AM FUNDS ICA A	0.00	10.43	0.00	10.43	95.0	9.91
03/01/2018	IMBRIGOTTA, MICHAEL	AM FUNDS ICA A	0.00	36.73	0.00	36.73	95.0	34.89
03/01/2018	KENDZIERSKI, JENNIE	AM FUNDS ICA A	0.00	1.83	0.00	1.83	95.0	1.74
03/01/2018	MCGEE, MICHAEL	AM FUNDS ICA A	0.00	1.11	0.00	1.11	95.0	1.05
03/01/2018	FULTON, JOHN	AM FUNDS ICA A	0.00	12.15	0.00	12.15	95.0	11.54
03/01/2018	JAMES, RODNEY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
03/01/2018	OLSON, ERIC	AM FUNDS ICA A	0.00	4.07	0.00	4.07	95.0	3.87
03/01/2018	DEFRANCESCO, STEVEN	AM FUNDS ICA A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2018	NICOLOSI TRUST, ROSE	AM FUNDS ICA A	0.00	300.37	0.00	300.37	95.0	285.35
03/01/2018	MUSAL, NANCY	AM FUNDS ICA A	0.00	3.64	0.00	3.64	95.0	3.46
03/01/2018	BABIN, WILLIAM	AM FUNDS ICA A	0.00	8.11	0.00	8.11	95.0	7.70
03/01/2018	FINK, MARGARET	AM FUNDS ICA A	0.00	135.51	0.00	135.51	95.0	128.73
03/01/2018	STAMPER, JANET	AM FUNDS ICA A	0.00	81.33	0.00	81.33	95.0	77.26
03/01/2018	CARSON, JESSICA	AM FUNDS ICA A	0.00	0.61	0.00	0.61	95.0	0.58
03/01/2018	RIGGERT, ANDREW	AM FUNDS ICA A	0.00	5.32	0.00	5.32	95.0	5.05
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS ICA A	0.00	22.79	0.00	22.79	95.0	21.65
03/01/2018	PERSIC, ERNST	AM FUNDS ICA A	0.00	8.63	0.00	8.63	95.0	8.20
03/01/2018	KOSANKE, MARK	AM FUNDS ICA A	0.00	6.91	0.00	6.91	95.0	6.56
03/01/2018	BULLOCK, RAYMOND	AM FUNDS ICA A	0.00	108.30	0.00	108.30	95.0	102.89
03/01/2018	SIEDLAK, LESLIE	AM FUNDS ICA A	0.00	7.00	0.00	7.00	95.0	6.65
03/01/2018	WONCH, ELIZABETH	AM FUNDS ICA A	0.00	2.10	0.00	2.10	95.0	2.00
03/01/2018	LINDEN, MARGARET	AM FUNDS ICA A	0.00	6.02	0.00	6.02	95.0	5.72
03/01/2018	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	6.54	0.00	6.54	95.0	6.21
03/01/2018	KALINOWSKI, BARBARA	AM FUNDS ICA A	0.00	3.28	0.00	3.28	95.0	3.12

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	GIVENS, DEBRA	AM FUNDS ICA A	0.00	4.81	0.00	4.81	95.0	4.57
03/01/2018	BAXTER, COLE	AM FUNDS ICA A	0.00	6.89	0.00	6.89	95.0	6.55
03/01/2018	WAUGH, ERIN	AM FUNDS ICA A	0.00	1.04	0.00	1.04	95.0	0.99
03/01/2018	MACK JR, SAMUEL	AM FUNDS ICA A	0.00	1.65	0.00	1.65	95.0	1.57
03/01/2018	ANDERSON, AMY	AM FUNDS ICA A	0.00	1.35	0.00	1.35	95.0	1.28
03/01/2018	KEBA, STEPHEN	AM FUNDS ICA A	0.00	2.56	0.00	2.56	95.0	2.43
03/01/2018	WEST TRUST, NORA	AM FUNDS ICA A	0.00	5.70	0.00	5.70	95.0	5.42
03/01/2018	KRAUSE, BARBARA	AM FUNDS ICA A	0.00	520.58	0.00	520.58	95.0	494.55
03/01/2018	MI/TOD	AM FUNDS ICA A	0.00	81.17	0.00	81.17	95.0	77.11
03/01/2018	CHERRY, JACOB	AM FUNDS ICA C	0.00	2.22	0.00	2.22	95.0	2.11
03/01/2018	PRICOPIO, VANESSA	AM FUNDS ICA C	0.00	4.40	0.00	4.40	95.0	4.18
03/01/2018	KAWALA, CHRISTINA	AM FUNDS ICA C	0.00	4.03	0.00	4.03	95.0	3.83
03/01/2018	NACHAZEL, MARY	AM FUNDS ICA C	0.00	49.47	0.00	49.47	95.0	47.00
03/01/2018	MAYNARD, JULIE	AM FUNDS ICA C	0.00	1.62	0.00	1.62	95.0	1.54
03/01/2018	JORDAN, TRAVIS	AM FUNDS ICA F1	0.00	3.87	0.00	3.87	95.0	3.68
03/01/2018	CHERRY, JACOB	AM FUNDS ICA F1	0.00	0.36	0.00	0.36	95.0	0.34
03/01/2018	LONGACRE, BROOKLYNN	AM FUNDS ICA F1	0.00	0.74	0.00	0.74	95.0	0.70
03/01/2018	YAGIELA, CODY	AM FUNDS ICA F1	0.00	1.61	0.00	1.61	95.0	1.53
03/01/2018	LONGACRE, JAXON	AM FUNDS ICA F1	0.00	1.15	0.00	1.15	95.0	1.09
03/01/2018	YAGIELA, LOGAN	AM FUNDS ICA F1	0.00	1.56	0.00	1.56	95.0	1.48
03/01/2018	PRICOPIO, VANESSA	AM FUNDS ICA F1	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2018	BODNAR, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.43	0.00	6.43	95.0	6.11
03/01/2018	MORELLI, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.32	0.00	54.32	95.0	51.60
03/01/2018	WELCH, TIMOTHY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.07	0.00	5.07	95.0	4.82
03/01/2018	ARCE, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	53.53	0.00	53.53	95.0	50.85
03/01/2018	ZOGRAFOS TRUST, REGINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.78	0.00	13.78	95.0	13.09
03/01/2018	BALAEV, ALEXANDER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.90	0.00	0.90	95.0	0.86
03/01/2018	ESSE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.97	0.00	1.97	95.0	1.87
03/01/2018	ESSE, ANGELINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.97	0.00	1.97	95.0	1.87
03/01/2018	ZERVAS, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.39	0.00	19.39	95.0	18.42
03/01/2018	NICOLOSI, ROSE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.37	0.00	7.37	95.0	7.00
03/01/2018	MANKO, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.33	0.00	4.33	95.0	4.11
03/01/2018	DEFRANCESCO, STEVEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.79	0.00	0.79	95.0	0.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MUSAL, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.22	0.00	3.22	95.0	3.06
03/01/2018	SMITH, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	72.68	0.00	72.68	95.0	69.05
03/01/2018	OLSON, MELINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.43	0.00	5.43	95.0	5.16
03/01/2018	SCHECK, VICTORIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.42	0.00	18.42	95.0	17.50
03/01/2018	KEBA, STEPHEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.06	0.00	16.06	95.0	15.26
03/01/2018	KOSANKE, MARK	AM FUNDS INCOME FUND OF AMERICA C	0.00	98.03	0.00	98.03	95.0	93.13
03/01/2018	WHITEFOOT, BEVERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	19.00	0.00	19.00	95.0	18.05
03/01/2018	MAGGARD, LORETTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	80.50	0.00	80.50	95.0	76.48
03/01/2018	MAYNARD, JULIE	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.32	0.00	1.32	95.0	1.25
03/01/2018	NACHAZEL, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	61.31	0.00	61.31	95.0	58.24
03/01/2018	HAYES, DORIS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.53	0.00	7.53	95.0	7.15
03/01/2018	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.11	0.00	3.11	95.0	2.95
03/01/2018	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.38	0.00	3.38	95.0	3.21
03/01/2018	ADAMS, JACKSON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.63	0.00	2.63	95.0	2.50
03/01/2018	MATAR, ROBERTG	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	3.68	0.00	3.68	95.0	3.50
03/01/2018	DUNN, CATHERINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	16.73	0.00	16.73	95.0	15.89
03/01/2018	MARCOLA, ETHAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.45	0.00	0.45	95.0	0.43
03/01/2018	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.67	0.00	7.67	95.0	7.29
03/01/2018	NICKOLOPOULOS, HAILEY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2018	SMITH, H DENNIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.80	0.00	2.80	95.0	2.66
03/01/2018	RILEY, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.26	0.00	4.26	95.0	4.05
03/01/2018	LIONAS, MARIKA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.58	0.00	2.58	95.0	2.45
03/01/2018	GARDNER, THERESA	AM FUNDS MORTGAGE A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	0.00	1.57	0.00	1.57	95.0	1.49
03/01/2018	RICHARDS, COLE	AM FUNDS NEW ECONOMY 529A	0.00	0.70	0.00	0.70	95.0	0.67
03/01/2018	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.36	0.00	1.36	95.0	1.29
03/01/2018	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.69	0.00	1.69	95.0	1.61
03/01/2018	LINDERMAN, JEAN	AM FUNDS NEW ECONOMY A	0.00	2.19	0.00	2.19	95.0	2.08
03/01/2018	HOFFMAN, BARBARA	AM FUNDS NEW ECONOMY A	0.00	36.56	0.00	36.56	95.0	34.73
03/01/2018	ERMAN, NOLAKAY	AM FUNDS NEW ECONOMY A	0.00	53.91	0.00	53.91	95.0	51.21
03/01/2018	PHILLIPS, RANDALL	AM FUNDS NEW ECONOMY A	0.00	15.34	0.00	15.34	95.0	14.57
03/01/2018	SABOOL, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	12.93	0.00	12.93	95.0	12.28
03/01/2018	MIELKE, DAVID	AM FUNDS NEW ECONOMY A	0.00	42.50	0.00	42.50	95.0	40.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	SAMMONS, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2018	GERSPACHER, BRIANA	AM FUNDS NEW ECONOMY A	0.00	9.15	0.00	9.15	95.0	8.69
03/01/2018	CHAMPION, STEPHANIE	AM FUNDS NEW ECONOMY A	0.00	6.88	0.00	6.88	95.0	6.54
03/01/2018	JONES, GERALD	AM FUNDS NEW ECONOMY A	0.00	1.35	0.00	1.35	95.0	1.28
03/01/2018	SHALDA, ROSE	AM FUNDS NEW ECONOMY A	0.00	16.46	0.00	16.46	95.0	15.64
03/01/2018	KENDZIERSKI, JENNIE	AM FUNDS NEW ECONOMY A	0.00	1.82	0.00	1.82	95.0	1.73
03/01/2018	DELISLE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS NEW ECONOMY A	0.00	3.50	0.00	3.50	95.0	3.33
03/01/2018	NATHAN, SANDRA	AM FUNDS NEW ECONOMY A	0.00	1.98	0.00	1.98	95.0	1.88
03/01/2018	SCHMITT, KEITH	AM FUNDS NEW ECONOMY A	0.00	6.08	0.00	6.08	95.0	5.78
03/01/2018	SCHNEIDER, RYAN	AM FUNDS NEW ECONOMY A	0.00	34.66	0.00	34.66	95.0	32.93
03/01/2018	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY C	0.00	19.59	0.00	19.59	95.0	18.61
03/01/2018	MERREN, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	41.50	0.00	41.50	95.0	39.43
03/01/2018	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY FUND	0.00	0.30	0.00	0.30	95.0	0.29
03/01/2018	RUF, ANDREW	AM FUNDS NEW PERSPECTIVE 529A	0.00	5.67	0.00	5.67	95.0	5.39
03/01/2018	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.25	0.00	0.25	95.0	0.24
03/01/2018	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.22	0.00	0.22	95.0	0.21
03/01/2018	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.00	0.00	1.00	95.0	0.95
03/01/2018	BOWEN, ED	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.51	0.00	1.51	95.0	1.43
03/01/2018	ADAMS, JACKSON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.41	0.00	0.41	95.0	0.39
03/01/2018	HOFFMAN, BARBARA	AM FUNDS NEW PERSPECTIVE A	0.00	13.70	0.00	13.70	95.0	13.02
03/01/2018	HOLT, DEBBIE	AM FUNDS NEW PERSPECTIVE A	0.00	36.67	0.00	36.67	95.0	34.84
03/01/2018	FARKASH /SEP, NICHOLAS	AM FUNDS NEW PERSPECTIVE A	0.00	7.01	0.00	7.01	95.0	6.66
03/01/2018	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	26.00	0.00	26.00	95.0	24.70
03/01/2018	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	95.0	0.28
03/01/2018	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	3.03	0.00	3.03	95.0	2.88
03/01/2018	SILVERSTEIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	8.95	0.00	8.95	95.0	8.50
03/01/2018	MAKI-DRAGER, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	4.64	0.00	4.64	95.0	4.41
03/01/2018	MIELKE, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	37.46	0.00	37.46	95.0	35.59
03/01/2018	BOZELKA, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.35	0.00	2.35	95.0	2.23
03/01/2018	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.07	0.00	2.07	95.0	1.97
03/01/2018	TAYLOR, ALLAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.07	0.00	2.07	95.0	1.97
03/01/2018	KRUSAC, CHRISTINA	AM FUNDS NEW PERSPECTIVE A	0.00	3.79	0.00	3.79	95.0	3.60

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	VARTABEDIAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	49.61	0.00	49.61	95.0	47.13
03/01/2018	SHALDA, ROSE	AM FUNDS NEW PERSPECTIVE A	0.00	18.65	0.00	18.65	95.0	17.72
03/01/2018	VANDERMEER, BRYON	AM FUNDS NEW PERSPECTIVE A	0.00	18.43	0.00	18.43	95.0	17.51
03/01/2018	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	0.00	33.39	0.00	33.39	95.0	31.72
03/01/2018	BAILEY, STEVEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2018	GRECH, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	18.01	0.00	18.01	95.0	17.11
03/01/2018	FULTON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	6.57	0.00	6.57	95.0	6.24
03/01/2018	CISSELL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	41.45	0.00	41.45	95.0	39.38
03/01/2018	CISSELL, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	41.45	0.00	41.45	95.0	39.38
03/01/2018	JAMES, RODNEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2018	OLSON, ERIC	AM FUNDS NEW PERSPECTIVE A	0.00	4.32	0.00	4.32	95.0	4.10
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	3.56	0.00	3.56	95.0	3.38
03/01/2018	RACHEL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2018	MUSAL, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	3.83	0.00	3.83	95.0	3.64
03/01/2018	HABERMAN, IAN	AM FUNDS NEW PERSPECTIVE A	0.00	20.65	0.00	20.65	95.0	19.62
03/01/2018	DELISLE/AUTH PER, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2018	SCHUBA, LAWRENCE	AM FUNDS NEW PERSPECTIVE A	0.00	1.06	0.00	1.06	95.0	1.01
03/01/2018	DOUTSAS, FREIDA	AM FUNDS NEW PERSPECTIVE A	0.00	31.79	0.00	31.79	95.0	30.20
03/01/2018	HINDS, RUSSELL	AM FUNDS NEW PERSPECTIVE C	0.00	4.64	0.00	4.64	95.0	4.41
03/01/2018	VINING, KRISTOPHER	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.57	0.00	0.57	95.0	0.54
03/01/2018	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.68	0.00	1.68	95.0	1.60
03/01/2018	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.61	0.00	1.61	95.0	1.53
03/01/2018	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	4.66	0.00	4.66	95.0	4.43
03/01/2018	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	9.78	0.00	9.78	95.0	9.29
03/01/2018	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	21.42	0.00	21.42	95.0	20.35
03/01/2018	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	21.16	0.00	21.16	95.0	20.10
03/01/2018	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	0.00	0.57	0.00	0.57	95.0	0.54
03/01/2018	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	11.34	0.00	11.34	95.0	10.77
03/01/2018	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	0.77	0.00	0.77	95.0	0.73
03/01/2018	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	10.43	0.00	10.43	95.0	9.91
03/01/2018	BOLOGNA, ADAM	AM FUNDS NEW WORLD 529A	0.00	0.79	0.00	0.79	95.0	0.75
03/01/2018	LONG, SARAH	AM FUNDS NEW WORLD 529A	0.00	0.03	0.00	0.03	95.0	0.03
03/01/2018	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	21.16	0.00	21.16	95.0	20.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	77.21	0.00	77.21	95.0	73.35
03/01/2018	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	82.99	0.00	82.99	95.0	78.84
03/01/2018	FROMM, MARY	AM FUNDS NEW WORLD 529C	0.00	1.35	0.00	1.35	95.0	1.28
03/01/2018	BAKER, BEVERLY	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2018	MERKLE, PAUL	AM FUNDS NEW WORLD A	0.00	10.08	0.00	10.08	95.0	9.58
03/01/2018	WALKER TRUST, SUE	AM FUNDS NEW WORLD A	0.00	6.92	0.00	6.92	95.0	6.57
03/01/2018	HAVLIK, BRIAN	AM FUNDS NEW WORLD A	0.00	0.12	0.00	0.12	95.0	0.11
03/01/2018	BUSTER, RICKY	AM FUNDS NEW WORLD A	0.00	6.37	0.00	6.37	95.0	6.05
03/01/2018	IMUS, ARLEEN	AM FUNDS NEW WORLD A	0.00	10.88	0.00	10.88	95.0	10.34
03/01/2018	KINGSBURY, RONALD	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2018	NEEDHAM, DOUG	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	95.0	0.17
03/01/2018	PARDEE, CRAIG	AM FUNDS NEW WORLD A	0.00	10.12	0.00	10.12	95.0	9.61
03/01/2018	OLSON, ERIC	AM FUNDS NEW WORLD A	0.00	3.56	0.00	3.56	95.0	3.38
03/01/2018	SIMMONDS, ASHLEIGH	AM FUNDS NEW WORLD A	0.00	1.71	0.00	1.71	95.0	1.62
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS NEW WORLD A	0.00	4.09	0.00	4.09	95.0	3.89
03/01/2018	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	4.65	0.00	4.65	95.0	4.42
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	6.00	0.00	6.00	95.0	5.70
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	5.55	0.00	5.55	95.0	5.27
03/01/2018	KARGULA, CURT	AM FUNDS NEW WORLD A	0.00	2.16	0.00	2.16	95.0	2.05
03/01/2018	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	4.06	0.00	4.06	95.0	3.86
03/01/2018	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	4.06	0.00	4.06	95.0	3.86
03/01/2018	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	11.38	0.00	11.38	95.0	10.81
03/01/2018	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	6.54	0.00	6.54	95.0	6.21
03/01/2018	MUSAL, NANCY	AM FUNDS NEW WORLD A	0.00	2.93	0.00	2.93	95.0	2.78
03/01/2018	PLUMB, KYLE	AM FUNDS NEW WORLD A	0.00	0.42	0.00	0.42	95.0	0.40
03/01/2018	TSOUKALAS, IOANNIS	AM FUNDS NEW WORLD A	0.00	0.46	0.00	0.46	95.0	0.44
03/01/2018	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	0.00	24.65	0.00	24.65	95.0	23.42
03/01/2018	BUTT, DENNIS	AM FUNDS NEW WORLD A	0.00	0.61	0.00	0.61	95.0	0.58
03/01/2018	SHEPHERD, JOE	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2018	CARSON, JESSICA	AM FUNDS NEW WORLD A	0.00	0.70	0.00	0.70	95.0	0.67
03/01/2018	MARTIN, ELENA MARIE	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	95.0	0.41
03/01/2018	MARTIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	95.0	0.41
03/01/2018	MARTIN, ISABELLA	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	95.0	0.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MEDAUGH, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	95.0	0.41
03/01/2018	MEDAUGH, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	95.0	0.41
03/01/2018	BENDER, SHARON	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
03/01/2018	PER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	95.0	0.10
03/01/2018	NATHAN, SANDRA	AM FUNDS NEW WORLD A	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	COX, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.93	0.00	2.93	95.0	2.78
03/01/2018	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	19.26	0.00	19.26	95.0	18.30
03/01/2018	TSANGANOS, LEONIDAS	AM FUNDS NEW WORLD A	0.00	21.45	0.00	21.45	95.0	20.38
03/01/2018	MATAR, ROBERTG	AM FUNDS NEW WORLD A	0.00	6.54	0.00	6.54	95.0	6.21
03/01/2018	DELISLE/AUTH PER, JAMES	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	95.0	0.93
03/01/2018	SANDERS, GARY	AM FUNDS NEW WORLD A	0.00	1.23	0.00	1.23	95.0	1.17
03/01/2018	PRICOPIO, MARIO	AM FUNDS NEW WORLD C	0.00	7.90	0.00	7.90	95.0	7.51
03/01/2018	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	0.00	7.45	0.00	7.45	95.0	7.08
03/01/2018	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	0.00	6.84	0.00	6.84	95.0	6.50
03/01/2018	PRICOPIO, MARIO	AM FUNDS NEW WORLD FUND F1	0.00	0.18	0.00	0.18	95.0	0.17
03/01/2018	MURPHY, PHILIP	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.23	0.00	9.23	95.0	8.77
03/01/2018	LONG, SARAH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.13	0.00	0.13	95.0	0.12
03/01/2018	GINGELL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	13.01	0.00	13.01	95.0	12.36
03/01/2018	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	0.00	1.24	0.00	1.24	95.0	1.18
03/01/2018	MERKLE, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	8.72	0.00	8.72	95.0	8.28
03/01/2018	JONES, GERALD	AM FUNDS SMALLCAP WORLD A	0.00	1.26	0.00	1.26	95.0	1.20
03/01/2018	HAVLIK, BRIAN	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	95.0	0.07
03/01/2018	ALVEY, CODY	AM FUNDS SMALLCAP WORLD A	0.00	0.50	0.00	0.50	95.0	0.48
03/01/2018	KENDZIERSKI, JENNIE	AM FUNDS SMALLCAP WORLD A	0.00	1.60	0.00	1.60	95.0	1.52
03/01/2018	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	28.82	0.00	28.82	95.0	27.38
03/01/2018	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	1.56	0.00	1.56	95.0	1.48
03/01/2018	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	4.40	0.00	4.40	95.0	4.18
03/01/2018	JONES, MEREK	AM FUNDS SMALLCAP WORLD A	0.00	2.10	0.00	2.10	95.0	2.00
03/01/2018	STILLWELL, LYNNE	AM FUNDS SMALLCAP WORLD A	0.00	0.55	0.00	0.55	95.0	0.52
03/01/2018	DELISLE, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	95.0	0.83
03/01/2018	OLSON, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	3.96	0.00	3.96	95.0	3.76
03/01/2018	SIMMONDS, JOSHUA	AM FUNDS SMALLCAP WORLD A	0.00	2.95	0.00	2.95	95.0	2.80
03/01/2018	STILLWELL, ERIK	AM FUNDS SMALLCAP WORLD A	0.00	0.38	0.00	0.38	95.0	0.36

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	KARGULA, CURT	AM FUNDS SMALLCAP WORLD A	0.00	2.82	0.00	2.82	95.0	2.68
03/01/2018	CARSON, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.32	0.00	0.32	95.0	0.30
03/01/2018	SHEPHERD, JOE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
03/01/2018	BENDER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.46	0.00	0.46	95.0	0.44
03/01/2018	PERSIC, ERNST	AM FUNDS SMALLCAP WORLD A	0.00	10.25	0.00	10.25	95.0	9.74
03/01/2018	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	0.00	1.30	0.00	1.30	95.0	1.24
03/01/2018	MCCAFFERTY, COLLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.11	0.00	12.11	95.0	11.50
03/01/2018	FINK, JENNIFER	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.18	0.00	1.18	95.0	1.12
03/01/2018	SHEPHERD, JOE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2018	JANSEN, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	32.45	0.00	32.45	95.0	30.83
03/01/2018	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.11	0.00	9.11	95.0	8.65
03/01/2018	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.87	0.00	12.87	95.0	12.23
03/01/2018	WHITEFOOT, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.01	0.00	11.01	95.0	10.46
03/01/2018	GALLO, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	162.73	0.00	162.73	95.0	154.59
03/01/2018	HENTKOWSKI, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.30	0.00	3.30	95.0	3.14
03/01/2018	BUXBAUM, DEBORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	93.39	0.00	93.39	95.0	88.72
03/01/2018	MUSSILL, KATHARINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	121.18	0.00	121.18	95.0	115.12
03/01/2018	GREENE, LUCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	144.73	0.00	144.73	95.0	137.49
03/01/2018	HIRSCHHORN, LAURA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.26	0.00	17.26	95.0	16.40
03/01/2018	MERROW / SAR SEP, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.96	0.00	1.96	95.0	1.86
03/01/2018	MERROW, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.21	0.00	0.21	95.0	0.20
03/01/2018	MARVIN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.28	0.00	42.28	95.0	40.17
03/01/2018	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.07	0.00	39.07	95.0	37.12
03/01/2018	ODELL, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.04	0.00	28.04	95.0	26.64
03/01/2018	O'DELL, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.15	0.00	9.15	95.0	8.69
03/01/2018	HOLLAND, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.73	0.00	3.73	95.0	3.54
03/01/2018	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	195.90	0.00	195.90	95.0	186.11
03/01/2018	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	311.39	0.00	311.39	95.0	295.82
03/01/2018	BALINSKI, BARB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	95.0	0.86
03/01/2018	REETZ, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.37	0.00	4.37	95.0	4.15
03/01/2018	NOONAN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.66	0.00	6.66	95.0	6.33
03/01/2018	JOHNSON, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.33	0.00	15.33	95.0	14.56
03/01/2018	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.77	0.00	12.77	95.0	12.13

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.48	0.00	17.48	95.0	16.61
03/01/2018	GREENE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	89.73	0.00	89.73	95.0	85.24
03/01/2018	MACINA, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.41	0.00	6.41	95.0	6.09
03/01/2018	DAY, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.43	0.00	5.43	95.0	5.16
03/01/2018	DOMBROWSKI, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.52	0.00	24.52	95.0	23.29
03/01/2018	JOHNSTON, LAUREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.64	0.00	4.64	95.0	4.41
03/01/2018	JOHNSTON, KELLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.15	0.00	5.15	95.0	4.89
03/01/2018	BONDS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.27	0.00	57.27	95.0	54.41
03/01/2018	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.51	0.00	2.51	95.0	2.38
03/01/2018	FARINO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.73	0.00	6.73	95.0	6.39
03/01/2018	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.09	0.00	16.09	95.0	15.29
03/01/2018	IRONS, DENNIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.23	0.00	8.23	95.0	7.82
03/01/2018	CORNEY, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.58	0.00	10.58	95.0	10.05
03/01/2018	CHASSE, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.21	0.00	7.21	95.0	6.85
03/01/2018	CELLI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	95.0	0.30
03/01/2018	DAVIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.31	0.00	1.31	95.0	1.24
03/01/2018	ESKOVITZ, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	95.0	0.38
03/01/2018	FOLEY, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.54	0.00	21.54	95.0	20.46
03/01/2018	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.80	0.00	10.80	95.0	10.26
03/01/2018	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.80	0.00	10.80	95.0	10.26
03/01/2018	KNOTT, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.33	0.00	7.33	95.0	6.96
03/01/2018	BERTOLINI, LEO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.39	0.00	1.39	95.0	1.32
03/01/2018	LEWIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.16	0.00	4.16	95.0	3.95
03/01/2018	REETZ, CHARLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.59	0.00	0.59	95.0	0.56
03/01/2018	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.24	0.00	16.24	95.0	15.43
03/01/2018	ESSE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.71	0.00	1.71	95.0	1.62
03/01/2018	ESSE, ANGELINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.04	0.00	3.04	95.0	2.89
03/01/2018	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	33.96	0.00	33.96	95.0	32.26
03/01/2018	NIEMETTA, NINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	95.0	0.02
03/01/2018	BYRD, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	43.02	0.00	43.02	95.0	40.87
03/01/2018	KARAOUZAS, OURANIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.19	0.00	9.19	95.0	8.73
03/01/2018	VESCOSKY, ANTOINETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	95.0	0.25
03/01/2018	BUSTER, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.22	0.00	24.22	95.0	23.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	KISH, VIVIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	51.00	0.00	51.00	95.0	48.45
03/01/2018	ZERVAS, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.26	0.00	17.26	95.0	16.40
03/01/2018	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.96	0.00	14.96	95.0	14.21
03/01/2018	ANASTASIOU, DESPINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.42	0.00	20.42	95.0	19.40
03/01/2018	NICOLOSI, ROSE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.27	0.00	17.27	95.0	16.41
03/01/2018	SKOWRONSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.07	0.00	2.07	95.0	1.97
03/01/2018	GRIFFIN, SHEILA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.40	0.00	9.40	95.0	8.93
03/01/2018	SKOWRONSKI, LUISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.72	0.00	1.72	95.0	1.63
03/01/2018	STRAYVE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.19	0.00	0.19	95.0	0.18
03/01/2018	GORSEK, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.80	0.00	9.80	95.0	9.31
03/01/2018	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.82	0.00	0.82	95.0	0.78
03/01/2018	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.62	0.00	5.62	95.0	5.34
03/01/2018	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.75	0.00	16.75	95.0	15.91
03/01/2018	FULTON, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.92	0.00	6.92	95.0	6.57
03/01/2018	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.45	0.00	8.45	95.0	8.03
03/01/2018	CISSELL, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	292.16	0.00	292.16	95.0	277.55
03/01/2018	CISSELL, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	292.16	0.00	292.16	95.0	277.55
03/01/2018	TSANGANOS, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	95.0	3.58
03/01/2018	BODE, SHELBI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.59	0.00	21.59	95.0	20.51
03/01/2018	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	95.0	1.55
03/01/2018	BENNETT, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	95.0	0.94
03/01/2018	PRICE, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	95.0	1.93
03/01/2018	HABERMAN, IAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.55	0.00	17.55	95.0	16.67
03/01/2018	RILEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	95.0	0.37
03/01/2018	LIONAS, MARIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.41	0.00	1.41	95.0	1.34
03/01/2018	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.89	0.00	3.89	95.0	3.70
03/01/2018	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.71	0.00	3.71	95.0	3.52
03/01/2018	BUSARSKY, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.63	0.00	28.63	95.0	27.20
03/01/2018	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.42	0.00	18.42	95.0	17.50
03/01/2018	WEST TRUST, NORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.81	0.00	6.81	95.0	6.47
03/01/2018	MERRITT, MARY LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	63.24	0.00	63.24	95.0	60.08
03/01/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	46.30	0.00	46.30	95.0	43.99
03/01/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.82	0.00	4.82	95.0	4.58

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	95.0	0.70
03/01/2018	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.52	0.00	11.52	95.0	10.94
03/01/2018	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.03	0.00	8.03	95.0	7.63
03/01/2018	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.64	0.00	16.64	95.0	15.81
03/01/2018	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.80	0.00	3.80	95.0	3.61
03/01/2018	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.59	0.00	3.59	95.0	3.41
03/01/2018	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.82	0.00	3.82	95.0	3.63
03/01/2018	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	95.0	0.23
03/01/2018	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.20	0.00	0.20	95.0	0.19
03/01/2018	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.08	0.00	1.08	95.0	1.03
03/01/2018	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	95.0	0.98
03/01/2018	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.23	0.00	1.23	95.0	1.17
03/01/2018	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	95.0	1.45
03/01/2018	POLANT, LOUIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.90	0.00	42.90	95.0	40.76
03/01/2018	VINING, KRISTOPHER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	2.86	0.00	2.86	95.0	2.72
03/01/2018	HAYES, DORIS	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	7.67	0.00	7.67	95.0	7.29
03/01/2018	HEGEL, SUSAN	AMERICAN FUNDS CORPORATE BOND FD A	0.00	30.63	0.00	30.63	95.0	29.10
01/31/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.53	0.00	0.53	95.0	0.50
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.61	0.00	3.61	95.0	3.43
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.20	0.00	1.20	95.0	1.14
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.20	0.00	1.20	95.0	1.14
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.60	0.00	3.60	95.0	3.42
01/31/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.18	0.00	0.18	95.0	0.17
01/31/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	7.41	0.00	7.41	95.0	7.04
01/31/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	2.47	0.00	2.47	95.0	2.35
01/31/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	4.05	0.00	4.05	95.0	3.85
01/31/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	1.35	0.00	1.35	95.0	1.28
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	0.68	0.00	0.68	95.0	0.65
01/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	3.17	0.00	3.17	95.0	3.01
01/31/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.11	0.00	0.11	95.0	0.10
01/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	2.92	0.00	2.92	95.0	2.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/31/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.33	0.00	0.33	95.0	0.31
01/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	1.06	0.00	1.06	95.0	1.01
01/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	0.97	0.00	0.97	95.0	0.92
01/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	2.04	0.00	2.04	95.0	1.94
01/31/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	8.22	0.00	8.22	95.0	7.81
01/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.05	0.00	0.05	95.0	0.05
01/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.14	0.00	0.14	95.0	0.13
01/31/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	8.22	0.00	8.22	95.0	7.81
01/31/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	2.74	0.00	2.74	95.0	2.60
01/31/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	2.74	0.00	2.74	95.0	2.60
01/31/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.20	0.00	0.20	95.0	0.19
01/31/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.59	0.00	0.59	95.0	0.56
01/31/2018	GALLAS, ANN	BLACKROCK 19452P473	0.00	1.77	0.00	1.77	95.0	1.68
01/31/2018	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.52	0.00	7.52	95.0	7.14
01/31/2018	MERRITT, GREGORY	BLACKROCK 67776G469	0.00	0.41	0.00	0.41	95.0	0.39
01/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	6.20	0.00	6.20	95.0	5.89
01/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	1.50	0.00	1.50	95.0	1.43
01/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.51	0.00	4.51	95.0	4.28
01/31/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	0.92	0.00	0.92	95.0	0.87
01/31/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	2.50	0.00	2.50	95.0	2.38
01/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	2.30	0.00	2.30	95.0	2.19
01/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.10	0.00	4.10	95.0	3.90
01/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	2.19	0.00	2.19	95.0	2.08
01/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.62	0.00	0.62	95.0	0.59
01/31/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.67	0.00	0.67	95.0	0.64
01/31/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.22	0.00	0.22	95.0	0.21
01/31/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	0.51	0.00	0.51	95.0	0.48
01/31/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	1.52	0.00	1.52	95.0	1.44
01/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	6.56	0.00	6.56	95.0	6.23
01/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	2.07	0.00	2.07	95.0	1.97
01/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.69	0.00	0.69	95.0	0.66
01/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.87	0.00	1.87	95.0	1.78
01/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	0.91	0.00	0.91	95.0	0.86

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	1.99	0.00	1.99	95.0	1.89
01/31/2018	YASCH, SANDY	BLACKROCK 67776G519	0.00	0.68	0.00	0.68	95.0	0.65
01/31/2018	MERRITT, GREGORY	BLACKROCK 67776G519	0.00	5.22	0.00	5.22	95.0	4.96
01/31/2018	MERRITT, GREGORY	BLACKROCK 67776G535	0.00	4.95	0.00	4.95	95.0	4.70
01/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	6.51	0.00	6.51	95.0	6.18
01/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.17	0.00	2.17	95.0	2.06
01/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	7.87	0.00	7.87	95.0	7.48
01/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.62	0.00	2.62	95.0	2.49
01/31/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	2.92	0.00	2.92	95.0	2.77
01/31/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	0.97	0.00	0.97	95.0	0.92
01/31/2018	WILLIT	BLK AGG GROWTH A	0.00	2.16	0.00	2.16	95.0	2.05
01/31/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.18	0.00	0.18	95.0	0.17
01/31/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.54	0.00	0.54	95.0	0.51
03/05/2018	MERRITT, KATHY	COLUMBIA ACORN A	0.00	9.29	0.00	9.29	95.0	8.83
03/05/2018	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	4.64	0.00	4.64	95.0	4.41
03/05/2018	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.95	0.00	0.95	95.0	0.90
03/05/2018	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	8.91	0.00	8.91	95.0	8.46
03/05/2018	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	8.59	0.00	8.59	95.0	8.16
03/05/2018	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.33	0.00	3.33	95.0	3.16
03/05/2018	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	8.39	0.00	8.39	95.0	7.97
03/05/2018	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.87	0.00	2.87	95.0	2.73
03/05/2018	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.81	0.00	5.81	95.0	5.52
03/05/2018	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	6.00	0.00	6.00	95.0	5.70
03/05/2018	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.57	0.00	3.57	95.0	3.39
03/05/2018	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	43.24	0.00	43.24	95.0	41.08
03/05/2018	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.72	0.00	5.72	95.0	5.43
03/05/2018	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.75	0.00	4.75	95.0	4.51
03/05/2018	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.18	0.00	0.18	95.0	0.17
03/05/2018	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.18	0.00	0.18	95.0	0.17
03/05/2018	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.18	0.00	0.18	95.0	0.17
03/05/2018	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.18	0.00	0.18	95.0	0.17
03/05/2018	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.65	0.00	2.65	95.0	2.52
03/05/2018	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/28/2018	FLAM, VARIOUS	DREYFUS	348,015.16	66.75	0.00	66.75	95.0	63.41
02/28/2018	JOHNSON, VARIOUS	DREYFUS	29,711.14	5.70	0.00	5.70	95.0	5.42
02/28/2018	CFGROUP, VARIOUS	DREYFUS	68,149.75	13.07	0.00	13.07	95.0	12.42
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.07	0.00	0.07	95.0	0.07
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.54	0.00	0.54	95.0	0.51
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.67	0.00	0.67	95.0	0.64
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.67	0.00	0.67	95.0	0.64
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	1.08	0.00	1.08	95.0	1.03
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.10	0.00	0.10	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	1.26	0.00	1.26	95.0	1.20
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	24.37	0.00	24.37	95.0	23.15
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	0.73	0.00	0.73	95.0	0.69
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.80	0.00	1.80	95.0	1.71
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	12.47	0.00	12.47	95.0	11.85
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	9.22	0.00	9.22	95.0	8.76
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.84	0.00	1.84	95.0	1.75
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.46	0.00	1.46	95.0	1.39
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	0.74	0.00	0.74	95.0	0.70
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	2.06	0.00	2.06	95.0	1.96
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	19.10	0.00	19.10	95.0	18.15
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.07	0.00	0.07	95.0	0.07
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.07	0.00	0.07	95.0	0.07
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.12	0.00	3.12	95.0	2.96
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.28	0.00	0.28	95.0	0.27
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.18	0.00	0.18	95.0	0.17
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.18	0.00	0.18	95.0	0.17
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	7.02	0.00	7.02	95.0	6.67
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.86	0.00	1.86	95.0	1.77
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.83	0.00	2.83	95.0	2.69

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.40	0.00	3.40	95.0	3.23
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.19	0.00	1.19	95.0	1.13
/ /	KULBACK, WILLIAM	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	15.11	0.00	15.11	95.0	14.35
/ /	ZERILLI, ROSA	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	3.10	0.00	3.10	95.0	2.95
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.52	0.00	1.52	95.0	1.44
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.63	0.00	0.63	95.0	0.60
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.03	0.00	0.03	95.0	0.03
01/31/2018	BURKE, KIMBERLY	GLOBAL ALLOCATION FUND	0.00	6.68	0.00	6.68	95.0	6.35
01/31/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.10	0.00	3.10	95.0	2.95
01/31/2018	MERRITT, GREGORY	GLOBAL ALLOCATION FUND	0.00	2.21	0.00	2.21	95.0	2.10
01/31/2018	YASCH, KEN	GLOBAL ALLOCATION FUND	0.00	0.63	0.00	0.63	95.0	0.60
01/31/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.46	0.00	3.46	95.0	3.29
01/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.53	0.00	3.53	95.0	3.35
01/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.53	0.00	3.53	95.0	3.35
01/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	5.34	0.00	5.34	95.0	5.07
01/31/2018	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	0.00	2.55	0.00	2.55	95.0	2.42
01/31/2018	NIK, YASCH	GLOBAL ALLOCATION FUND	0.00	0.59	0.00	0.59	95.0	0.56
02/16/2018	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	93.20	0.00	93.20	95.0	88.54
02/16/2018	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	279.61	0.00	279.61	95.0	265.63
02/16/2018	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	45.52	0.00	45.52	95.0	43.24
02/16/2018	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	136.55	0.00	136.55	95.0	129.72
02/16/2018	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.38	0.00	11.38	95.0	10.81
02/16/2018	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	34.14	0.00	34.14	95.0	32.43
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.61	0.00	0.61	95.0	0.58
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.63	0.00	0.63	95.0	0.60
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	1.98	0.00	1.98	95.0	1.88
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.22	0.00	5.22	95.0	4.96
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	2.01	0.00	2.01	95.0	1.91
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.67	0.00	12.67	95.0	12.04
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.77	0.00	0.77	95.0	0.73
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	1.87	0.00	1.87	95.0	1.78
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	17.44	0.00	17.44	95.0	16.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.74	0.00	4.74	95.0	4.50
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.08	0.00	2.08	95.0	1.98
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	1.13	0.00	1.13	95.0	1.07
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.62	0.00	4.62	95.0	4.39
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	0.01	0.00	0.01	95.0	0.01
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.23	0.00	1.23	95.0	1.17
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.91	0.00	3.91	95.0	3.71
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.84	0.00	1.84	95.0	1.75
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.28	0.00	0.28	95.0	0.27
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.12	0.00	0.12	95.0	0.11
03/02/2018	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	31.22	0.00	31.22	95.0	29.66
03/02/2018	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	31.22	0.00	31.22	95.0	29.66
03/02/2018	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.67	0.00	4.67	95.0	4.44
03/02/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	5.97	0.00	5.97	95.0	5.67
03/02/2018	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	19.74	0.00	19.74	95.0	18.75
03/02/2018	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.56	0.00	1.56	95.0	1.48
03/02/2018	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	9.43	0.00	9.43	95.0	8.96
03/02/2018	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.44	0.00	0.44	95.0	0.42
03/02/2018	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.94	0.00	0.94	95.0	0.89
03/02/2018	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	81.73	0.00	81.73	95.0	77.64
03/02/2018	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	19.37	0.00	19.37	95.0	18.40
03/02/2018	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	11.48	0.00	11.48	95.0	10.91
03/02/2018	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	3.86	0.00	3.86	95.0	3.67
03/02/2018	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	26.27	0.00	26.27	95.0	24.96
03/02/2018	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	8.54	0.00	8.54	95.0	8.11
03/02/2018	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	9.85	0.00	9.85	95.0	9.36
03/02/2018	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	37.14	0.00	37.14	95.0	35.28
03/02/2018	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	11.21	0.00	11.21	95.0	10.65
03/02/2018	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	11.66	0.00	11.66	95.0	11.08
03/02/2018	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	18.01	0.00	18.01	95.0	17.11
03/02/2018	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.43	0.00	1.43	95.0	1.36
03/02/2018	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	55.27	0.00	55.27	95.0	52.51
03/02/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	35.72	0.00	35.72	95.0	33.93

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/02/2018	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	39.17	0.00	39.17	95.0	37.21
03/02/2018	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	21.23	0.00	21.23	95.0	20.17
03/02/2018	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	46.26	0.00	46.26	95.0	43.95
03/02/2018	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	12.64	0.00	12.64	95.0	12.01
03/02/2018	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	46.66	0.00	46.66	95.0	44.33
03/02/2018	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	26.07	0.00	26.07	95.0	24.77
03/02/2018	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	36.71	0.00	36.71	95.0	34.87
03/02/2018	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	22.49	0.00	22.49	95.0	21.37
03/02/2018	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	23.03	0.00	23.03	95.0	21.88
03/02/2018	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.65	0.00	4.65	95.0	4.42
03/02/2018	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	6.74	0.00	6.74	95.0	6.40
03/02/2018	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	12.63	0.00	12.63	95.0	12.00
03/02/2018	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	4.89	0.00	4.89	95.0	4.65
03/02/2018	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	13.04	0.00	13.04	95.0	12.39
03/02/2018	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	6.65	0.00	6.65	95.0	6.32
03/02/2018	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	1.17	0.00	1.17	95.0	1.11
03/02/2018	HOOTNER-JONES, ANN	TRANSAMERICA AA GROWTH C	0.00	7.31	0.00	7.31	95.0	6.94
03/02/2018	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	13.49	0.00	13.49	95.0	12.82
03/02/2018	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	3.99	0.00	3.99	95.0	3.79
03/02/2018	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.04	0.00	4.04	95.0	3.84
03/02/2018	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	9.54	0.00	9.54	95.0	9.06
03/02/2018	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.87	0.00	0.87	95.0	0.83
03/02/2018	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	31.36	0.00	31.36	95.0	29.79
03/02/2018	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	25.31	0.00	25.31	95.0	24.04
03/02/2018	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	8.65	0.00	8.65	95.0	8.22
03/02/2018	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	10.63	0.00	10.63	95.0	10.10
03/02/2018	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	194.77	0.00	194.77	95.0	185.03
03/02/2018	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	8.90	0.00	8.90	95.0	8.46
03/02/2018	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	20.41	0.00	20.41	95.0	19.39
03/02/2018	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	22.24	0.00	22.24	95.0	21.13
03/02/2018	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.01	0.00	11.01	95.0	10.46
03/02/2018	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	14.90	0.00	14.90	95.0	14.16
03/02/2018	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.09	0.00	0.09	95.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/02/2018	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	23.93	0.00	23.93	95.0	22.73
03/02/2018	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	54.28	0.00	54.28	95.0	51.57
03/02/2018	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	35.81	0.00	35.81	95.0	34.02
03/02/2018	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	30.17	0.00	30.17	95.0	28.66
03/02/2018	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	41.60	0.00	41.60	95.0	39.52
03/02/2018	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	11.08	0.00	11.08	95.0	10.53
03/02/2018	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.36	0.00	3.36	95.0	3.19
03/02/2018	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	9.11	0.00	9.11	95.0	8.65
03/02/2018	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	15.54	0.00	15.54	95.0	14.76
03/02/2018	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	106.85	0.00	106.85	95.0	101.51
03/02/2018	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	53.31	0.00	53.31	95.0	50.64
03/02/2018	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	9.23	0.00	9.23	95.0	8.77
03/02/2018	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	9.46	0.00	9.46	95.0	8.99
03/02/2018	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	4.78	0.00	4.78	95.0	4.54
03/02/2018	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.54	0.00	2.54	95.0	2.41
03/02/2018	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	41.76	0.00	41.76	95.0	39.67
03/02/2018	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.28	0.00	3.28	95.0	3.12
03/02/2018	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	142.74	0.00	142.74	95.0	135.60
03/02/2018	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	50.92	0.00	50.92	95.0	48.37
03/02/2018	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	1.97	0.00	1.97	95.0	1.87
03/02/2018	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.10	0.00	3.10	95.0	2.95
03/02/2018	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	12.17	0.00	12.17	95.0	11.56
03/02/2018	LAWRENCE, PEGGY	TRANSAMERICA AA MOD GROWTH C	0.00	12.34	0.00	12.34	95.0	11.72
03/02/2018	BERDESKI, AUDREY	TRANSAMERICA AA MOD GROWTH C	0.00	5.17	0.00	5.17	95.0	4.91
03/02/2018	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	105.75	0.00	105.75	95.0	100.46
03/02/2018	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	18.38	0.00	18.38	95.0	17.46
03/02/2018	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.71	0.00	0.71	95.0	0.67
03/02/2018	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	79.95	0.00	79.95	95.0	75.95
03/02/2018	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	0.00	3.52	0.00	3.52	95.0	3.34
03/02/2018	MANOLATOS, STEVE	TRANSAMERICA AA MODERATE C	0.00	7.21	0.00	7.21	95.0	6.85
03/02/2018	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.06	0.00	9.06	95.0	8.61
03/02/2018	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.32	0.00	0.32	95.0	0.30
03/02/2018	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	12.36	0.00	12.36	95.0	11.74

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/02/2018	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	8.66	0.00	8.66	95.0	8.23
03/02/2018	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	33.35	0.00	33.35	95.0	31.68
03/02/2018	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	24.09	0.00	24.09	95.0	22.89
03/02/2018	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	10.11	0.00	10.11	95.0	9.60
03/02/2018	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.88	0.00	4.88	95.0	4.64
03/02/2018	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	13.52	0.00	13.52	95.0	12.84
03/02/2018	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	11.71	0.00	11.71	95.0	11.12
03/02/2018	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	14.23	0.00	14.23	95.0	13.52
03/02/2018	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.81	0.00	2.81	95.0	2.67
03/02/2018	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.88	0.00	5.88	95.0	5.59
03/02/2018	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.05	0.00	7.05	95.0	6.70
03/02/2018	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	33.23	0.00	33.23	95.0	31.57
03/02/2018	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	104.75	0.00	104.75	95.0	99.51
03/02/2018	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	41.44	0.00	41.44	95.0	39.37
03/02/2018	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.53	0.00	6.53	95.0	6.20
03/02/2018	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.76	0.00	2.76	95.0	2.62
03/02/2018	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.56	0.00	2.56	95.0	2.43
03/02/2018	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	14.78	0.00	14.78	95.0	14.04
03/02/2018	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.14	0.00	1.14	95.0	1.08
03/02/2018	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	11.64	0.00	11.64	95.0	11.06
03/02/2018	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.14	0.00	16.14	95.0	15.33
03/02/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	36.49	0.00	36.49	95.0	34.67
03/02/2018	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	43.29	0.00	43.29	95.0	41.13
03/02/2018	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	9.94	0.00	9.94	95.0	9.44
03/02/2018	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	94.39	0.00	94.39	95.0	89.67
03/02/2018	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	126.68	0.00	126.68	95.0	120.35
03/02/2018	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	71.73	0.00	71.73	95.0	68.14
03/02/2018	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	15.08	0.00	15.08	95.0	14.33
03/02/2018	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	95.20	0.00	95.20	95.0	90.44
03/02/2018	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	41.01	0.00	41.01	95.0	38.96
03/02/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	19.57	0.00	19.57	95.0	18.59
03/02/2018	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	27.49	0.00	27.49	95.0	26.12
03/02/2018	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.84	0.00	5.84	95.0	5.55

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/02/2018	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	6.58	0.00	6.58	95.0	6.25
03/02/2018	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	6.58	0.00	6.58	95.0	6.25
03/02/2018	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	26.62	0.00	26.62	95.0	25.29
03/02/2018	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	20.50	0.00	20.50	95.0	19.48
03/02/2018	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	56.50	0.00	56.50	95.0	53.68
03/02/2018	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.31	0.00	4.31	95.0	4.09
03/02/2018	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.17	0.00	5.17	95.0	4.91
03/02/2018	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.78	0.00	1.78	95.0	1.69
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$445,876.05	\$19,497.58	\$0.00	\$19,497.58		\$18,523.12
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/28/2018	EMBACH, KEVIN	GENWORTH CHOICE VA	84,015.12	70.01	0.00	70.01	95.0	66.51
02/28/2018	EMBACH, JAMES	GENWORTH CHOICE VA	84,015.13	70.01	0.00	70.01	95.0	66.51
02/28/2018	ZACK, MAUREEN	GENWORTH CHOICE VA	84,015.13	70.01	0.00	70.01	95.0	66.51
02/28/2018	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	12,109.14	10.09	0.00	10.09	95.0	9.59
02/28/2018	MCCLAIN, DOROTHY	GENWORTH CHOICE VA	100,724.53	83.94	0.00	83.94	95.0	79.74
02/28/2018	BYERS, SHARRON	GENWORTH VA	112,238.90	18.71	0.00	18.71	95.0	17.77
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$477,117.95	\$322.77	\$0.00	\$322.77		\$306.63
*** DIRECT TRANSACTIONS TOTAL ***			\$6,353,278.67	\$24,663.66	\$0.00	\$24,663.66		\$23,430.89

SPLIT TRANSACTIONS**BROKER: MARK, 103 KOSANKE #3**

02/09/2018	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.44	0.00	0.44	95.0	0.42
02/09/2018	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	95.0	0.22
02/09/2018	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	95.0	0.19
02/09/2018	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	95.0	2.69
02/09/2018	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	95.0	0.50
02/09/2018	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	13.77	0.00	13.77	95.0	13.08
02/09/2018	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.39	0.00	1.39	95.0	1.32
02/09/2018	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	7.35	0.00	7.35	95.0	6.98
02/09/2018	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	95.0	1.69
02/09/2018	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	95.0	1.69
02/09/2018	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.95	0.00	5.95	95.0	5.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK, 103 KOSANKE #3</u>								
02/15/2018	EQUITY TRUST CO	COLUMBIA PPTY TR INC COM NEW	2,054.47	22.00	14.00	8.00	95.0	7.60
02/09/2018	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.78	0.00	2.78	95.0	2.64
02/09/2018	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	18.82	0.00	18.82	95.0	17.88
02/09/2018	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	11.70	0.00	11.70	95.0	11.12
02/16/2018	MARCOLA, THADDEUS	DIVIDEND AND INCOME FUND	1,299.85	22.00	14.00	8.00	95.0	7.60
02/16/2018	MARCOLA, ERIKA	DIVIDEND AND INCOME FUND	514.52	22.00	14.00	8.00	95.0	7.60
02/09/2018	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.76	0.00	0.76	95.0	0.72
02/09/2018	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.49	0.00	2.49	95.0	2.37
02/09/2018	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	7.86	0.00	7.86	95.0	7.47
02/05/2018	KOSZEGI, DONALD	FORD MOTOR CO DEL COM PAR	4,059.09	22.00	14.00	8.00	95.0	7.60
02/28/2018	KRASS, DELORES	JNL PERSPECTIVE REWARDS	14,936.68	3.12	0.00	3.12	95.0	2.96
02/19/2018	ELIAS, NAZEEH AKHNOUKH	JNL REWARD 10 YR TERM	1,442.79	14.43	0.00	14.43	95.0	13.71
02/09/2018	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.30	0.00	0.30	95.0	0.29
03/02/2018	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	27.16	0.00	27.16	95.0	25.80
02/26/2018	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.80	0.00	0.80	95.0	0.76
02/26/2018	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	1.28	0.00	1.28	95.0	1.22
* MARK, 103 KOSANKE SUBTOTAL *			\$24,307.40	\$215.75	\$56.00	\$159.75		\$151.77
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.01	0.00	2.01	95.0	1.91
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.01	\$0.00	\$2.01		\$1.91
<u>BROKER: GROUP, B119 FLAM/BUSSELL #32</u>								
02/28/2018	M, OSIP	DELAWARE VALUE A	0.00	1.20	0.00	1.20	95.0	1.14
* GROUP, B119 FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.20	\$0.00	\$1.20		\$1.14
<u>BROKER: PETER JOHNSON #63</u>								
02/28/2018	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	23.62	0.00	23.62	95.0	22.44
02/28/2018	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.29	0.00	8.29	95.0	7.88
02/28/2018	PAPPAS, LARRY	DELAWARE VALUE A	0.00	32.92	0.00	32.92	95.0	31.27
02/28/2018	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.49	0.00	6.49	95.0	6.17
* PETER JOHNSON SUBTOTAL *			\$0.00	\$71.32	\$0.00	\$71.32		\$67.76
*** SPLIT TRANSACTIONS TOTAL ***			\$24,307.40	\$290.28	\$56.00	\$234.28		\$222.58

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: FRANK, D116 DUNN #7 </u>								
01/31/2018	BRENT, MARY KAY	GRIFFIN INST'L ACCESS R E FUND	48,146.69	10.22	0.00	10.22	90.0	0.51
01/31/2018	SCARLATO, MARY	GRIFFIN INST'L ACCESS R E FUND	48,214.32	10.24	0.00	10.24	90.0	0.51
* FRANK, D116 DUNN SUBTOTAL *			\$96,361.01	\$20.46	\$0.00	\$20.46		\$1.02
<u> BROKER: THOMAS SCHNEIDER #30 </u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
02/27/2018	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	14,947.45	3.11	0.00	3.11	0.0	2.95
02/27/2018	KELLER, MICHELLE	SBL ADVISOR PROGRAM	29,379.15	6.13	0.00	6.13	0.0	5.82
02/27/2018	YOUNG, MARCIA	SBL ADVISOR PROGRAM	25,748.46	5.37	0.00	5.37	0.0	5.10
02/27/2018	BAKER, MARILYN	SBL ADVISORDESIGNS VA	7,079.40	1.46	0.00	1.46	0.0	1.39
02/27/2018	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,682.41	1.39	0.00	1.39	0.0	1.32
02/27/2018	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	7,551.70	1.57	0.00	1.57	0.0	1.49
02/27/2018	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,795.98	1.82	0.00	1.82	0.0	1.73
02/27/2018	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,585.85	1.59	0.00	1.59	0.0	1.51
02/27/2018	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	8,275.24	1.74	0.00	1.74	0.0	1.65
02/27/2018	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,802.35	1.63	0.00	1.63	0.0	1.55
02/27/2018	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	130,269.80	27.14	0.00	27.14	0.0	25.78
02/27/2018	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,249.69	1.31	0.00	1.31	0.0	1.24
02/27/2018	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	20,690.36	4.31	0.00	4.31	0.0	4.09
02/27/2018	HARTONG, DEAN	SBL ADVISORDESIGNS VA	10,797.84	2.24	0.00	2.24	0.0	2.13
02/27/2018	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,794.89	1.20	0.00	1.20	0.0	1.14
02/27/2018	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,105.91	1.69	0.00	1.69	0.0	1.61
02/27/2018	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,279.06	0.68	0.00	0.68	0.0	0.65
02/27/2018	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,571.09	1.37	0.00	1.37	0.0	1.30
02/27/2018	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,638.62	0.76	0.00	0.76	0.0	0.72
02/27/2018	GREGORY, CAROL	SBL ADVISORDESIGNS VA	21,542.97	4.49	0.00	4.49	0.0	4.27
* THOMAS SCHNEIDER SUBTOTAL *			\$340,788.22	\$71.16	\$0.00	\$71.16		\$67.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$437,149.23	\$91.62	\$0.00	\$91.62		\$68.62
<u>ADJUSTMENTS</u>								
03/15/2018		*EO INS: MONTHLY - HEATHER	0.00					-300.00
03/15/2018		*TECHNOLOGY: MONTHLY - HEATHER	0.00					-275.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-575.00

BROKER COMMISSION TOTALS

Broker Transactions	\$23,430.89
Split Transactions	\$222.58
Override Transactions	\$68.62
Adjustments	\$-575.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$23,147.09
Year-to-date Gross	\$91,363.02
Year-to-date Earnings	\$92,126.67

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