



Concorde Investment Services, LLC
COMMISSION STATEMENT
September 30, 2017

09/28/2017
 Page No. 1

DANIEL BUKOVCIK
 101 N. Main Street
 Box 376
 Ovid, MI 48866

BROKER #: B123
 BRANCH: DANIEL BUKOVCIK

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | |
|------------|-------------------------|---------------------------------|------|--------|------|--------|------|--------|
| 09/01/2017 | ASHBAUGH, CATHARINE | AM FUNDS AMCAP A | 0.00 | 0.77 | 90.0 | 0.69 | 0.00 | 0.69 |
| 09/01/2017 | ASHBAUGH, CHRISTOPHER | AM FUNDS AMCAP A | 0.00 | 1.55 | 90.0 | 1.40 | 0.00 | 1.40 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS AMCAP A | 0.00 | 1.41 | 90.0 | 1.27 | 0.00 | 1.27 |
| 09/01/2017 | NIXON, FRED | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.64 | 90.0 | 6.88 | 0.00 | 6.88 |
| 09/01/2017 | TEACHNOR-HAUK/AUTH PER, | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.33 | 90.0 | 1.20 | 0.00 | 1.20 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS AMERICAN BALANCED A | 0.00 | 18.49 | 90.0 | 16.64 | 0.00 | 16.64 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 10.30 | 90.0 | 9.27 | 0.00 | 9.27 |
| 09/01/2017 | ASHBAUGH, CATHARINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.57 | 90.0 | 0.51 | 0.00 | 0.51 |
| 09/01/2017 | ASHBAUGH, CHRISTOPHER | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.43 | 90.0 | 3.09 | 0.00 | 3.09 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.68 | 90.0 | 3.31 | 0.00 | 3.31 |
| 09/01/2017 | MI/TOD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.76 | 90.0 | 0.68 | 0.00 | 0.68 |
| 09/01/2017 | FRUCHEY/BENE, DONNA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.12 | 90.0 | 2.81 | 0.00 | 2.81 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.77 | 90.0 | 2.49 | 0.00 | 2.49 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.32 | 90.0 | 3.89 | 0.00 | 3.89 |
| 09/01/2017 | GOECKEL, KAY | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.50 | 90.0 | 6.75 | 0.00 | 6.75 |
| 09/01/2017 | PER, DESTINY | AM FUNDS AMERICAN BALANCED C | 0.00 | 2.11 | 90.0 | 1.90 | 0.00 | 1.90 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS AMERICAN HIGH-INC MUNI | 0.00 | 19.51 | 90.0 | 17.56 | 0.00 | 17.56 |
| 09/01/2017 | MULDER, DONALD | AM FUNDS AMERICAN HIGH-INC MUNI | 0.00 | 337.43 | 90.0 | 303.69 | 0.00 | 303.69 |
| 09/01/2017 | EBNIT TRUST 1, BETTY | AM FUNDS AMERICAN HIGH-INC MUNI | 0.00 | 50.02 | 90.0 | 45.02 | 0.00 | 45.02 |
| 09/01/2017 | LATZ, SONYA | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 10.49 | 90.0 | 9.44 | 0.00 | 9.44 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 14.39 | 90.0 | 12.95 | 0.00 | 12.95 |
| 09/01/2017 | STANTON, DONALD | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 42.89 | 90.0 | 38.60 | 0.00 | 38.60 |
| 09/01/2017 | MULDER, DONALD | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 33.40 | 90.0 | 30.06 | 0.00 | 30.06 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 0.13 | 90.0 | 0.12 | 0.00 | 0.12 |
| 09/01/2017 | BANCROFT, AUDREY | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 4.81 | 90.0 | 4.33 | 0.00 | 4.33 |
| 09/01/2017 | EBNIT TRUST 1, BETTY | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 13.21 | 90.0 | 11.89 | 0.00 | 11.89 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-----------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | SIEFFERT, JUDITH | AM FUNDS AMERICAN HIGH-INCOME | 0.00 | 1.65 | 90.0 | 1.49 | 0.00 | 1.49 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.23 | 90.0 | 2.91 | 0.00 | 2.91 |
| 09/01/2017 | MCCARTHY, ROSEMARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.67 | 90.0 | 0.60 | 0.00 | 0.60 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.12 | 90.0 | 3.71 | 0.00 | 3.71 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.31 | 90.0 | 2.08 | 0.00 | 2.08 |
| 09/01/2017 | BUKOVCIK/SEP, WILLIAM | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 8.63 | 90.0 | 7.77 | 0.00 | 7.77 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 11.72 | 90.0 | 10.55 | 0.00 | 10.55 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.03 | 90.0 | 0.03 | 0.00 | 0.03 |
| 09/01/2017 | FOSTER, HEIDI | AM FUNDS BOND FUND OF AMERICA C | 0.00 | 27.42 | 90.0 | 24.68 | 0.00 | 24.68 |
| 09/01/2017 | BOSSEL, COLTER | AM FUNDS CAPITAL INCOME BUILDER | 0.00 | 3.04 | 90.0 | 2.74 | 0.00 | 2.74 |
| 09/01/2017 | NURENBURG, JACOB | AM FUNDS CAPITAL INCOME BUILDER | 0.00 | 4.71 | 90.0 | 4.24 | 0.00 | 4.24 |
| 09/01/2017 | HAUK, KALMAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.00 | 90.0 | 5.40 | 0.00 | 5.40 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.41 | 90.0 | 7.57 | 0.00 | 7.57 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.04 | 90.0 | 8.14 | 0.00 | 8.14 |
| 09/01/2017 | FERDEN, ANN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.43 | 90.0 | 2.19 | 0.00 | 2.19 |
| 09/01/2017 | LADISKI, PAUL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.70 | 90.0 | 8.73 | 0.00 | 8.73 |
| 09/01/2017 | CERNY, MARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 14.14 | 90.0 | 12.73 | 0.00 | 12.73 |
| 09/01/2017 | LEAVITT, COLLIN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.81 | 90.0 | 1.63 | 0.00 | 1.63 |
| 09/01/2017 | LATZ, SONYA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.17 | 90.0 | 8.25 | 0.00 | 8.25 |
| 09/01/2017 | LATZ, SONYA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.24 | 90.0 | 8.32 | 0.00 | 8.32 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 12.77 | 90.0 | 11.49 | 0.00 | 11.49 |
| 09/01/2017 | LATZ, JARRAH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.10 | 90.0 | 1.89 | 0.00 | 1.89 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.73 | 90.0 | 1.56 | 0.00 | 1.56 |
| 09/01/2017 | MI/TOD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.11 | 90.0 | 0.10 | 0.00 | 0.10 |
| 09/01/2017 | FRUCHEY/BENE, DONNA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.47 | 90.0 | 0.42 | 0.00 | 0.42 |
| 09/01/2017 | SCHAFER, BONNIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.48 | 90.0 | 4.03 | 0.00 | 4.03 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 43.53 | 90.0 | 39.18 | 0.00 | 39.18 |
| 09/01/2017 | MULDER, DONALD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 76.64 | 90.0 | 68.98 | 0.00 | 68.98 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.49 | 90.0 | 2.24 | 0.00 | 2.24 |
| 09/01/2017 | SCOTT, KENNEDY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.72 | 90.0 | 0.65 | 0.00 | 0.65 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.98 | 90.0 | 2.68 | 0.00 | 2.68 |
| 09/01/2017 | CARPENTER, RUTH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.67 | 90.0 | 0.60 | 0.00 | 0.60 |
| 09/01/2017 | BANCROFT, AUDREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.95 | 90.0 | 4.46 | 0.00 | 4.46 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|------------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | GOECKEL, KAY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.31 | 90.0 | 3.88 | 0.00 | 3.88 |
| 09/01/2017 | STOLL, DYLAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.97 | 90.0 | 1.77 | 0.00 | 1.77 |
| 09/01/2017 | STOLL, JUSTIN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.21 | 90.0 | 1.99 | 0.00 | 1.99 |
| 09/01/2017 | NIXON, CAROLE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.61 | 90.0 | 1.45 | 0.00 | 1.45 |
| 09/01/2017 | SWARTHOUT/BENE, JERRY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.22 | 90.0 | 0.20 | 0.00 | 0.20 |
| 09/01/2017 | SWARTHOUT/BENE, NORITA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.57 | 90.0 | 0.51 | 0.00 | 0.51 |
| 09/01/2017 | SWARTHOUT/BENE, SHEILA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.57 | 90.0 | 0.51 | 0.00 | 0.51 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.26 | 90.0 | 2.03 | 0.00 | 2.03 |
| 09/01/2017 | EBNIT TRUST 1, BETTY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.77 | 90.0 | 6.09 | 0.00 | 6.09 |
| 09/01/2017 | SIEFFERT, JUDITH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.83 | 90.0 | 3.45 | 0.00 | 3.45 |
| 09/01/2017 | MI/TOD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.98 | 90.0 | 0.88 | 0.00 | 0.88 |
| 09/13/2017 | MARTIN, SCOTT | AM FUNDS CAPITAL INCOME BUILDER A | 86.06 | 3.23 | 90.0 | 2.91 | 0.00 | 2.91 |
| 09/20/2017 | LATZ, SONYA | AM FUNDS CAPITAL INCOME BUILDER A | 50.00 | 1.88 | 90.0 | 1.69 | 0.00 | 1.69 |
| 09/20/2017 | LATZ, JARRAH | AM FUNDS CAPITAL INCOME BUILDER A | 12.50 | 0.34 | 90.0 | 0.31 | 0.00 | 0.31 |
| 09/01/2017 | LATZ, JOSHUA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 6.54 | 90.0 | 5.89 | 0.00 | 5.89 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 12.53 | 90.0 | 11.28 | 0.00 | 11.28 |
| 09/01/2017 | SAVAGE, ELIZABETH | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 8.13 | 90.0 | 7.32 | 0.00 | 7.32 |
| 09/20/2017 | LATZ, JOSHUA | AM FUNDS CAPITAL WORLD BOND A | 40.00 | 1.10 | 90.0 | 0.99 | 0.00 | 0.99 |
| 09/01/2017 | BOSSEL, COLTER | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 4.52 | 90.0 | 4.07 | 0.00 | 4.07 |
| 09/01/2017 | HAUK, KALMAN | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 6.92 | 90.0 | 6.23 | 0.00 | 6.23 |
| 09/01/2017 | GRUBAUGH, EDWARD | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 1.83 | 90.0 | 1.65 | 0.00 | 1.65 |
| 09/01/2017 | ASHBAUGH, CATHARINE | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 0.46 | 90.0 | 0.41 | 0.00 | 0.41 |
| 09/01/2017 | ASHBAUGH, CHRISTOPHER | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 2.03 | 90.0 | 1.83 | 0.00 | 1.83 |
| 09/01/2017 | MCCARTHY, ROSEMARY | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 1.19 | 90.0 | 1.07 | 0.00 | 1.07 |
| 09/01/2017 | NETHAWAY, BARBARA | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 3.69 | 90.0 | 3.32 | 0.00 | 3.32 |
| 09/01/2017 | LATZ, SONYA | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 9.86 | 90.0 | 8.87 | 0.00 | 8.87 |
| 09/01/2017 | LATZ, JOSHUA | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 19.82 | 90.0 | 17.84 | 0.00 | 17.84 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 14.30 | 90.0 | 12.87 | 0.00 | 12.87 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 5.20 | 90.0 | 4.68 | 0.00 | 4.68 |
| 09/01/2017 | SAVAGE, ELIZABETH | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 18.11 | 90.0 | 16.30 | 0.00 | 16.30 |
| 09/01/2017 | MAHONEY, KRISTEN | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 0.32 | 90.0 | 0.29 | 0.00 | 0.29 |
| 09/13/2017 | MAHONEY, KRISTEN | AM FUNDS CAPITAL WORLD GRTH & INC | 30.00 | 1.13 | 90.0 | 1.02 | 0.00 | 1.02 |
| 09/20/2017 | LATZ, SONYA | AM FUNDS CAPITAL WORLD GRTH & INC | 50.00 | 1.88 | 90.0 | 1.69 | 0.00 | 1.69 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|------------------------|------------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/20/2017 | LATZ, JOSHUA | AM FUNDS CAPITAL WORLD GRTH & INC | 80.00 | 2.20 | 90.0 | 1.98 | 0.00 | 1.98 |
| 09/01/2017 | DOLAN, TERRY | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 7.92 | 90.0 | 7.13 | 0.00 | 7.13 |
| 09/01/2017 | DOLAN, TERRY | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 11.52 | 90.0 | 10.37 | 0.00 | 10.37 |
| 09/01/2017 | DOLAN, TERRY | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 10.80 | 90.0 | 9.72 | 0.00 | 9.72 |
| 09/01/2017 | DOLAN, TERRY | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 12.96 | 90.0 | 11.66 | 0.00 | 11.66 |
| 09/01/2017 | SMITH, LINDSEY | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 0.05 | 90.0 | 0.05 | 0.00 | 0.05 |
| 09/01/2017 | BOSSEL, COLTER | AM FUNDS EUROPACIFIC GROWTH FUND | 0.00 | 3.52 | 90.0 | 3.17 | 0.00 | 3.17 |
| 09/01/2017 | LEN, JURLINE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.06 | 90.0 | 4.55 | 0.00 | 4.55 |
| 09/01/2017 | BYRNE, JAMIE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.79 | 90.0 | 3.41 | 0.00 | 3.41 |
| 09/01/2017 | FRYE, DENISE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.06 | 90.0 | 0.95 | 0.00 | 0.95 |
| 09/01/2017 | PAKSI, JAMES | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.41 | 90.0 | 2.17 | 0.00 | 2.17 |
| 09/01/2017 | ZALUD, BRIAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 8.19 | 90.0 | 7.37 | 0.00 | 7.37 |
| 09/01/2017 | FABRY, EMILY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.97 | 90.0 | 1.77 | 0.00 | 1.77 |
| 09/01/2017 | NETHAWAY, COLE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.47 | 90.0 | 0.42 | 0.00 | 0.42 |
| 09/01/2017 | HEBELER, CARTER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.43 | 90.0 | 0.39 | 0.00 | 0.39 |
| 09/01/2017 | FERDEN, ANN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 7.61 | 90.0 | 6.85 | 0.00 | 6.85 |
| 09/01/2017 | STOCKING, ERIC | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.25 | 90.0 | 1.13 | 0.00 | 1.13 |
| 09/01/2017 | STOCKING, ELAINE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.50 | 90.0 | 1.35 | 0.00 | 1.35 |
| 09/01/2017 | LADISKI, PAUL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.16 | 90.0 | 1.04 | 0.00 | 1.04 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.99 | 90.0 | 0.89 | 0.00 | 0.89 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.99 | 90.0 | 0.89 | 0.00 | 0.89 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.99 | 90.0 | 0.89 | 0.00 | 0.89 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.66 | 90.0 | 0.59 | 0.00 | 0.59 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.66 | 90.0 | 0.59 | 0.00 | 0.59 |
| 09/01/2017 | TOMASEK, JENNA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.42 | 90.0 | 0.38 | 0.00 | 0.38 |
| 09/01/2017 | MARTIN, LISA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.22 | 90.0 | 2.90 | 0.00 | 2.90 |
| 09/01/2017 | HERBLET, AMANDA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 4.62 | 90.0 | 4.16 | 0.00 | 4.16 |
| 09/01/2017 | NETHAWAY, LANCE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.93 | 90.0 | 1.74 | 0.00 | 1.74 |
| 09/01/2017 | MULDER, DONALD | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 27.17 | 90.0 | 24.45 | 0.00 | 24.45 |
| 09/01/2017 | SWARTHOUT/BENE, JERRY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.08 | 90.0 | 0.07 | 0.00 | 0.07 |
| 09/01/2017 | SWARTHOUT/BENE, NORITA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.21 | 90.0 | 0.19 | 0.00 | 0.19 |
| 09/01/2017 | SWARTHOUT/BENE, SHEILA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.21 | 90.0 | 0.19 | 0.00 | 0.19 |
| 09/20/2017 | ZALUD, BRIAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 37.50 | 1.41 | 90.0 | 1.27 | 0.00 | 1.27 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|-------------------------|------------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/20/2017 | HERBLET, AMANDA | AM FUNDS EUROPACIFIC GROWTH FUND A | 25.00 | 1.25 | 90.0 | 1.13 | 0.00 | 1.13 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.41 | 90.0 | 3.07 | 0.00 | 3.07 |
| 09/01/2017 | MCCARTHY, ROSEMARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.31 | 90.0 | 3.88 | 0.00 | 3.88 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.39 | 90.0 | 4.85 | 0.00 | 4.85 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.91 | 90.0 | 8.02 | 0.00 | 8.02 |
| 09/01/2017 | BAXTER, KAREN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 70.09 | 90.0 | 63.08 | 0.00 | 63.08 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS GLOBAL BALANCED A | 0.00 | 1.49 | 90.0 | 1.34 | 0.00 | 1.34 |
| 09/01/2017 | ROBERTS, MONICA | AM FUNDS GROWTH AND INCOME 529A | 0.00 | 4.52 | 90.0 | 4.07 | 0.00 | 4.07 |
| 09/15/2017 | ROBERTS, MONICA | AM FUNDS GROWTH AND INCOME 529A | 125.00 | 6.25 | 90.0 | 5.63 | 0.00 | 5.63 |
| 09/15/2017 | ROBERTS, MONICA | AM FUNDS GROWTH AND INCOME 529A | 125.00 | 6.25 | 90.0 | 5.63 | 0.00 | 5.63 |
| 09/01/2017 | MULDER, JAYDEN | AM FUNDS GROWTH AND INCOME A | 0.00 | 1.75 | 90.0 | 1.58 | 0.00 | 1.58 |
| 09/01/2017 | BOSSEL, COLTER | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 3.51 | 90.0 | 3.16 | 0.00 | 3.16 |
| 09/01/2017 | MULDER, TERESA | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 7.44 | 90.0 | 6.70 | 0.00 | 6.70 |
| 09/01/2017 | NURENBURG, JACOB | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 4.76 | 90.0 | 4.28 | 0.00 | 4.28 |
| 09/01/2017 | HAZLE, JESSICA | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 0.47 | 90.0 | 0.42 | 0.00 | 0.42 |
| 09/01/2017 | ROBERTS, MONICA | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 4.91 | 90.0 | 4.42 | 0.00 | 4.42 |
| 09/01/2017 | NIDEFSKI, CAIDEN | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 0.72 | 90.0 | 0.65 | 0.00 | 0.65 |
| 09/01/2017 | NIDEFSKI, CAIDEN | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 0.72 | 90.0 | 0.65 | 0.00 | 0.65 |
| 09/01/2017 | SCHAFER, CORACELYN | AM FUNDS GROWTH FUND OF AMERICA | 0.00 | 1.64 | 90.0 | 1.48 | 0.00 | 1.48 |
| 09/15/2017 | ROBERTS, MONICA | AM FUNDS GROWTH FUND OF AMERICA | 125.00 | 6.25 | 90.0 | 5.63 | 0.00 | 5.63 |
| 09/15/2017 | ROBERTS, MONICA | AM FUNDS GROWTH FUND OF AMERICA | 125.00 | 6.25 | 90.0 | 5.63 | 0.00 | 5.63 |
| 09/01/2017 | SCHLIEF, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.34 | 90.0 | 3.01 | 0.00 | 3.01 |
| 09/01/2017 | HAUK, KALMAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 30.96 | 90.0 | 27.86 | 0.00 | 27.86 |
| 09/01/2017 | TEACHNOR-HAUK/AUTH PER, | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.43 | 90.0 | 2.19 | 0.00 | 2.19 |
| 09/01/2017 | TEACHNOR-HAUK/AUTH PER, | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.07 | 90.0 | 0.06 | 0.00 | 0.06 |
| 09/01/2017 | BERTRAM, ADAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.68 | 90.0 | 5.11 | 0.00 | 5.11 |
| 09/01/2017 | GRUBAUGH, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 12.79 | 90.0 | 11.51 | 0.00 | 11.51 |
| 09/01/2017 | CASLER, SAMANTHA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.50 | 90.0 | 1.35 | 0.00 | 1.35 |
| 09/01/2017 | ASHBAUGH, CATHARINE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.26 | 90.0 | 0.23 | 0.00 | 0.23 |
| 09/01/2017 | ASHBAUGH, CHRISTOPHER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.38 | 90.0 | 2.14 | 0.00 | 2.14 |
| 09/01/2017 | SKARYD, KAREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.90 | 90.0 | 2.61 | 0.00 | 2.61 |
| 09/01/2017 | FRYE, DENISE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.48 | 90.0 | 2.23 | 0.00 | 2.23 |
| 09/01/2017 | BERTRAM, ADAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.80 | 90.0 | 6.12 | 0.00 | 6.12 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|----------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | FABRY, EMILY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.69 | 90.0 | 2.42 | 0.00 | 2.42 |
| 09/01/2017 | HEBELER, CARTER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.62 | 90.0 | 0.56 | 0.00 | 0.56 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.24 | 90.0 | 0.22 | 0.00 | 0.22 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.24 | 90.0 | 0.22 | 0.00 | 0.22 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.24 | 90.0 | 0.22 | 0.00 | 0.22 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.16 | 90.0 | 0.14 | 0.00 | 0.14 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.16 | 90.0 | 0.14 | 0.00 | 0.14 |
| 09/01/2017 | MARTIN, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 11.22 | 90.0 | 10.10 | 0.00 | 10.10 |
| 09/01/2017 | HERBLET, AMANDA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.34 | 90.0 | 5.71 | 0.00 | 5.71 |
| 09/01/2017 | PER, DESTINY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.07 | 90.0 | 0.06 | 0.00 | 0.06 |
| 09/01/2017 | LATZ, JOSHUA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 25.38 | 90.0 | 22.84 | 0.00 | 22.84 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.95 | 90.0 | 1.76 | 0.00 | 1.76 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.95 | 90.0 | 1.76 | 0.00 | 1.76 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.95 | 90.0 | 1.76 | 0.00 | 1.76 |
| 09/01/2017 | LATZ, JARRAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.57 | 90.0 | 7.71 | 0.00 | 7.71 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.83 | 90.0 | 0.75 | 0.00 | 0.75 |
| 09/01/2017 | ZALUD, ANN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.70 | 90.0 | 4.23 | 0.00 | 4.23 |
| 09/01/2017 | MARTIN, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 16.82 | 90.0 | 15.14 | 0.00 | 15.14 |
| 09/01/2017 | BUKOVCIK, RONALD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.06 | 90.0 | 0.95 | 0.00 | 0.95 |
| 09/01/2017 | HAUK, LEGEND | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.43 | 90.0 | 1.29 | 0.00 | 1.29 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 56.71 | 90.0 | 51.04 | 0.00 | 51.04 |
| 09/01/2017 | SMITH, CASSIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.55 | 90.0 | 5.90 | 0.00 | 5.90 |
| 09/01/2017 | MULDER, JAYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.48 | 90.0 | 1.33 | 0.00 | 1.33 |
| 09/01/2017 | LONGSTRETH, JOEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.69 | 90.0 | 1.52 | 0.00 | 1.52 |
| 09/01/2017 | BUKOVCIK, GAVIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.00 | 90.0 | 2.70 | 0.00 | 2.70 |
| 09/01/2017 | BUKOVCIK, TRAVIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.00 | 90.0 | 2.70 | 0.00 | 2.70 |
| 09/01/2017 | BUKOVCIK, KARSYN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.00 | 90.0 | 2.70 | 0.00 | 2.70 |
| 09/01/2017 | FEDEWA, DARREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.71 | 90.0 | 1.54 | 0.00 | 1.54 |
| 09/01/2017 | EKEL, NICHOLAS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.18 | 90.0 | 1.06 | 0.00 | 1.06 |
| 09/01/2017 | NETHAWAY, RILEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.41 | 90.0 | 0.37 | 0.00 | 0.37 |
| 09/01/2017 | EKEL, LAUREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.02 | 90.0 | 1.82 | 0.00 | 1.82 |
| 09/01/2017 | GOECKEL, KAY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.56 | 90.0 | 5.00 | 0.00 | 5.00 |
| 09/01/2017 | STOLL, DYLAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.63 | 90.0 | 2.37 | 0.00 | 2.37 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-----------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | STOLL, JUSTIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.76 | 90.0 | 3.38 | 0.00 | 3.38 |
| 09/01/2017 | KIRBY, NICOLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.81 | 90.0 | 0.73 | 0.00 | 0.73 |
| 09/01/2017 | KIRBY, DAVE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.81 | 90.0 | 0.73 | 0.00 | 0.73 |
| 09/01/2017 | FRUCHEY, JEFF | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.16 | 90.0 | 1.04 | 0.00 | 1.04 |
| 09/01/2017 | SPEERBRECKER, SPENCER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.92 | 90.0 | 1.73 | 0.00 | 1.73 |
| 09/01/2017 | BESKO, BRADLEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.93 | 90.0 | 0.84 | 0.00 | 0.84 |
| 09/01/2017 | STUTZMAN, VICTORIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.43 | 90.0 | 1.29 | 0.00 | 1.29 |
| 09/01/2017 | HEHRER, SARAH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 90.0 | 0.35 | 0.00 | 0.35 |
| 09/01/2017 | HOUSKA, JEFF | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.40 | 90.0 | 1.26 | 0.00 | 1.26 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.16 | 90.0 | 4.64 | 0.00 | 4.64 |
| 09/01/2017 | BYRNE, JAMIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.37 | 90.0 | 4.83 | 0.00 | 4.83 |
| 09/01/2017 | MAHONEY, KRISTEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.32 | 90.0 | 0.29 | 0.00 | 0.29 |
| 09/01/2017 | SCHAFER, CHELSEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.72 | 90.0 | 0.65 | 0.00 | 0.65 |
| 09/01/2017 | SIEFFERT, JUDITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.65 | 90.0 | 1.49 | 0.00 | 1.49 |
| 09/01/2017 | SCHMIDTFRANZ, RODGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.14 | 90.0 | 0.13 | 0.00 | 0.13 |
| 09/01/2017 | MI/TOD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.96 | 90.0 | 0.86 | 0.00 | 0.86 |
| 09/13/2017 | MARTIN, SCOTT | AM FUNDS GROWTH FUND OF AMERICA A | 172.13 | 6.45 | 90.0 | 5.81 | 0.00 | 5.81 |
| 09/13/2017 | BYRNE, JAMIE | AM FUNDS GROWTH FUND OF AMERICA A | 15.00 | 0.56 | 90.0 | 0.50 | 0.00 | 0.50 |
| 09/13/2017 | MAHONEY, KRISTEN | AM FUNDS GROWTH FUND OF AMERICA A | 30.00 | 1.13 | 90.0 | 1.02 | 0.00 | 1.02 |
| 09/14/2017 | SMITH, CASSIE | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.50 | 90.0 | 2.25 | 0.00 | 2.25 |
| 09/20/2017 | HERBLET, AMANDA | AM FUNDS GROWTH FUND OF AMERICA A | 25.00 | 1.25 | 90.0 | 1.13 | 0.00 | 1.13 |
| 09/20/2017 | LATZ, JOSHUA | AM FUNDS GROWTH FUND OF AMERICA A | 80.00 | 2.20 | 90.0 | 1.98 | 0.00 | 1.98 |
| 09/20/2017 | LATZ, JARRAH | AM FUNDS GROWTH FUND OF AMERICA A | 37.50 | 1.03 | 90.0 | 0.93 | 0.00 | 0.93 |
| 09/20/2017 | ZALUD, ANN | AM FUNDS GROWTH FUND OF AMERICA A | 37.50 | 1.41 | 90.0 | 1.27 | 0.00 | 1.27 |
| 09/20/2017 | KIRBY, NICOLE | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 3.75 | 90.0 | 3.38 | 0.00 | 3.38 |
| 09/20/2017 | KIRBY, DAVE | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 3.75 | 90.0 | 3.38 | 0.00 | 3.38 |
| 09/20/2017 | FRUCHEY, JEFF | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 5.00 | 90.0 | 4.50 | 0.00 | 4.50 |
| 09/01/2017 | HAZLE, JESSICA | AM FUNDS GROWTH PORT 529A | 0.00 | 0.49 | 90.0 | 0.44 | 0.00 | 0.44 |
| 09/01/2017 | HAZLE, JESSICA | AM FUNDS GROWTH PORT 529A | 0.00 | 0.06 | 90.0 | 0.05 | 0.00 | 0.05 |
| 09/01/2017 | BOSSEL, COLTER | AM FUNDS ICA 529A | 0.00 | 3.85 | 90.0 | 3.47 | 0.00 | 3.47 |
| 09/01/2017 | MULDER, TERESA | AM FUNDS ICA 529A | 0.00 | 4.10 | 90.0 | 3.69 | 0.00 | 3.69 |
| 09/01/2017 | SCHLIEF, MICHAEL | AM FUNDS ICA A | 0.00 | 5.60 | 90.0 | 5.04 | 0.00 | 5.04 |
| 09/01/2017 | BUKOVCIK/SEP, WILLIAM | AM FUNDS ICA A | 0.00 | 13.68 | 90.0 | 12.31 | 0.00 | 12.31 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-------------------------|----------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | LEN, JURLINE | AM FUNDS ICA A | 0.00 | 10.40 | 90.0 | 9.36 | 0.00 | 9.36 |
| 09/01/2017 | HAUK, KALMAN | AM FUNDS ICA A | 0.00 | 7.59 | 90.0 | 6.83 | 0.00 | 6.83 |
| 09/01/2017 | ASHBAUGH, HEIDI | AM FUNDS ICA A | 0.00 | 17.69 | 90.0 | 15.92 | 0.00 | 15.92 |
| 09/01/2017 | TEACHNOR-HAUK/AUTH PER, | AM FUNDS ICA A | 0.00 | 0.02 | 90.0 | 0.02 | 0.00 | 0.02 |
| 09/01/2017 | BERTRAM, ADAM | AM FUNDS ICA A | 0.00 | 0.69 | 90.0 | 0.62 | 0.00 | 0.62 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS ICA A | 0.00 | 8.26 | 90.0 | 7.43 | 0.00 | 7.43 |
| 09/01/2017 | GALEHOUSE, BARBARA | AM FUNDS ICA A | 0.00 | 3.77 | 90.0 | 3.39 | 0.00 | 3.39 |
| 09/01/2017 | FRYE, DENISE | AM FUNDS ICA A | 0.00 | 2.24 | 90.0 | 2.02 | 0.00 | 2.02 |
| 09/01/2017 | BERTRAM, ADAM | AM FUNDS ICA A | 0.00 | 9.36 | 90.0 | 8.42 | 0.00 | 8.42 |
| 09/01/2017 | PAKSI, JAMES | AM FUNDS ICA A | 0.00 | 2.90 | 90.0 | 2.61 | 0.00 | 2.61 |
| 09/01/2017 | LEAVITT, GRACE | AM FUNDS ICA A | 0.00 | 4.82 | 90.0 | 4.34 | 0.00 | 4.34 |
| 09/01/2017 | ZALUD, BRIAN | AM FUNDS ICA A | 0.00 | 10.72 | 90.0 | 9.65 | 0.00 | 9.65 |
| 09/01/2017 | WREGGELSWORTH, JOY | AM FUNDS ICA A | 0.00 | 10.67 | 90.0 | 9.60 | 0.00 | 9.60 |
| 09/01/2017 | FERDEN, ANN | AM FUNDS ICA A | 0.00 | 9.96 | 90.0 | 8.96 | 0.00 | 8.96 |
| 09/01/2017 | STOCKING, ERIC | AM FUNDS ICA A | 0.00 | 1.54 | 90.0 | 1.39 | 0.00 | 1.39 |
| 09/01/2017 | STOCKING, ELAINE | AM FUNDS ICA A | 0.00 | 1.90 | 90.0 | 1.71 | 0.00 | 1.71 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS ICA A | 0.00 | 0.42 | 90.0 | 0.38 | 0.00 | 0.38 |
| 09/01/2017 | ZALUD, ANN | AM FUNDS ICA A | 0.00 | 4.70 | 90.0 | 4.23 | 0.00 | 4.23 |
| 09/01/2017 | MARTIN, LISA | AM FUNDS ICA A | 0.00 | 7.80 | 90.0 | 7.02 | 0.00 | 7.02 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS ICA A | 0.00 | 53.20 | 90.0 | 47.88 | 0.00 | 47.88 |
| 09/01/2017 | SMITH, CASSIE | AM FUNDS ICA A | 0.00 | 1.37 | 90.0 | 1.23 | 0.00 | 1.23 |
| 09/01/2017 | LONGSTRETH, JOEL | AM FUNDS ICA A | 0.00 | 1.59 | 90.0 | 1.43 | 0.00 | 1.43 |
| 09/01/2017 | FEDEWA, DARREN | AM FUNDS ICA A | 0.00 | 1.05 | 90.0 | 0.95 | 0.00 | 0.95 |
| 09/01/2017 | EKEL, NICHOLAS | AM FUNDS ICA A | 0.00 | 0.61 | 90.0 | 0.55 | 0.00 | 0.55 |
| 09/01/2017 | EKEL, LAUREN | AM FUNDS ICA A | 0.00 | 0.88 | 90.0 | 0.79 | 0.00 | 0.79 |
| 09/01/2017 | SAVAGE, ELIZABETH | AM FUNDS ICA A | 0.00 | 29.14 | 90.0 | 26.23 | 0.00 | 26.23 |
| 09/01/2017 | STOLL, DYLAN | AM FUNDS ICA A | 0.00 | 2.14 | 90.0 | 1.93 | 0.00 | 1.93 |
| 09/01/2017 | STOLL, JUSTIN | AM FUNDS ICA A | 0.00 | 3.57 | 90.0 | 3.21 | 0.00 | 3.21 |
| 09/01/2017 | NIXON, CAROLE | AM FUNDS ICA A | 0.00 | 1.76 | 90.0 | 1.58 | 0.00 | 1.58 |
| 09/01/2017 | HEHRER, SARAH | AM FUNDS ICA A | 0.00 | 0.37 | 90.0 | 0.33 | 0.00 | 0.33 |
| 09/01/2017 | HOUSKA, JEFF | AM FUNDS ICA A | 0.00 | 1.37 | 90.0 | 1.23 | 0.00 | 1.23 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS ICA A | 0.00 | 4.91 | 90.0 | 4.42 | 0.00 | 4.42 |
| 09/01/2017 | BYRNE, JAMIE | AM FUNDS ICA A | 0.00 | 5.11 | 90.0 | 4.60 | 0.00 | 4.60 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-----------------------|------------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | SIEFFERT, JUDITH | AM FUNDS ICA A | 0.00 | 3.30 | 90.0 | 2.97 | 0.00 | 2.97 |
| 09/01/2017 | MI/TOD | AM FUNDS ICA A | 0.00 | 0.96 | 90.0 | 0.86 | 0.00 | 0.86 |
| 09/13/2017 | MARTIN, SCOTT | AM FUNDS ICA A | 172.12 | 6.45 | 90.0 | 5.81 | 0.00 | 5.81 |
| 09/13/2017 | BYRNE, JAMIE | AM FUNDS ICA A | 15.00 | 0.56 | 90.0 | 0.50 | 0.00 | 0.50 |
| 09/20/2017 | ZALUD, BRIAN | AM FUNDS ICA A | 37.50 | 1.41 | 90.0 | 1.27 | 0.00 | 1.27 |
| 09/20/2017 | ZALUD, ANN | AM FUNDS ICA A | 37.50 | 1.41 | 90.0 | 1.27 | 0.00 | 1.27 |
| 09/01/2017 | SCHLIEF, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.49 | 90.0 | 2.24 | 0.00 | 2.24 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.17 | 90.0 | 3.75 | 0.00 | 3.75 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 87.32 | 90.0 | 78.59 | 0.00 | 78.59 |
| 09/01/2017 | MCCARTHY, ROSEMARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.61 | 90.0 | 1.45 | 0.00 | 1.45 |
| 09/01/2017 | NETHAWAY, BARBARA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.68 | 90.0 | 3.31 | 0.00 | 3.31 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.12 | 90.0 | 2.81 | 0.00 | 2.81 |
| 09/01/2017 | STOCKING, RODNEY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.23 | 90.0 | 1.11 | 0.00 | 1.11 |
| 09/01/2017 | MI/TOD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.97 | 90.0 | 0.87 | 0.00 | 0.87 |
| 09/01/2017 | FRUCHEY/BENE, DONNA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.91 | 90.0 | 3.52 | 0.00 | 3.52 |
| 09/01/2017 | MARTIN, LISA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 12.77 | 90.0 | 11.49 | 0.00 | 11.49 |
| 09/01/2017 | BUKOVCIK, RONALD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.32 | 90.0 | 2.99 | 0.00 | 2.99 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 8.08 | 90.0 | 7.27 | 0.00 | 7.27 |
| 09/01/2017 | COON, GEORGANN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.05 | 90.0 | 3.65 | 0.00 | 3.65 |
| 09/01/2017 | CARPENTER, RUTH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.72 | 90.0 | 3.35 | 0.00 | 3.35 |
| 09/01/2017 | SAVAGE, ELIZABETH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 15.97 | 90.0 | 14.37 | 0.00 | 14.37 |
| 09/01/2017 | EBNIT TRUST 1, BETTY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.87 | 90.0 | 6.18 | 0.00 | 6.18 |
| 09/01/2017 | MULDER, TERESA | AM FUNDS INCOME FUND OF | 0.00 | 2.38 | 90.0 | 2.14 | 0.00 | 2.14 |
| 09/01/2017 | GOOSEN, JEROME | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.52 | 90.0 | 1.37 | 0.00 | 1.37 |
| 09/01/2017 | STOCKING, MORGAN | AM FUNDS MORTGAGE A | 0.00 | 0.70 | 90.0 | 0.63 | 0.00 | 0.63 |
| 09/01/2017 | BYRNE, JAMIE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 4.31 | 90.0 | 3.88 | 0.00 | 3.88 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.51 | 90.0 | 1.36 | 0.00 | 1.36 |
| 09/01/2017 | BAXTER, KAREN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 64.40 | 90.0 | 57.96 | 0.00 | 57.96 |
| 09/01/2017 | GRUBAUGH, EDWARD | AM FUNDS NEW WORLD A | 0.00 | 1.49 | 90.0 | 1.34 | 0.00 | 1.34 |
| 09/01/2017 | SPEERBRECKER, SPENCER | AM FUNDS NEW WORLD A | 0.00 | 0.38 | 90.0 | 0.34 | 0.00 | 0.34 |
| 09/01/2017 | ASHBAUGH, CATHARINE | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.56 | 90.0 | 0.50 | 0.00 | 0.50 |
| 09/01/2017 | ASHBAUGH, CHRISTOPHER | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.16 | 90.0 | 1.04 | 0.00 | 1.04 |
| 09/01/2017 | STOCKING, MORGAN | AM FUNDS TAX-EXEMPT BOND FUND OF | 0.00 | 4.21 | 90.0 | 3.79 | 0.00 | 3.79 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-----------------------|---------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | BUKOVCIK/SEP, WILLIAM | AM FUNDS WASHINGTON MUTUAL | 0.00 | 5.37 | 90.0 | 4.83 | 0.00 | 4.83 |
| 09/01/2017 | GRUBAUGH/, AUDREY | AM FUNDS WASHINGTON MUTUAL | 0.00 | 62.85 | 90.0 | 56.57 | 0.00 | 56.57 |
| 09/01/2017 | GRUBAUGH, EDWARD | AM FUNDS WASHINGTON MUTUAL | 0.00 | 11.05 | 90.0 | 9.95 | 0.00 | 9.95 |
| 09/01/2017 | WREGGELSWORTH, JOY | AM FUNDS WASHINGTON MUTUAL | 0.00 | 7.41 | 90.0 | 6.67 | 0.00 | 6.67 |
| 09/01/2017 | STOCKING, MORGAN | AM FUNDS WASHINGTON MUTUAL | 0.00 | 3.99 | 90.0 | 3.59 | 0.00 | 3.59 |
| 09/01/2017 | STEVENS, PATRICIA | AM FUNDS WASHINGTON MUTUAL | 0.00 | 32.88 | 90.0 | 29.59 | 0.00 | 29.59 |
| 09/01/2017 | FRUCHEY, DONNA | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.34 | 90.0 | 0.31 | 0.00 | 0.31 |
| 09/01/2017 | MARTIN, SCOTT | AM FUNDS WASHINGTON MUTUAL | 0.00 | 52.85 | 90.0 | 47.57 | 0.00 | 47.57 |
| 09/01/2017 | MULDER, JAYDEN | AM FUNDS WASHINGTON MUTUAL | 0.00 | 1.43 | 90.0 | 1.29 | 0.00 | 1.29 |
| 09/01/2017 | RISLEY, ROBERT | AM FUNDS WASHINGTON MUTUAL | 0.00 | 7.39 | 90.0 | 6.65 | 0.00 | 6.65 |
| 09/01/2017 | COLE, RENIN | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.30 | 90.0 | 0.27 | 0.00 | 0.27 |
| 09/01/2017 | KIRBY, NICOLE | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.40 | 90.0 | 0.36 | 0.00 | 0.36 |
| 09/01/2017 | KIRBY, DAVE | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.40 | 90.0 | 0.36 | 0.00 | 0.36 |
| 09/01/2017 | FRUCHEY, JEFF | AM FUNDS WASHINGTON MUTUAL | 0.00 | 1.29 | 90.0 | 1.16 | 0.00 | 1.16 |
| 09/01/2017 | SPEERBRECKER, SPENCER | AM FUNDS WASHINGTON MUTUAL | 0.00 | 1.84 | 90.0 | 1.66 | 0.00 | 1.66 |
| 09/01/2017 | BESKO, BRADLEY | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.90 | 90.0 | 0.81 | 0.00 | 0.81 |
| 09/01/2017 | STUTZMAN, VICTORIA | AM FUNDS WASHINGTON MUTUAL | 0.00 | 1.60 | 90.0 | 1.44 | 0.00 | 1.44 |
| 09/01/2017 | STUTZMAN, ETHAN | AM FUNDS WASHINGTON MUTUAL | 0.00 | 0.03 | 90.0 | 0.03 | 0.00 | 0.03 |
| 09/01/2017 | SIEFFERT, JUDITH | AM FUNDS WASHINGTON MUTUAL | 0.00 | 3.81 | 90.0 | 3.43 | 0.00 | 3.43 |
| 09/01/2017 | NURENBURG, JACOB | AM FUNDS WASHINGTON MUTUAL | 0.00 | 4.40 | 90.0 | 3.96 | 0.00 | 3.96 |
| 09/20/2017 | KIRBY, NICOLE | AM FUNDS WASHINGTON MUTUAL | 100.00 | 3.75 | 90.0 | 3.38 | 0.00 | 3.38 |
| 09/20/2017 | KIRBY, DAVE | AM FUNDS WASHINGTON MUTUAL | 100.00 | 3.75 | 90.0 | 3.38 | 0.00 | 3.38 |
| 09/20/2017 | FRUCHEY, JEFF | AM FUNDS WASHINGTON MUTUAL | 100.00 | 5.00 | 90.0 | 4.50 | 0.00 | 4.50 |
| 09/01/2017 | COON, GEORGANN | AMERICAN FDS COLLEGE 2021 FUND | 0.00 | 1.19 | 90.0 | 1.07 | 0.00 | 1.07 |
| 09/01/2017 | COON, GEORGANN | AMERICAN FUND COLLEGE 2027 FUND | 0.00 | 1.19 | 90.0 | 1.07 | 0.00 | 1.07 |
| 09/01/2017 | COON, GEORGANN | AMERICAN FUNDS COLLEGE 2024 | 0.00 | 1.19 | 90.0 | 1.07 | 0.00 | 1.07 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$2,220.31 | \$2,345.17 | | \$2,110.80 | \$0.00 | \$2,110.80 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | |
|------------|--------------------|--------------------------|--------|-------|------|-------|------|-------|
| 09/11/2017 | GOOSEN, JACQUELINE | JNL ELITE ACCESS | 458.00 | 20.61 | 90.0 | 18.55 | 0.00 | 18.55 |
| 09/11/2017 | THELEN, NEIL | JNL PERSPECTIVE II 04/14 | 500.00 | 25.00 | 90.0 | 22.50 | 0.00 | 22.50 |
| 09/18/2017 | SMITH, KAREN | JNL PERSPECTIVE II 04/14 | 0.79 | 0.04 | 90.0 | 0.04 | 0.00 | 0.04 |
| 09/05/2017 | SCHNEIDER, DAWN | JNL PERSPECTIVE II 05/05 | 100.00 | 5.25 | 90.0 | 4.73 | 0.00 | 4.73 |
| 09/12/2017 | EKEL, MARY | JNL PERSPECTIVE II 05/05 | 50.00 | 2.63 | 90.0 | 2.37 | 0.00 | 2.37 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|----------------|--------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 09/14/2017 | HAZLE, JOHN | JNL PERSPECTIVE II 05/05 | 100.00 | 5.25 | 90.0 | 4.73 | 0.00 | 4.73 |
| 09/15/2017 | PERRY, GREGORY | JNL PERSPECTIVE II 05/05 | 400.00 | 21.00 | 90.0 | 18.90 | 0.00 | 18.90 |
| 09/15/2017 | HEATHMAN, DAWN | JNL PERSPECTIVE II 05/05 | 200.00 | 10.50 | 90.0 | 9.45 | 0.00 | 9.45 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$1,808.79 | \$90.28 | | \$81.27 | \$0.00 | \$81.27 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$4,029.10 | \$2,435.45 | | \$2,192.07 | \$0.00 | \$2,192.07 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$2,192.07 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|--------------|
| Check Amount | \$2,192.07 |
| Year-to-date Gross | \$301,045.03 |
| Year-to-date Earnings | \$302,595.59 |

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

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

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