



Concorde Investment Services, LLC

09/28/2017
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COMMISSION STATEMENT

September 30, 2017

JEFFREY KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	0.00	68.72	0.00	68.72	90.0	61.85
09/18/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
09/18/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
09/18/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
09/18/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
09/18/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	59.95	0.60	0.00	0.60	90.0	0.54
09/18/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	59.95	0.60	0.00	0.60	90.0	0.54
09/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	0.00	4.83	0.00	4.83	90.0	4.35
09/01/2017	TAYLOR, LOIS	AM FUNDS 2045 TARGET DATE-A	0.00	9.45	0.00	9.45	90.0	8.51
09/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	0.00	0.31	0.00	0.31	90.0	0.28
09/18/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
09/18/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	54.31	0.54	0.00	0.54	90.0	0.49
09/18/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	28.73	0.29	0.00	0.29	90.0	0.26
09/18/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	28.73	0.29	0.00	0.29	90.0	0.26
09/18/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
09/18/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
09/01/2017	CATO, ANDREW	AM FUNDS 2050 TARGET DATE-A	0.00	2.01	0.00	2.01	90.0	1.81
09/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	0.00	1.79	0.00	1.79	90.0	1.61
09/18/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.48	0.42	0.00	0.42	90.0	0.38
09/18/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	42.48	0.42	0.00	0.42	90.0	0.38
09/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.39	0.00	6.39	90.0	5.75
09/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED 529C	0.00	3.77	0.00	3.77	90.0	3.39
09/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	7.65	0.00	7.65	90.0	6.89
09/01/2017	ANDING, MARY DIANE	AM FUNDS AMERICAN BALANCED A	0.00	195.16	0.00	195.16	90.0	175.64
09/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
09/01/2017	GUIER, CARROL	AM FUNDS AMERICAN BALANCED A	0.00	638.54	0.00	638.54	90.0	574.69

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	PRATER, RAMONA	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	90.0	0.17
09/01/2017	NOWLIN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	2.36	0.00	2.36	90.0	2.12
09/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	44.03	0.00	44.03	90.0	39.63
09/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	10.38	0.00	10.38	90.0	9.34
09/01/2017	OSSMAN, ED	AM FUNDS AMERICAN BALANCED A	0.00	91.26	0.00	91.26	90.0	82.13
09/01/2017	FRIEDERICH, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	37.42	0.00	37.42	90.0	33.68
09/01/2017	ALLEN, MICHELLE	AM FUNDS AMERICAN BALANCED A	0.00	4.20	0.00	4.20	90.0	3.78
09/01/2017	GUIER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	26.20	0.00	26.20	90.0	23.58
09/01/2017	KILEY, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.59	0.00	1.59	90.0	1.43
09/01/2017	OWEN, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	5.15	0.00	5.15	90.0	4.64
09/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	36.30	0.00	36.30	90.0	32.67
09/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	6.48	0.00	6.48	90.0	5.83
09/01/2017	GRIFFIN, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.81	0.00	0.81	90.0	0.73
09/01/2017	BLODGETT, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	11.71	0.00	11.71	90.0	10.54
09/01/2017	BAUER, MATTHEW	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
09/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.33	0.00	8.33	90.0	7.50
09/01/2017	HALL, ELLEN	AM FUNDS AMERICAN BALANCED A	0.00	53.69	0.00	53.69	90.0	48.32
09/01/2017	GRIMSHAW, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	34.91	0.00	34.91	90.0	31.42
09/01/2017	DOWNS, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	12.94	0.00	12.94	90.0	11.65
09/01/2017	MILES, JACK	AM FUNDS AMERICAN BALANCED A	0.00	10.19	0.00	10.19	90.0	9.17
09/01/2017	HALL, HAROLD	AM FUNDS AMERICAN BALANCED A	0.00	21.23	0.00	21.23	90.0	19.11
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED A	0.00	3.42	0.00	3.42	90.0	3.08
09/01/2017	BARROW, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	17.97	0.00	17.97	90.0	16.17
09/01/2017	JENNINGS, MARY	AM FUNDS AMERICAN BALANCED A	0.00	82.76	0.00	82.76	90.0	74.48
09/01/2017	SAUSAMAN, URSULA	AM FUNDS AMERICAN BALANCED A	0.00	10.69	0.00	10.69	90.0	9.62
09/01/2017	JORDENING, LYNN	AM FUNDS AMERICAN BALANCED A	0.00	38.00	0.00	38.00	90.0	34.20
09/01/2017	JORDENING TRUST, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	30.82	0.00	30.82	90.0	27.74
09/01/2017	GUSTAFSON, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	1.36	0.00	1.36	90.0	1.22
09/01/2017	FANGMAN, ROGER	AM FUNDS AMERICAN BALANCED A	0.00	6.87	0.00	6.87	90.0	6.18
09/01/2017	STEWART, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	9.28	0.00	9.28	90.0	8.35
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	12.58	0.00	12.58	90.0	11.32
09/01/2017	BLISS, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	14.71	0.00	14.71	90.0	13.24
09/01/2017	LEMON, GLEE	AM FUNDS AMERICAN BALANCED A	0.00	21.77	0.00	21.77	90.0	19.59

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	DEBRA, PRICE	AM FUNDS AMERICAN BALANCED A	0.00	22.64	0.00	22.64	90.0	20.38
09/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	17.97	0.00	17.97	90.0	16.17
09/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	39.90	0.00	39.90	90.0	35.91
09/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	43.39	0.00	43.39	90.0	39.05
09/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	0.00	1.36	0.00	1.36	90.0	1.22
09/01/2017	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	188.74	0.00	188.74	90.0	169.87
09/01/2017	ANDREWS, SAMUEL	AM FUNDS AMERICAN BALANCED A	0.00	3.65	0.00	3.65	90.0	3.29
09/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	124.67	0.00	124.67	90.0	112.20
09/01/2017	HILDEBRAND, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	38.50	0.00	38.50	90.0	34.65
09/01/2017	HILDABRAND, ALVENA	AM FUNDS AMERICAN BALANCED A	0.00	8.89	0.00	8.89	90.0	8.00
09/01/2017	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	25.66	0.00	25.66	90.0	23.09
09/01/2017	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	9.89	0.00	9.89	90.0	8.90
09/01/2017	ROBINETT, CHARISSA	AM FUNDS AMERICAN BALANCED A	0.00	6.89	0.00	6.89	90.0	6.20
09/01/2017	MOODY, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	31.91	0.00	31.91	90.0	28.72
09/01/2017	SCOGGINS, CLAIRE	AM FUNDS AMERICAN BALANCED A	0.00	32.12	0.00	32.12	90.0	28.91
09/01/2017	RICHARDSON, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	29.86	0.00	29.86	90.0	26.87
09/01/2017	VESTAL, SHARLEE	AM FUNDS AMERICAN BALANCED A	0.00	14.80	0.00	14.80	90.0	13.32
09/01/2017	ELDRIDGE, DEE	AM FUNDS AMERICAN BALANCED A	0.00	41.60	0.00	41.60	90.0	37.44
09/01/2017	CALLIS, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	27.44	0.00	27.44	90.0	24.70
09/01/2017	BOWERSOX, ZONA	AM FUNDS AMERICAN BALANCED A	0.00	7.44	0.00	7.44	90.0	6.70
09/01/2017	BOWERSOX, ROVEY	AM FUNDS AMERICAN BALANCED A	0.00	7.44	0.00	7.44	90.0	6.70
09/01/2017	CO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	4.60	0.00	4.60	90.0	4.14
09/18/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	282.05	2.82	0.00	2.82	90.0	2.54
09/18/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	120.88	1.21	0.00	1.21	90.0	1.09
09/18/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	80.03	0.80	0.00	0.80	90.0	0.72
09/18/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	80.03	0.80	0.00	0.80	90.0	0.72
09/21/2017	MATTMANN, ROBERT	AM FUNDS AMERICAN BALANCED A	20,467.91	767.55	0.00	767.55	90.0	690.80
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED C	0.00	148.38	0.00	148.38	90.0	133.54
09/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	0.00	9.39	0.00	9.39	90.0	8.45
09/01/2017	MCNERNEY, DAN	AM FUNDS AMERICAN MUTUAL A	0.00	24.47	0.00	24.47	90.0	22.02
09/18/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
09/18/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
09/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	0.00	1.38	0.00	1.38	90.0	1.24

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SMITH, KELLI	AM FUNDS BALANCED PORT A	0.00	1.04	0.00	1.04	90.0	0.94
09/01/2017	DANIELS, SCIPIO	AM FUNDS BALANCED PORT A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	JOHNSON, STANLEY	AM FUNDS BALANCED PORT A	0.00	9.64	0.00	9.64	90.0	8.68
09/01/2017	MEDLEY, LISA	AM FUNDS BALANCED PORT A	0.00	158.84	0.00	158.84	90.0	142.96
09/18/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	187.08	1.87	0.00	1.87	90.0	1.68
09/18/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	187.08	1.87	0.00	1.87	90.0	1.68
09/18/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
09/18/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
09/18/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	34.86	0.35	0.00	0.35	90.0	0.32
09/18/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	34.86	0.35	0.00	0.35	90.0	0.32
09/01/2017	GUIER, GREGORY	AM FUNDS BOND FUND OF AMERICA A	0.00	25.10	0.00	25.10	90.0	22.59
09/01/2017	GRIMSHAW, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	29.72	0.00	29.72	90.0	26.75
09/01/2017	DOWNS, SUZANNE	AM FUNDS BOND FUND OF AMERICA A	0.00	11.07	0.00	11.07	90.0	9.96
09/01/2017	FANGMAN, ROGER	AM FUNDS BOND FUND OF AMERICA A	0.00	3.77	0.00	3.77	90.0	3.39
09/18/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
09/18/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
09/01/2017	ELDRIDGE, DEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.36	0.00	21.36	90.0	19.22
09/01/2017	OSSMAN, ED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.48	0.00	11.48	90.0	10.33
09/01/2017	FRIEDERICH, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.41	0.00	5.41	90.0	4.87
09/01/2017	MCNERNEY, DAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.05	0.00	17.05	90.0	15.35
09/01/2017	CALLIS, ANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.24	0.00	6.24	90.0	5.62
09/01/2017	JORDENING, LYNN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	72.97	0.00	72.97	90.0	65.67
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	19.03	0.00	19.03	90.0	17.13
09/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.03	0.00	5.03	90.0	4.53
09/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.12	0.00	2.12	90.0	1.91
09/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.65	0.00	7.65	90.0	6.89
09/01/2017	GUIER, CARROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.81	0.00	1.81	90.0	1.63
09/01/2017	GUIER, PAULA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.59	0.00	2.59	90.0	2.33
09/01/2017	SEYER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.38	0.00	6.38	90.0	5.74
09/01/2017	MIDDLETON, M	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	90.0	0.14
09/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.01	0.00	6.01	90.0	5.41
09/01/2017	MCNERNEY, DAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.92	0.00	10.92	90.0	9.83
09/01/2017	GRIFFITH, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.43	0.00	2.43	90.0	2.19

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.43	0.00	2.43	90.0	2.19
09/01/2017	GRIFFIN, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.27	0.00	7.27	90.0	6.54
09/01/2017	MANGUS, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.77	0.00	3.77	90.0	3.39
09/01/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	25.45	0.00	25.45	90.0	22.91
09/18/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
09/18/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
09/18/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	184.62	3.69	0.00	3.69	90.0	3.32
09/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.80	0.00	7.80	90.0	7.02
09/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.17	0.00	0.17	90.0	0.15
09/01/2017	ELDRIDGE, DEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	29.66	0.00	29.66	90.0	26.69
09/01/2017	REDDICK, RYAN	AM FUNDS GLOBAL BALANCED 529A	0.00	5.84	0.00	5.84	90.0	5.26
09/01/2017	SEYER, MARY	AM FUNDS GLOBAL BALANCED A	0.00	14.49	0.00	14.49	90.0	13.04
09/01/2017	CROWLEY, MICHA	AM FUNDS GLOBAL BALANCED A	0.00	13.22	0.00	13.22	90.0	11.90
09/01/2017	HALL, ELLEN	AM FUNDS GLOBAL BALANCED A	0.00	17.12	0.00	17.12	90.0	15.41
09/01/2017	GRIMSHAW, ROBERT	AM FUNDS GLOBAL BALANCED A	0.00	30.78	0.00	30.78	90.0	27.70
09/01/2017	MILES, JACK	AM FUNDS GLOBAL BALANCED A	0.00	8.98	0.00	8.98	90.0	8.08
09/01/2017	HALL, HAROLD	AM FUNDS GLOBAL BALANCED A	0.00	18.79	0.00	18.79	90.0	16.91
09/01/2017	SAUSAMAN, URSULA	AM FUNDS GLOBAL BALANCED A	0.00	10.02	0.00	10.02	90.0	9.02
09/01/2017	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	0.00	69.33	0.00	69.33	90.0	62.40
09/01/2017	JORDENING TRUST, PAUL	AM FUNDS GLOBAL BALANCED A	0.00	29.91	0.00	29.91	90.0	26.92
09/01/2017	STEWART, SHEILA	AM FUNDS GLOBAL BALANCED A	0.00	9.18	0.00	9.18	90.0	8.26
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GLOBAL BALANCED A	0.00	12.30	0.00	12.30	90.0	11.07
09/01/2017	ROBINETT, CHARISSA	AM FUNDS GLOBAL BALANCED A	0.00	6.98	0.00	6.98	90.0	6.28
09/01/2017	LIGHT, LUELLA	AM FUNDS GLOBAL BALANCED A	0.00	8.40	0.00	8.40	90.0	7.56
09/01/2017	MOODY, DAVID	AM FUNDS GLOBAL BALANCED A	0.00	1.60	0.00	1.60	90.0	1.44
09/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	0.00	43.38	0.00	43.38	90.0	39.04
09/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	0.00	8.04	0.00	8.04	90.0	7.24
09/18/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	60.11	0.60	0.00	0.60	90.0	0.54
09/18/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	60.11	0.60	0.00	0.60	90.0	0.54
09/18/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	54.40	0.54	0.00	0.54	90.0	0.49
09/18/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	54.40	0.54	0.00	0.54	90.0	0.49
09/18/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	60.48	0.60	0.00	0.60	90.0	0.54
09/18/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	60.48	0.60	0.00	0.60	90.0	0.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.42	0.00	0.42	90.0	0.38
09/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.78	0.00	4.78	90.0	4.30
09/01/2017	PRATER, RAMONA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.06	0.00	2.06	90.0	1.85
09/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.30	0.00	7.30	90.0	6.57
09/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.77	0.00	0.77	90.0	0.69
09/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.77	0.00	0.77	90.0	0.69
09/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.77	0.00	0.77	90.0	0.69
09/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.52	0.00	5.52	90.0	4.97
09/01/2017	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	70.83	0.00	70.83	90.0	63.75
09/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.26	0.00	27.26	90.0	24.53
09/01/2017	GUIER, CARROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	90.0	2.29
09/01/2017	GUIER, PAULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.47	0.00	3.47	90.0	3.12
09/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
09/01/2017	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	57.67	0.00	57.67	90.0	51.90
09/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.56	0.00	6.56	90.0	5.90
09/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.76	0.00	8.76	90.0	7.88
09/01/2017	NOWLIN, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	90.0	2.14
09/01/2017	PATTISON, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.37	0.00	38.37	90.0	34.53
09/01/2017	SEYER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.27	0.00	16.27	90.0	14.64
09/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.77	0.00	5.77	90.0	5.19
09/01/2017	MIDDLETON, M	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
09/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.72	0.00	7.72	90.0	6.95
09/01/2017	WHEAT, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.96	0.00	8.96	90.0	8.06
09/01/2017	KEMBLE, CARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.45	0.00	2.45	90.0	2.21
09/01/2017	CALLIS, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.76	0.00	5.76	90.0	5.18
09/01/2017	CALLIS, CHAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.01	0.00	5.01	90.0	4.51
09/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.36	0.00	15.36	90.0	13.82
09/01/2017	CRANE, MISTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.65	0.00	5.65	90.0	5.09
09/01/2017	GUIER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.47	0.00	27.47	90.0	24.72
09/01/2017	TWEHOUS, NOLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.02	0.00	5.02	90.0	4.52
09/01/2017	KILEY, TERRANCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.76	0.00	1.76	90.0	1.58
09/01/2017	GUIER, GRACIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
09/01/2017	GRIFFITH, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.68	0.00	7.68	90.0	6.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.68	0.00	7.68	90.0	6.91
09/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.04	0.00	19.04	90.0	17.14
09/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.66	0.00	8.66	90.0	7.79
09/01/2017	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.75	0.00	13.75	90.0	12.38
09/01/2017	TAYLOR, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.61	0.00	18.61	90.0	16.75
09/01/2017	BLODGETT, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
09/01/2017	JOHNSON, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.96	0.00	3.96	90.0	3.56
09/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
09/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.39	0.00	3.39	90.0	3.05
09/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
09/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.03	0.00	10.03	90.0	9.03
09/01/2017	MANGUS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.75	0.00	3.75	90.0	3.38
09/01/2017	KAUFMAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.09	0.00	22.09	90.0	19.88
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.45	0.00	22.45	90.0	20.21
09/01/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	90.0	2.29
09/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	90.0	0.73
09/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.38	0.00	1.38	90.0	1.24
09/01/2017	GRIMSHAW, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.57	0.00	38.57	90.0	34.71
09/01/2017	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.33	0.00	5.33	90.0	4.80
09/01/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	1.28
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.61	0.00	6.61	90.0	5.95
09/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	97.65	0.00	97.65	90.0	87.89
09/01/2017	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
09/01/2017	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	90.0	0.83
09/01/2017	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
09/01/2017	SAUSAMAN, URSULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.03	0.00	7.03	90.0	6.33
09/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.78	0.00	1.78	90.0	1.60
09/01/2017	JORDENING, LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.54	0.00	40.54	90.0	36.49
09/01/2017	FANGMAN, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.31	0.00	3.31	90.0	2.98
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.63	0.00	6.63	90.0	5.97
09/01/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
09/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.68
09/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.24	0.00	1.24	90.0	1.12

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	90.0	0.53
09/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	90.0	0.80
09/01/2017	BURKHARDT, MORGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
09/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.14	0.00	16.14	90.0	14.53
09/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.31	0.00	0.31	90.0	0.28
09/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.13	0.00	16.13	90.0	14.52
09/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	26.29	0.00	26.29	90.0	23.66
09/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
09/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.09	0.00	8.09	90.0	7.28
09/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
09/01/2017	TOMPKINS, ERIKA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
09/01/2017	TURNER, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	76.13	0.00	76.13	90.0	68.52
09/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
09/01/2017	ROBINETT, CHARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.28	0.00	7.28	90.0	6.55
09/01/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
09/01/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	90.0	0.18
09/01/2017	MOODY, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	90.0	1.22
09/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
09/01/2017	ELDRIDGE, DEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.48	0.00	9.48	90.0	8.53
09/11/2017	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	450.00	9.00	0.00	9.00	90.0	8.10
09/11/2017	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	450.00	9.00	0.00	9.00	90.0	8.10
09/15/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	100.00	3.75	0.00	3.75	90.0	3.38
09/15/2017	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
09/15/2017	ELLIOTT, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	1.19	0.05	0.00	0.05	90.0	0.05
09/18/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
09/18/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
09/18/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
09/18/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
09/18/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
09/18/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
09/18/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	369.23	7.38	0.00	7.38	90.0	6.64
09/18/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	4.50	0.05	0.00	0.05	90.0	0.05
09/18/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	4.50	0.05	0.00	0.05	90.0	0.05

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/18/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
09/18/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
09/18/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	81.49	0.81	0.00	0.81	90.0	0.73
09/18/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	81.49	0.81	0.00	0.81	90.0	0.73
09/18/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	19.02	0.19	0.00	0.19	90.0	0.17
09/18/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	19.02	0.19	0.00	0.19	90.0	0.17
09/18/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	51.77	0.52	0.00	0.52	90.0	0.47
09/18/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	51.77	0.52	0.00	0.52	90.0	0.47
09/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.49	0.00	1.49	90.0	1.34
09/01/2017	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.84	0.00	3.84	90.0	3.46
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.66	0.00	19.66	90.0	17.69
09/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.36	0.00	1.36	90.0	1.22
09/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.82	0.00	0.82	90.0	0.74
09/01/2017	DUNCAN, CHRISTOPHER	AM FUNDS GROWTH PORT A	0.00	0.38	0.00	0.38	90.0	0.34
09/01/2017	REDDICK, RYAN	AM FUNDS ICA 529A	0.00	6.93	0.00	6.93	90.0	6.24
09/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS ICA A	0.00	16.53	0.00	16.53	90.0	14.88
09/01/2017	PECK, THOMAS	AM FUNDS ICA A	0.00	4.72	0.00	4.72	90.0	4.25
09/01/2017	GUIER, CARROL	AM FUNDS ICA A	0.00	2.21	0.00	2.21	90.0	1.99
09/01/2017	GUIER, PAULA	AM FUNDS ICA A	0.00	3.12	0.00	3.12	90.0	2.81
09/01/2017	NOWLIN, STACEY	AM FUNDS ICA A	0.00	2.23	0.00	2.23	90.0	2.01
09/01/2017	PATTISON, CHRISTINE	AM FUNDS ICA A	0.00	36.78	0.00	36.78	90.0	33.10
09/01/2017	CRANE, MISTY	AM FUNDS ICA A	0.00	1.85	0.00	1.85	90.0	1.67
09/01/2017	JOE L KAUFMAN INC	AM FUNDS ICA A	0.00	84.49	0.00	84.49	90.0	76.04
09/01/2017	TWEHOUS, NOLAN	AM FUNDS ICA A	0.00	2.78	0.00	2.78	90.0	2.50
09/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	10.06	0.00	10.06	90.0	9.05
09/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	0.00	0.34	0.00	0.34	90.0	0.31
09/01/2017	SUMMERS, AARON	AM FUNDS ICA A	0.00	3.22	0.00	3.22	90.0	2.90
09/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	0.00	1.65	0.00	1.65	90.0	1.49
09/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	1.87	0.00	1.87	90.0	1.68
09/01/2017	SAUSAMAN, URSULA	AM FUNDS ICA A	0.00	13.18	0.00	13.18	90.0	11.86
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS ICA A	0.00	13.20	0.00	13.20	90.0	11.88
09/01/2017	DILLON, EMMA	AM FUNDS ICA A	0.00	0.25	0.00	0.25	90.0	0.23
09/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.71

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	0.00	15.47	0.00	15.47	90.0	13.92
09/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	0.00	13.47	0.00	13.47	90.0	12.12
09/01/2017	PETERSON, BAILY	AM FUNDS ICA A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	0.00	0.50	0.00	0.50	90.0	0.45
09/01/2017	TURNER, GARY	AM FUNDS ICA A	0.00	47.65	0.00	47.65	90.0	42.89
09/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	0.00	38.36	0.00	38.36	90.0	34.52
09/01/2017	ELMORE, STUART	AM FUNDS ICA A	0.00	0.74	0.00	0.74	90.0	0.67
09/01/2017	MEDLEY, LISA	AM FUNDS ICA A	0.00	1.43	0.00	1.43	90.0	1.29
09/01/2017	HILDABRAND, ALVENA	AM FUNDS ICA A	0.00	8.01	0.00	8.01	90.0	7.21
09/18/2017	DILLON, EMMA	AM FUNDS ICA A	12.48	0.12	0.00	0.12	90.0	0.11
09/18/2017	DILLON, EMMA	AM FUNDS ICA A	9.36	0.09	0.00	0.09	90.0	0.08
09/18/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	133.20	1.33	0.00	1.33	90.0	1.20
09/18/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	44.40	0.44	0.00	0.44	90.0	0.40
09/01/2017	PRATER, RAMONA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
09/01/2017	OSSMAN, ED	AM FUNDS INCOME FUND OF AMERICA A	0.00	93.95	0.00	93.95	90.0	84.56
09/01/2017	FRIEDERICH, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	32.44	0.00	32.44	90.0	29.20
09/01/2017	OWEN, ERNEST	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.67	0.00	4.67	90.0	4.20
09/01/2017	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	106.90	0.00	106.90	90.0	96.21
09/01/2017	BLISS, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.97	0.00	6.97	90.0	6.27
09/01/2017	WILMSMEYER, CHRISTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	16.75	0.00	16.75	90.0	15.08
09/01/2017	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA-529	0.00	1.77	0.00	1.77	90.0	1.59
09/18/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
09/18/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
09/01/2017	OWEN, ERNEST	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.67	0.00	3.67	90.0	3.30
09/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	0.00	12.39	0.00	12.39	90.0	11.15
09/01/2017	ANDING, MARY DIANE	AM FUNDS NEW ECONOMY A	0.00	43.89	0.00	43.89	90.0	39.50
09/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	0.00	6.79	0.00	6.79	90.0	6.11
09/01/2017	GUIER, CARROL	AM FUNDS NEW ECONOMY A	0.00	2.73	0.00	2.73	90.0	2.46
09/01/2017	GUIER, PAULA	AM FUNDS NEW ECONOMY A	0.00	3.58	0.00	3.58	90.0	3.22
09/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW ECONOMY A	0.00	5.00	0.00	5.00	90.0	4.50
09/01/2017	PATTISON, CHRISTINE	AM FUNDS NEW ECONOMY A	0.00	16.08	0.00	16.08	90.0	14.47
09/01/2017	SEYER, MARY	AM FUNDS NEW ECONOMY A	0.00	9.69	0.00	9.69	90.0	8.72
09/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	0.00	5.77	0.00	5.77	90.0	5.19

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	GUIER, GREGORY	AM FUNDS NEW ECONOMY A	0.00	28.67	0.00	28.67	90.0	25.80
09/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW ECONOMY A	0.00	1.59	0.00	1.59	90.0	1.43
09/01/2017	GUIER, GRACIE	AM FUNDS NEW ECONOMY A	0.00	0.62	0.00	0.62	90.0	0.56
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW ECONOMY A	0.00	9.77	0.00	9.77	90.0	8.79
09/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	MANGUS, DANIEL	AM FUNDS NEW ECONOMY A	0.00	3.89	0.00	3.89	90.0	3.50
09/01/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	2.78	0.00	2.78	90.0	2.50
09/01/2017	AHERN, OLIVIA	AM FUNDS NEW ECONOMY A	0.00	1.44	0.00	1.44	90.0	1.30
09/01/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	0.00	66.68	0.00	66.68	90.0	60.01
09/01/2017	CARSON, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.75	0.00	0.75	90.0	0.68
09/01/2017	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	0.00	39.72	0.00	39.72	90.0	35.75
09/01/2017	GUIER, CLINT	AM FUNDS NEW ECONOMY A	0.00	4.77	0.00	4.77	90.0	4.29
09/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	0.00	0.70	0.00	0.70	90.0	0.63
09/01/2017	BURKHARDT, MORGAN	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	90.0	0.23
09/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	0.52	0.00	0.52	90.0	0.47
09/01/2017	TURNER, GARY	AM FUNDS NEW ECONOMY A	0.00	37.59	0.00	37.59	90.0	33.83
09/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	12.98	0.00	12.98	90.0	11.68
09/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	7.62	0.00	7.62	90.0	6.86
09/01/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	0.00	0.24	0.00	0.24	90.0	0.22
09/01/2017	MOODY, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.70	0.00	0.70	90.0	0.63
09/18/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
09/18/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
09/18/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	184.61	3.69	0.00	3.69	90.0	3.32
09/18/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
09/18/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
09/01/2017	ANDING, MARY DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	96.22	0.00	96.22	90.0	86.60
09/01/2017	REDDICK, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.26	0.00	6.26	90.0	5.63
09/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	0.00	4.99	0.00	4.99	90.0	4.49
09/01/2017	SEYER, MARY	AM FUNDS NEW PERSPECTIVE A	0.00	9.57	0.00	9.57	90.0	8.61
09/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	0.00	5.16	0.00	5.16	90.0	4.64
09/01/2017	MIDDLETON, M	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	90.0	0.15
09/01/2017	MCNERNEY, DAN	AM FUNDS NEW PERSPECTIVE A	0.00	12.17	0.00	12.17	90.0	10.95
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	9.81	0.00	9.81	90.0	8.83

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.90	0.00	12.90	90.0	11.61
09/01/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	0.00	0.27	0.00	0.27	90.0	0.24
09/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.66
09/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.40	0.00	0.40	90.0	0.36
09/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	0.00	13.17	0.00	13.17	90.0	11.85
09/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	0.00	0.31	0.00	0.31	90.0	0.28
09/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	15.55	0.00	15.55	90.0	14.00
09/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	0.00	0.50	0.00	0.50	90.0	0.45
09/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	90.0	0.26
09/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	0.00	7.93	0.00	7.93	90.0	7.14
09/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	36.80	0.00	36.80	90.0	33.12
09/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	24.66	0.00	24.66	90.0	22.19
09/01/2017	MOODY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	0.69	0.00	0.69	90.0	0.62
09/18/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
09/18/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
09/18/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
09/18/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
09/18/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	4.50	0.05	0.00	0.05	90.0	0.05
09/18/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	4.50	0.05	0.00	0.05	90.0	0.05
09/18/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
09/18/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
09/18/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
09/18/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
09/01/2017	KAUFMAN, COOPER	AM FUNDS NEW PERSPECTIVE C	0.00	1.38	0.00	1.38	90.0	1.24
09/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE C	0.00	1.28	0.00	1.28	90.0	1.15
09/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.77	0.00	0.77	90.0	0.69
09/01/2017	REDDICK, RYAN	AM FUNDS NEW WORLD 529A	0.00	5.92	0.00	5.92	90.0	5.33
09/01/2017	GUIER, CARROL	AM FUNDS NEW WORLD A	0.00	1.92	0.00	1.92	90.0	1.73
09/01/2017	GUIER, PAULA	AM FUNDS NEW WORLD A	0.00	2.68	0.00	2.68	90.0	2.41
09/01/2017	SEYER, MARY	AM FUNDS NEW WORLD A	0.00	6.54	0.00	6.54	90.0	5.89
09/01/2017	KEMBLE, CARA	AM FUNDS NEW WORLD A	0.00	2.52	0.00	2.52	90.0	2.27
09/01/2017	OSSMAN, ED	AM FUNDS NEW WORLD A	0.00	5.97	0.00	5.97	90.0	5.37
09/01/2017	FRIEDERICH, JOHN	AM FUNDS NEW WORLD A	0.00	4.24	0.00	4.24	90.0	3.82

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW WORLD A	0.00	1.18	0.00	1.18	90.0	1.06
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	8.35	0.00	8.35	90.0	7.52
09/01/2017	GRIFFITH, CHERYL	AM FUNDS NEW WORLD A	0.00	2.29	0.00	2.29	90.0	2.06
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	2.29	0.00	2.29	90.0	2.06
09/01/2017	GUIER, CASH	AM FUNDS NEW WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
09/01/2017	JOHNSON, RYAN	AM FUNDS NEW WORLD A	0.00	2.81	0.00	2.81	90.0	2.53
09/01/2017	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	2.57	0.00	2.57	90.0	2.31
09/01/2017	AHERN, OLIVIA	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	90.0	0.50
09/01/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	0.00	41.42	0.00	41.42	90.0	37.28
09/01/2017	MCKENZIE, JADA	AM FUNDS NEW WORLD A	0.00	0.96	0.00	0.96	90.0	0.86
09/01/2017	SAUSAMAN, URSULA	AM FUNDS NEW WORLD A	0.00	2.09	0.00	2.09	90.0	1.88
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW WORLD A	0.00	3.29	0.00	3.29	90.0	2.96
09/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.73	0.00	0.73	90.0	0.66
09/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	0.00	6.33	0.00	6.33	90.0	5.70
09/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	90.0	0.28
09/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	0.00	9.52	0.00	9.52	90.0	8.57
09/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	0.00	27.62	0.00	27.62	90.0	24.86
09/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	90.0	0.26
09/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	0.00	7.99	0.00	7.99	90.0	7.19
09/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	0.00	1.75	0.00	1.75	90.0	1.58
09/01/2017	TURNER, GARY	AM FUNDS NEW WORLD A	0.00	12.53	0.00	12.53	90.0	11.28
09/01/2017	MOODY, DAVID	AM FUNDS NEW WORLD A	0.00	0.68	0.00	0.68	90.0	0.61
09/18/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	184.62	3.69	0.00	3.69	90.0	3.32
09/18/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
09/18/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
09/01/2017	KAUFMAN, ELLIE	AM FUNDS NEW WORLD C	0.00	1.12	0.00	1.12	90.0	1.01
09/01/2017	KAUFMAN, COOPER	AM FUNDS NEW WORLD C	0.00	1.40	0.00	1.40	90.0	1.26
09/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD C	0.00	0.95	0.00	0.95	90.0	0.86
09/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD FUND F1	0.00	0.61	0.00	0.61	90.0	0.55
09/01/2017	MCCAMPBELL, MERYL	AM FUNDS PRESERVATION PORT A	0.00	3.63	0.00	3.63	90.0	3.27
09/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	4.00	0.00	4.00	90.0	3.60
09/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	7.31	0.00	7.31	90.0	6.58
09/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	8.22	0.00	8.22	90.0	7.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	ZELLMER, AMY	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
09/01/2017	GRIFFIN, AMANDA	AM FUNDS SMALLCAP WORLD A	0.00	4.36	0.00	4.36	90.0	3.92
09/01/2017	PATTISON, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	15.70	0.00	15.70	90.0	14.13
09/01/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	0.00	9.90	0.00	9.90	90.0	8.91
09/01/2017	MIDDLETON, M	AM FUNDS SMALLCAP WORLD A	0.00	0.17	0.00	0.17	90.0	0.15
09/01/2017	WHEAT, KATHLEEN	AM FUNDS SMALLCAP WORLD A	0.00	10.54	0.00	10.54	90.0	9.49
09/01/2017	KEMBLE, CARA	AM FUNDS SMALLCAP WORLD A	0.00	2.42	0.00	2.42	90.0	2.18
09/01/2017	OSSMAN, ED	AM FUNDS SMALLCAP WORLD A	0.00	6.47	0.00	6.47	90.0	5.82
09/01/2017	FRIEDERICH, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	5.28	0.00	5.28	90.0	4.75
09/01/2017	MCNERNEY, DAN	AM FUNDS SMALLCAP WORLD A	0.00	17.09	0.00	17.09	90.0	15.38
09/01/2017	GUIER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	27.73	0.00	27.73	90.0	24.96
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	10.16	0.00	10.16	90.0	9.14
09/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	2.69	0.00	2.69	90.0	2.42
09/01/2017	GRIFFIN, SHAWN	AM FUNDS SMALLCAP WORLD A	0.00	6.59	0.00	6.59	90.0	5.93
09/01/2017	MANGUS, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.24	0.00	0.24	90.0	0.22
09/01/2017	GUIER, KNOX	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	90.0	0.78
09/01/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	2.59	0.00	2.59	90.0	2.33
09/01/2017	BIETSCH, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.82	0.00	0.82	90.0	0.74
09/01/2017	AHERN, OLIVIA	AM FUNDS SMALLCAP WORLD A	0.00	1.40	0.00	1.40	90.0	1.26
09/01/2017	MCKENZIE, JADA	AM FUNDS SMALLCAP WORLD A	0.00	0.22	0.00	0.22	90.0	0.20
09/01/2017	CARSON, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	90.0	0.06
09/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS SMALLCAP WORLD A	0.00	0.98	0.00	0.98	90.0	0.88
09/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	3.26	0.00	3.26	90.0	2.93
09/01/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	0.00	0.38	0.00	0.38	90.0	0.34
09/01/2017	OPPLAND, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.05	0.00	0.05	90.0	0.05
09/01/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	0.00	0.60	0.00	0.60	90.0	0.54
09/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	90.0	0.37
09/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	12.48	0.00	12.48	90.0	11.23
09/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	0.00	0.32	0.00	0.32	90.0	0.29
09/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	10.48	0.00	10.48	90.0	9.43
09/01/2017	MURPHY, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	23.35	0.00	23.35	90.0	21.02
09/01/2017	PETERSON, BAILY	AM FUNDS SMALLCAP WORLD A	0.00	0.13	0.00	0.13	90.0	0.12
09/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	0.29	0.00	0.29	90.0	0.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	0.00	8.16	0.00	8.16	90.0	7.34
09/01/2017	TURNER, GARY	AM FUNDS SMALLCAP WORLD A	0.00	37.95	0.00	37.95	90.0	34.16
09/01/2017	RYAN, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	1.31	0.00	1.31	90.0	1.18
09/01/2017	SUTTON, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	13.43	0.00	13.43	90.0	12.09
09/01/2017	TOMPKINS, ERIKA	AM FUNDS SMALLCAP WORLD A	0.00	1.17	0.00	1.17	90.0	1.05
09/01/2017	ROBINETT, CHARISSA	AM FUNDS SMALLCAP WORLD A	0.00	7.34	0.00	7.34	90.0	6.61
09/01/2017	ELLIOTT, MITCHELL	AM FUNDS SMALLCAP WORLD A	0.00	0.59	0.00	0.59	90.0	0.53
09/01/2017	MOODY, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	0.66	0.00	0.66	90.0	0.59
09/18/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
09/18/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
09/18/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	6.00	0.06	0.00	0.06	90.0	0.05
09/18/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	6.00	0.06	0.00	0.06	90.0	0.05
09/18/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	19.01	0.19	0.00	0.19	90.0	0.17
09/18/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	19.01	0.19	0.00	0.19	90.0	0.17
09/18/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
09/18/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
09/01/2017	KAUFMAN, COOPER	AM FUNDS SMALLCAP WORLD C	0.00	2.90	0.00	2.90	90.0	2.61
09/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.87	0.00	1.87	90.0	1.68
09/01/2017	STEVENSON, DAVID	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.36	0.00	7.36	90.0	6.62
09/01/2017	HALL, JULIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	70.50	0.00	70.50	90.0	63.45
09/01/2017	ANDING, MARY DIANE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.47	0.00	2.47	90.0	2.22
09/01/2017	MCNERNEY, DAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.27	0.00	22.27	90.0	20.04
09/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.22	0.00	2.22	90.0	2.00
09/18/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
09/18/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
09/01/2017	DUNCAN, CHRISTOPHER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.36	0.00	0.36	90.0	0.32
09/01/2017	TURNER, GARY	AMERICAN FUNDS DEVELOPING WORLD GRO	0.00	37.14	0.00	37.14	90.0	33.43
09/05/2017	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	75.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$26,395.89	\$6,879.97	\$0.00	\$6,879.97		\$6,192.08
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/05/2017	KAUFMAN, JEFFREY	PAC LIFE VUL	200.00	4.00	0.00	4.00	90.0	3.60
09/05/2017	KAUFMAN, COOPER	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
09/05/2017	KAUFMAN, ELLIE	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/05/2017	GUIER, GREGORY	PAC LIFE VUL	185.00	1.85	0.00	1.85	90.0	1.67
09/05/2017	STALEY, MICHAELA	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
09/05/2017	ROBINSON, PHYLILS	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
09/05/2017	REDDICK, CRYSTAL	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
09/05/2017	STALEY, JOSELYN	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
09/05/2017	MCNERNEY, SUSAN	PAC LIFE VUL	1,000.00	30.00	0.00	30.00	90.0	27.00
09/05/2017	MCNERNEY, DASAN	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
09/05/2017	MCNERNEY, ALYSSA	PAC LIFE VUL	150.00	4.50	0.00	4.50	90.0	4.05
09/05/2017	MCNERNEY, DYLAN	PAC LIFE VUL	10.83	0.32	0.00	0.32	90.0	0.29
09/05/2017	MCNERNEY, DYLAN	PAC LIFE VUL	139.17	4.18	0.00	4.18	90.0	3.76
09/05/2017	STEWART, CHAD	PAC LIFE VUL	420.00	8.40	0.00	8.40	90.0	7.56
09/05/2017	BROCKSMITH, RACHEL	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
09/06/2017	ELLIOTT, PATRICIA	PAC LIFE VUL	36.26	0.73	0.00	0.73	90.0	0.66
09/06/2017	ELLIOTT, PATRICIA	PAC LIFE VUL	63.74	1.27	0.00	1.27	90.0	1.14
09/07/2017	DANIELS, BEVERLY	PAC LIFE VUL	100.00	1.00	0.00	1.00	90.0	0.90
09/07/2017	CALLIS, CHARLES	PAC LIFE VUL	416.67	8.33	0.00	8.33	90.0	7.50
09/07/2017	HILL, MIKE	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
09/11/2017	GUIER, CLINT	PAC LIFE VUL	74.29	0.74	0.00	0.74	90.0	0.67
09/11/2017	GUIER, CLINT	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
09/11/2017	MCNERNEY, SUSAN	PAC LIFE VUL	0.00	24.30	0.00	24.30	90.0	21.87
09/11/2017	MCNERNEY, DASAN	PAC LIFE VUL	0.00	11.42	0.00	11.42	90.0	10.28
09/12/2017	ANDING, MARY DIANE	PAC LIFE VUL	1,400.00	28.00	0.00	28.00	90.0	25.20
09/12/2017	REGAN, WILLIAM	PAC LIFE VUL	150.00	1.50	0.00	1.50	90.0	1.35
09/12/2017	GRIFFIN, SHAWN	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
09/13/2017	CALLIS, ANNIS	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
09/14/2017	MURRAY, JEFFREY	PAC LIFE VUL	584.57	11.69	0.00	11.69	90.0	10.52
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$6,330.53	\$175.73	\$0.00	\$175.73		\$158.17
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/11/2017	GATTORNA, BENE OF DOMIN,	PAC LIFE PACIFIC CHOICE	0.00	0.68	0.00	0.68	90.0	0.61
09/11/2017	MIKUS, BARBARA	PAC LIFE PACIFIC CHOICE	0.00	16,311.69	0.00	16,311.69	90.0	14,680.52
09/11/2017	MIKUS, BARBARA	PAC LIFE PACIFIC CHOICE	0.00	517.52	0.00	517.52	90.0	465.77
09/18/2017	ROY CROWLEY TST DTD 08/03,	PAC LIFE PACIFIC CHOICE	0.00	5,619.63	0.00	5,619.63	90.0	5,057.67
09/21/2017	JENNINGS, MARY	PAC LIFE PACIFIC CHOICE	0.00	305.67	0.00	305.67	90.0	275.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$22,755.19	\$0.00	\$22,755.19		\$20,479.67
		*** BROKER TRANSACTIONS TOTAL ***	\$32,726.42	\$29,810.89	\$0.00	\$29,810.89		\$26,829.92

<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
09/01/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	0.00	0.04	0.00	0.04	90.0	0.04
09/19/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	1,041.67	24.35	0.00	24.35	90.0	21.92
09/19/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	33.84	0.79	0.00	0.79	90.0	0.71
09/18/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	60.86	0.34	0.00	0.34	90.0	0.31
09/18/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	60.86	0.34	0.00	0.34	90.0	0.31
09/01/2017	CLARK-LAIRD, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	1.19	0.00	1.19	90.0	1.07
09/01/2017	CARTER, STANLEY	AM FUNDS AMERICAN BALANCED A	0.00	0.72	0.00	0.72	90.0	0.65
09/18/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	25.37	0.14	0.00	0.14	90.0	0.13
09/18/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	25.37	0.14	0.00	0.14	90.0	0.13
09/01/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
09/01/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
09/01/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
09/01/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
09/01/2017	MCNERNEY, DASAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
09/15/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
09/15/2017	MCNERNEY, DASAN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
09/18/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
09/18/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
09/18/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
09/18/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	7.74	0.04	0.00	0.04	90.0	0.04
09/18/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	48.79	0.27	0.00	0.27	90.0	0.24
09/18/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	48.79	0.27	0.00	0.27	90.0	0.24
09/18/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
09/18/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
09/18/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
09/18/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
09/19/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	833.34	19.48	0.00	19.48	90.0	17.53

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
09/19/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	136.61	3.20	0.00	3.20	90.0	2.88
09/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
09/18/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.45	0.05	0.00	0.05	90.0	0.05
09/18/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.45	0.05	0.00	0.05	90.0	0.05
09/18/2017	WAHLIG, KACEY	AM FUNDS ICA A	25.37	0.14	0.00	0.14	90.0	0.13
09/18/2017	WAHLIG, KACEY	AM FUNDS ICA A	25.37	0.14	0.00	0.14	90.0	0.13
09/18/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
09/18/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
09/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
09/01/2017	CLARK-LAIRD, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
09/01/2017	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	0.00	0.01	0.00	0.01	90.0	0.01
09/18/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
09/18/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
09/01/2017	THOMPSON, TERRY	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	90.0	0.01
09/18/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
09/18/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
09/01/2017	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	90.0	0.01
09/01/2017	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	90.0	0.01
09/15/2017	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	50.00	1.37	0.00	1.37	90.0	1.23
09/18/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
09/18/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
09/18/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
09/18/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
09/01/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.01	0.00	0.01	90.0	0.01
09/19/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.15	0.80	0.00	0.80	90.0	0.72
09/19/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	208.33	4.87	0.00	4.87	90.0	4.38
09/05/2017	MCNERNEY, DAVID	PAC LIFE VUL	1,000.00	11.00	0.00	11.00	90.0	9.90
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$5,414.92	\$86.32	\$0.00	\$86.32		\$77.72
<u>BROKER: JASON KEMBLE #394</u>								
09/11/2017	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.00	0.00	2.00	90.0	1.80
09/11/2017	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	2.00	0.00	2.00	90.0	1.80
* JASON KEMBLE SUBTOTAL *			\$200.00	\$4.00	\$0.00	\$4.00		\$3.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
*** SPLIT TRANSACTIONS TOTAL ***			\$5,614.92	\$90.32	\$0.00	\$90.32		\$81.32

BROKER COMMISSION TOTALS

Broker Transactions	\$26,829.92
Split Transactions	\$81.32
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	\$26,911.24
Year-to-date Gross	\$143,396.87
Year-to-date Earnings	\$138,091.97

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