



Concorde Investment Services, LLC

03/14/2017
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COMMISSION STATEMENT March 15, 2017

JOSEPH (TERRY) MANN
219 E. 31st Street

BROKER #: M132
BRANCH: JOSEPH "TERRY" MANN

Savannah, GA 31401

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GODLESKI, BARBARA	AM FUNDS AMCAP 529A	0.00	0.54	0.00	0.54	91.0	0.49
03/01/2017	GODLESKI, BARBARA	AM FUNDS AMCAP 529A	0.00	0.54	0.00	0.54	91.0	0.49
03/01/2017	GODLESKI, BARBARA	AM FUNDS AMCAP 529A	0.00	0.54	0.00	0.54	91.0	0.49
03/01/2017	COX, DENISE	AM FUNDS AMCAP A	0.00	6.07	0.00	6.07	91.0	5.52
03/01/2017	BAILEY, PATRICIA	AM FUNDS AMCAP A	0.00	2.97	0.00	2.97	91.0	2.70
03/01/2017	DUNLAP, TONY	AM FUNDS AMCAP A	0.00	0.93	0.00	0.93	91.0	0.85
03/01/2017	MOORE, MELISSA	AM FUNDS AMCAP A	0.00	2.85	0.00	2.85	91.0	2.59
03/01/2017	NEUHAUSER, JOSEPH	AM FUNDS AMCAP A	0.00	5.98	0.00	5.98	91.0	5.44
03/01/2017	MOORE, THOMAS	AM FUNDS AMCAP A	0.00	3.57	0.00	3.57	91.0	3.25
03/01/2017	MOORE, MELISSA	AM FUNDS AMCAP A	0.00	4.00	0.00	4.00	91.0	3.64
03/01/2017	KRAUS, KATHLEEN	AM FUNDS AMCAP A	0.00	2.09	0.00	2.09	91.0	1.90
03/01/2017	HOFFMAN, LISA	AM FUNDS AMCAP A	0.00	0.38	0.00	0.38	91.0	0.35
03/01/2017	HEALEY, BRIAN	AM FUNDS AMCAP A	0.00	5.84	0.00	5.84	91.0	5.31
03/01/2017	DABBS, LILY	AM FUNDS AMCAP A	0.00	1.06	0.00	1.06	91.0	0.96
03/01/2017	COLLINS, REGENA	AM FUNDS AMCAP A	0.00	3.02	0.00	3.02	91.0	2.75
03/01/2017	BLANCHARD, MALCOLM	AM FUNDS AMCAP A	0.00	2.98	0.00	2.98	91.0	2.71
03/01/2017	BLANCHARD, MALCOLM	AM FUNDS AMCAP A	0.00	0.57	0.00	0.57	91.0	0.52
03/01/2017	VERMA, ADI	AM FUNDS AMCAP A	0.00	0.66	0.00	0.66	91.0	0.60
03/01/2017	VERMA, ADI	AM FUNDS AMCAP A	0.00	0.68	0.00	0.68	91.0	0.62
03/01/2017	COLLINS, JAMES	AM FUNDS AMCAP A	0.00	1.33	0.00	1.33	91.0	1.21
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS AMCAP C	0.00	20.83	0.00	20.83	91.0	18.96
03/01/2017	PAI, YOGISH	AM FUNDS AMCAP C	0.00	37.84	0.00	37.84	91.0	34.43
03/01/2017	EMBRY, JASON	AM FUNDS AMCAP C	0.00	3.01	0.00	3.01	91.0	2.74
03/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP C	0.00	88.54	0.00	88.54	91.0	80.57
03/01/2017	MOORE, MELISSA	AM FUNDS AMCAP C	0.00	91.53	0.00	91.53	91.0	83.29
03/01/2017	ARCHER, ISABEL	AM FUNDS AMCAP C	0.00	36.82	0.00	36.82	91.0	33.51

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ARCHER, ISABEL	AM FUNDS AMCAP C	0.00	2.80	0.00	2.80	91.0	2.55
03/01/2017	ARCHER, JACOB	AM FUNDS AMCAP C	0.00	1.97	0.00	1.97	91.0	1.79
03/01/2017	GODLESKI, AUBRIEGH	AM FUNDS AMCAP C	0.00	2.47	0.00	2.47	91.0	2.25
03/01/2017	GODLESKI, COUPER	AM FUNDS AMCAP C	0.00	1.29	0.00	1.29	91.0	1.17
03/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP F1	0.00	2.14	0.00	2.14	91.0	1.95
03/01/2017	PAI, YOGISH	AM FUNDS AMCAP F1	0.00	24.23	0.00	24.23	91.0	22.05
03/01/2017	EMBRY, JASON	AM FUNDS AMCAP F1	0.00	0.28	0.00	0.28	91.0	0.25
03/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP F1	0.00	1.68	0.00	1.68	91.0	1.53
03/01/2017	MOORE, MELISSA	AM FUNDS AMCAP F1	0.00	1.67	0.00	1.67	91.0	1.52
03/01/2017	FRAME, JANET	AM FUNDS AMERICAN BALANCED A	0.00	12.22	0.00	12.22	91.0	11.12
03/01/2017	HEALEY, WENDY	AM FUNDS AMERICAN BALANCED A	0.00	3.01	0.00	3.01	91.0	2.74
03/01/2017	CHIEN, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	3.37	0.00	3.37	91.0	3.07
03/01/2017	WHELDON, ALYSON	AM FUNDS AMERICAN BALANCED A	0.00	1.89	0.00	1.89	91.0	1.72
03/01/2017	WARSTADT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	6.84	0.00	6.84	91.0	6.22
03/01/2017	WARSTADT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	6.84	0.00	6.84	91.0	6.22
03/01/2017	WARSTADT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	6.84	0.00	6.84	91.0	6.22
03/01/2017	REARDON, MARK	AM FUNDS AMERICAN BALANCED A	0.00	10.62	0.00	10.62	91.0	9.66
03/01/2017	MORGAN, JUDITH	AM FUNDS AMERICAN BALANCED C	0.00	12.67	0.00	12.67	91.0	11.53
03/01/2017	DUNLAP, ANNA	AM FUNDS AMERICAN BALANCED C	0.00	4.84	0.00	4.84	91.0	4.40
03/01/2017	MORGAN, RONALD	AM FUNDS AMERICAN BALANCED C	0.00	6.89	0.00	6.89	91.0	6.27
03/01/2017	MOORE, THOMAS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.65	0.00	3.65	91.0	3.32
03/01/2017	DUNLAP, ANNA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.85	0.00	3.85	91.0	3.50
03/01/2017	MILLER, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	26.99	0.00	26.99	91.0	24.56
03/01/2017	CHIEN, CHERYL	AM FUNDS AMERICAN MUTUAL A	0.00	3.31	0.00	3.31	91.0	3.01
03/01/2017	BLANCHARD, SARA	AM FUNDS AMERICAN MUTUAL A	0.00	0.60	0.00	0.60	91.0	0.55
03/01/2017	KRAUS, JOHN	AM FUNDS AMERICAN MUTUAL C	0.00	16.03	0.00	16.03	91.0	14.59
03/01/2017	MANN, BARBARA	AM FUNDS BOND FUND OF AMERICA A	0.00	5.49	0.00	5.49	91.0	5.00
03/01/2017	MORGAN, JUDITH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.70	0.00	1.70	91.0	1.55
03/01/2017	KRAUS, KATHLEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	2.27	0.00	2.27	91.0	2.07
03/01/2017	VERMA, ADI	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	91.0	0.15
03/01/2017	VERMA, ADI	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	91.0	0.15
03/01/2017	HEADLEY, LOMA	AM FUNDS BOND FUND OF AMERICA A	0.00	19.91	0.00	19.91	91.0	18.12
03/01/2017	HEADLEY, LOMA	AM FUNDS BOND FUND OF AMERICA A	0.00	19.91	0.00	19.91	91.0	18.12

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEADLEY, LOMA	AM FUNDS BOND FUND OF AMERICA A	0.00	19.91	0.00	19.91	91.0	18.12
03/01/2017	HEADLEY, LOMA	AM FUNDS BOND FUND OF AMERICA A	0.00	19.91	0.00	19.91	91.0	18.12
03/01/2017	FRAME, JANET	AM FUNDS BOND FUND OF AMERICA C	0.00	46.62	0.00	46.62	91.0	42.42
03/01/2017	DUNLAP, ANNA	AM FUNDS BOND FUND OF AMERICA C	0.00	3.07	0.00	3.07	91.0	2.79
03/01/2017	NEUHAUSER, MITCH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.93	0.00	3.93	91.0	3.58
03/01/2017	DUNLAP, TONY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.11	0.00	3.11	91.0	2.83
03/01/2017	CHIEN, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.74	0.00	2.74	91.0	2.49
03/01/2017	MANN, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.32	0.00	7.32	91.0	6.66
03/01/2017	MORGAN, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	91.0	0.66
03/01/2017	JAMES, TYLAR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.67	0.00	1.67	91.0	1.52
03/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.16	0.00	0.16	91.0	0.15
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.16	0.00	0.16	91.0	0.15
03/01/2017	KRAUS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.54	0.00	3.54	91.0	3.22
03/01/2017	CHIEN, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	91.0	0.23
03/01/2017	MOORE, LUCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.20	0.00	4.20	91.0	3.82
03/01/2017	MOORE, MAX	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.15	0.00	4.15	91.0	3.78
03/01/2017	COLLINS, REGENA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	91.0	0.83
03/01/2017	WARSTADT, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	91.0	6.31
03/01/2017	WARSTADT, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	91.0	6.31
03/01/2017	WARSTADT, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.93	0.00	6.93	91.0	6.31
03/01/2017	CUMMINGS, KRYSTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	91.0	0.16
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	36.86	0.00	36.86	91.0	33.54
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.05	0.00	6.05	91.0	5.51
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	76.03	0.00	76.03	91.0	69.19
03/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	65.78	0.00	65.78	91.0	59.86
03/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	20.44	0.00	20.44	91.0	18.60
03/01/2017	KRAUS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	5.22	0.00	5.22	91.0	4.75
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	4.52	0.00	4.52	91.0	4.11
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.14	0.00	0.14	91.0	0.13
03/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.77	0.00	1.77	91.0	1.61
03/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.14	0.00	1.14	91.0	1.04
03/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD BOND A	0.00	5.80	0.00	5.80	91.0	5.28
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.58	0.00	2.58	91.0	2.35

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.58	0.00	2.58	91.0	2.35
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.58	0.00	2.58	91.0	2.35
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.58	0.00	2.58	91.0	2.35
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD BOND C	0.00	3.30	0.00	3.30	91.0	3.00
03/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL WORLD BOND C	0.00	10.56	0.00	10.56	91.0	9.61
03/01/2017	DUNLAP, ANNA	AM FUNDS CAPITAL WORLD BOND C	0.00	2.36	0.00	2.36	91.0	2.15
03/01/2017	NEUHAUSER, MITCH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.83	0.00	4.83	91.0	4.40
02/24/2017	FUTTERMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	72.67	2.73	0.00	2.73	91.0	2.48
03/01/2017	MILLER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.30	0.00	24.30	91.0	22.11
03/01/2017	COX, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.95	0.00	5.95	91.0	5.41
03/01/2017	DUNLAP, TONY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	91.0	2.53
03/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.66	0.00	8.66	91.0	7.88
03/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	91.0	2.34
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.01	0.00	3.01	91.0	2.74
03/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	91.0	0.86
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.93	0.00	0.93	91.0	0.85
03/01/2017	HOFFMAN, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	91.0	0.43
03/01/2017	HEALEY, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.01	0.00	5.01	91.0	4.56
03/01/2017	COLLINS, REGENA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	91.0	2.69
03/01/2017	FUTTERMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.70	0.00	7.70	91.0	7.01
03/01/2017	COLLINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	91.0	0.73
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.61	0.00	18.61	91.0	16.94
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	91.0	9.95
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	91.0	9.95
03/01/2017	HEADLEY, LOMA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	91.0	9.95
03/01/2017	CUMMINGS, KRYSTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	91.0	0.25
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	7.46	0.00	7.46	91.0	6.79
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	11.99	0.00	11.99	91.0	10.91
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.42	0.00	2.42	91.0	2.20
03/01/2017	SALOME, KIMBERLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.98	0.00	4.98	91.0	4.53
03/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	11.22	0.00	11.22	91.0	10.21
03/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	14.26	0.00	14.26	91.0	12.98
03/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.07	0.00	0.07	91.0	0.06

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.50	0.00	3.50	91.0	3.19
03/01/2017	NEUHAUSER, MITCH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	4.32	0.00	4.32	91.0	3.93
03/01/2017	GODLESKI, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.42	0.00	0.42	91.0	0.38
03/01/2017	GODLESKI, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.42	0.00	0.42	91.0	0.38
03/01/2017	GODLESKI, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.42	0.00	0.42	91.0	0.38
02/24/2017	BLANCHARD JR, MALCOLM	AM FUNDS EUROPACIFIC GROWTH FUND A	166.67	6.25	0.00	6.25	91.0	5.69
03/01/2017	MILLER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	34.74	0.00	34.74	91.0	31.61
03/01/2017	BAILEY, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.97	0.00	3.97	91.0	3.61
03/01/2017	DUNLAP, TONY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.00	0.00	2.00	91.0	1.82
03/01/2017	MORGAN, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.58	0.00	2.58	91.0	2.35
03/01/2017	HRITZ, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.52	0.00	0.52	91.0	0.47
03/01/2017	SAMPLES, FAY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.13	0.00	0.13	91.0	0.12
03/01/2017	DUNLAP, ANNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.77	0.00	3.77	91.0	3.43
03/01/2017	CHANDRAMOULI, YASH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.66	0.00	0.66	91.0	0.60
03/01/2017	CHANDRAMOULI, SHRUTI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.56	0.00	0.56	91.0	0.51
03/01/2017	MOORE, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.81	0.00	2.81	91.0	2.56
03/01/2017	NEUHAUSER, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.67	0.00	3.67	91.0	3.34
03/01/2017	MOORE, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.52	0.00	3.52	91.0	3.20
03/01/2017	MOORE, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.61	0.00	3.61	91.0	3.29
03/01/2017	HOFFMAN, LANDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.62	0.00	1.62	91.0	1.47
03/01/2017	JAMES, TYLAR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.64	0.00	1.64	91.0	1.49
03/01/2017	KRAUS, KATHLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.04	0.00	2.04	91.0	1.86
03/01/2017	HOFFMAN, LISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.39	0.00	0.39	91.0	0.35
03/01/2017	MOORE, LUCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.11	0.00	4.11	91.0	3.74
03/01/2017	MOORE, MAX	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.80	0.00	4.80	91.0	4.37
03/01/2017	DABBS, LILY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.23	0.00	1.23	91.0	1.12
03/01/2017	COLLINS, REGENA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	91.0	0.15
03/01/2017	BLANCHARD, SARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	91.0	0.68
03/01/2017	BLANCHARD JR, MALCOLM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.40	0.00	8.40	91.0	7.64
03/01/2017	DEWICK, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.38	0.00	0.38	91.0	0.35
03/01/2017	BLANCHARD, MALCOLM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.62	0.00	2.62	91.0	2.38
03/01/2017	COLLINS, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	91.0	0.15
03/01/2017	GALLAGHER, FINLEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.20	0.00	5.20	91.0	4.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEADLEY, LOMA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.97	0.00	8.97	91.0	8.16
03/01/2017	HEADLEY, LOMA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.97	0.00	8.97	91.0	8.16
03/01/2017	HEADLEY, LOMA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.97	0.00	8.97	91.0	8.16
03/01/2017	HEADLEY, LOMA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.97	0.00	8.97	91.0	8.16
03/01/2017	BLANCHARD, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	29.09	0.00	29.09	91.0	26.47
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.45	0.00	14.45	91.0	13.15
03/01/2017	MOORE, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	17.49	0.00	17.49	91.0	15.92
03/01/2017	EMBRY, JASON	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.96	0.00	1.96	91.0	1.78
03/01/2017	BLANCHARD, TALIA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	56.64	0.00	56.64	91.0	51.54
03/01/2017	MACQUARRIE, MILES	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	22.01	0.00	22.01	91.0	20.03
03/01/2017	KRAUS, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.14	0.00	10.14	91.0	9.23
03/01/2017	ARCHER, ISABEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	38.78	0.00	38.78	91.0	35.29
03/01/2017	ARCHER, ISABEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.65	0.00	4.65	91.0	4.23
03/01/2017	ARCHER, JACOB	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	83.77	0.00	83.77	91.0	76.23
03/01/2017	ARCHER, JACOB	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.65	0.00	4.65	91.0	4.23
03/01/2017	KASIAN, JUSTIN PHILLIP	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.22	0.00	4.22	91.0	3.84
03/01/2017	KASIAN, EVAN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.16	0.00	4.16	91.0	3.79
03/01/2017	EMBRY, JASON	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.23	0.00	0.23	91.0	0.21
03/01/2017	BLANCHARD, TALIA	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	1.04	0.00	1.04	91.0	0.95
03/01/2017	MILLER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	39.44	0.00	39.44	91.0	35.89
03/01/2017	MANN, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.45	0.00	9.45	91.0	8.60
03/01/2017	MORGAN, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.30	0.00	1.30	91.0	1.18
03/01/2017	MOORE, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.55	0.00	3.55	91.0	3.23
03/01/2017	DABBS, LILY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	91.0	1.40
03/01/2017	BLANCHARD JR, MALCOLM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.74	0.00	2.74	91.0	2.49
03/01/2017	KRAUS, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	6.78	0.00	6.78	91.0	6.17
03/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED A	0.00	11.62	0.00	11.62	91.0	10.57
03/01/2017	KRAUS, KATHLEEN	AM FUNDS GLOBAL BALANCED A	0.00	4.96	0.00	4.96	91.0	4.51
03/01/2017	HEALEY, WENDY	AM FUNDS GLOBAL BALANCED A	0.00	2.52	0.00	2.52	91.0	2.29
03/01/2017	WARSTADT, SUSAN	AM FUNDS GLOBAL BALANCED A	0.00	13.08	0.00	13.08	91.0	11.90
03/01/2017	WARSTADT, SUSAN	AM FUNDS GLOBAL BALANCED A	0.00	13.08	0.00	13.08	91.0	11.90
03/01/2017	WARSTADT, SUSAN	AM FUNDS GLOBAL BALANCED A	0.00	3.56	0.00	3.56	91.0	3.24
03/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED C	0.00	35.77	0.00	35.77	91.0	32.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GALLAGHER, RYAN	AM FUNDS GLOBAL BALANCED C	0.00	39.86	0.00	39.86	91.0	36.27
03/01/2017	NEUHAUSER, MITCH	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	14.25	0.00	14.25	91.0	12.97
02/21/2017	POHLMANN, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	91.0	1.94
02/24/2017	FUTTERMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	72.67	2.73	0.00	2.73	91.0	2.48
02/24/2017	BLANCHARD JR, MALCOLM	AM FUNDS GROWTH FUND OF AMERICA A	166.66	6.25	0.00	6.25	91.0	5.69
03/01/2017	MILLER, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.83	0.00	14.83	91.0	13.50
03/01/2017	CHANDRAMOULI, YASH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	91.0	1.43
03/01/2017	CHANDRAMOULI, SHRUTI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	91.0	1.22
03/01/2017	POHLMANN, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.59	0.00	20.59	91.0	18.74
03/01/2017	NEUHAUSER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.23	0.00	4.23	91.0	3.85
03/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.41	0.00	4.41	91.0	4.01
03/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	91.0	4.27
03/01/2017	HOFFMAN, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.67	0.00	1.67	91.0	1.52
03/01/2017	GODLESKI, KIRSTEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	91.0	4.05
03/01/2017	GODLESKI, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	91.0	4.05
03/01/2017	TITTLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.10	0.00	0.10	91.0	0.09
03/01/2017	GIBBONS, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.49	0.00	3.49	91.0	3.18
03/01/2017	DUNLAP, TONY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.78	0.00	3.78	91.0	3.44
03/01/2017	DUNLAP, TONY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.78	0.00	3.78	91.0	3.44
03/01/2017	FUTTERMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.68	0.00	9.68	91.0	8.81
03/01/2017	BLANCHARD, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.09	0.00	1.09	91.0	0.99
03/01/2017	BLANCHARD JR, MALCOLM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.57	0.00	11.57	91.0	10.53
03/01/2017	DEWICK, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	91.0	0.44
03/01/2017	VOGEL, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.21	0.00	2.21	91.0	2.01
03/01/2017	VERMA, ADI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	91.0	0.07
03/01/2017	VERMA, ADI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	91.0	0.05
03/01/2017	BLANCHARD, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	56.40	0.00	56.40	91.0	51.32
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	41.76	0.00	41.76	91.0	38.00
03/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	94.11	0.00	94.11	91.0	85.64
03/01/2017	GIBBONS, HEATHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	114.22	0.00	114.22	91.0	103.94
03/01/2017	BLANCHARD, TALIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	85.95	0.00	85.95	91.0	78.21
03/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	89.03	0.00	89.03	91.0	81.02
03/01/2017	MACQUARRIE, MILES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	33.07	0.00	33.07	91.0	30.09

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KRAUS, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.41	0.00	15.41	91.0	14.02
03/01/2017	ARCHER, ISABEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.26	0.00	14.26	91.0	12.98
03/01/2017	ARCHER, ISABEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.28	0.00	7.28	91.0	6.62
03/01/2017	ARCHER, JACOB	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.17	0.00	5.17	91.0	4.70
03/01/2017	CHANDRAMOULI, SHRUTI	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.05	0.00	2.05	91.0	1.87
03/01/2017	GODLESKI, AUBRIEGH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.72	0.00	3.72	91.0	3.39
03/01/2017	GODLESKI, COUPER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.66	0.00	1.66	91.0	1.51
03/01/2017	CHANDRAMOULI, YASH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.98	0.00	0.98	91.0	0.89
03/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.19	0.00	0.19	91.0	0.17
03/01/2017	BLANCHARD, TALIA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.67	0.00	1.67	91.0	1.52
03/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.68	0.00	1.68	91.0	1.53
03/01/2017	HEALEY, VAUGHN	AM FUNDS GROWTH PORT C	0.00	3.94	0.00	3.94	91.0	3.59
03/01/2017	HEALEY, ASHLEY	AM FUNDS GROWTH PORT C	0.00	3.94	0.00	3.94	91.0	3.59
03/01/2017	KARP, BENJAMIN	AM FUNDS GROWTH PORT C	0.00	1.24	0.00	1.24	91.0	1.13
03/01/2017	DUNLAP, TONY	AM FUNDS ICA A	0.00	2.67	0.00	2.67	91.0	2.43
03/01/2017	DUNLAP, ANNA	AM FUNDS ICA A	0.00	3.87	0.00	3.87	91.0	3.52
03/01/2017	KRAUS, KATHLEEN	AM FUNDS ICA A	0.00	4.16	0.00	4.16	91.0	3.79
03/01/2017	COLLINS, REGENA	AM FUNDS ICA A	0.00	0.90	0.00	0.90	91.0	0.82
03/01/2017	COX, DENISE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.00	0.00	6.00	91.0	5.46
03/01/2017	DUNLAP, TONY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.73	0.00	0.73	91.0	0.66
03/01/2017	CHIEN, CHERYL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.64	0.00	4.64	91.0	4.22
03/01/2017	WARSTADT, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.01	0.00	6.01	91.0	5.47
03/01/2017	WARSTADT, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.00	0.00	6.00	91.0	5.46
03/01/2017	WARSTADT, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.00	0.00	6.00	91.0	5.46
03/01/2017	HEADLEY, LOMA	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.49	0.00	9.49	91.0	8.64
03/01/2017	HEADLEY, LOMA	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.51	0.00	9.51	91.0	8.65
03/01/2017	HEADLEY, LOMA	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.51	0.00	9.51	91.0	8.65
03/01/2017	HEADLEY, LOMA	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.51	0.00	9.51	91.0	8.65
03/01/2017	GA/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	40.57	0.00	40.57	91.0	36.92
03/01/2017	FRAME, JANET	AM FUNDS INCOME FUND OF AMERICA C	0.00	70.09	0.00	70.09	91.0	63.78
03/01/2017	KRAUS, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA C	0.00	6.10	0.00	6.10	91.0	5.55
03/01/2017	FRAME, JANET	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.45	0.00	1.45	91.0	1.32
03/01/2017	HEALEY, WENDY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.66	0.00	1.66	91.0	1.51

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ARCHER, THOMAS	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.65	0.00	4.65	91.0	4.23
03/01/2017	BLANCHARD, DAVID	AM FUNDS MONEY MARKET CL F1	0.00	1.17	0.00	1.17	91.0	1.06
03/01/2017	MILLER, DEBORAH	AM FUNDS NEW ECONOMY A	0.00	25.02	0.00	25.02	91.0	22.77
03/01/2017	DUNLAP, TONY	AM FUNDS NEW ECONOMY A	0.00	1.52	0.00	1.52	91.0	1.38
03/01/2017	MORGAN, JUDITH	AM FUNDS NEW ECONOMY A	0.00	0.96	0.00	0.96	91.0	0.87
03/01/2017	MOORE, MELISSA	AM FUNDS NEW ECONOMY A	0.00	3.21	0.00	3.21	91.0	2.92
03/01/2017	BLANCHARD JR, MALCOLM	AM FUNDS NEW ECONOMY A	0.00	4.71	0.00	4.71	91.0	4.29
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	19.39	0.00	19.39	91.0	17.64
03/01/2017	PAI, YOGISH	AM FUNDS NEW ECONOMY C	0.00	10.29	0.00	10.29	91.0	9.36
03/01/2017	LUPO, ROBERT	AM FUNDS NEW ECONOMY C	0.00	37.66	0.00	37.66	91.0	34.27
03/01/2017	PAI, YOGISH	AM FUNDS NEW ECONOMY FUND	0.00	28.91	0.00	28.91	91.0	26.31
03/01/2017	MILLER, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	13.22	0.00	13.22	91.0	12.03
03/01/2017	COX, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	5.87	0.00	5.87	91.0	5.34
03/01/2017	DUNLAP, TONY	AM FUNDS NEW PERSPECTIVE A	0.00	1.15	0.00	1.15	91.0	1.05
03/01/2017	GODLESKI, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	95.39	0.00	95.39	91.0	86.80
03/01/2017	MORGAN, JUDITH	AM FUNDS NEW PERSPECTIVE A	0.00	1.24	0.00	1.24	91.0	1.13
03/01/2017	DUNLAP, ANNA	AM FUNDS NEW PERSPECTIVE A	0.00	0.16	0.00	0.16	91.0	0.15
03/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	4.38	0.00	4.38	91.0	3.99
03/01/2017	DEWICK, TRENTEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.45	0.00	0.45	91.0	0.41
03/01/2017	BLANCHARD, TALIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	91.0	0.50
03/01/2017	BLANCHARD, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	91.0	0.47
03/01/2017	HOFFMAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	91.0	0.43
03/01/2017	DEWICK, DYLAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	91.0	0.15
03/01/2017	COLLINS, REGENA	AM FUNDS NEW PERSPECTIVE A	0.00	4.40	0.00	4.40	91.0	4.00
03/01/2017	COLLINS, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	3.24	0.00	3.24	91.0	2.95
03/01/2017	HEADLEY, LOMA	AM FUNDS NEW PERSPECTIVE A	0.00	4.68	0.00	4.68	91.0	4.26
03/01/2017	HEADLEY, LOMA	AM FUNDS NEW PERSPECTIVE A	0.00	4.68	0.00	4.68	91.0	4.26
03/01/2017	HEADLEY, LOMA	AM FUNDS NEW PERSPECTIVE A	0.00	4.68	0.00	4.68	91.0	4.26
03/01/2017	HEADLEY, LOMA	AM FUNDS NEW PERSPECTIVE A	0.00	4.68	0.00	4.68	91.0	4.26
03/01/2017	GODLESKI, MADISON	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	91.0	0.50
03/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE C	0.00	75.96	0.00	75.96	91.0	69.12
03/01/2017	DEFEO, DAVID	AM FUNDS NEW PERSPECTIVE C	0.00	29.78	0.00	29.78	91.0	27.10
03/01/2017	SHERRILL, WILLIAM	AM FUNDS NEW PERSPECTIVE C	0.00	1.23	0.00	1.23	91.0	1.12

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KRAUS, JOHN	AM FUNDS NEW PERSPECTIVE C	0.00	12.35	0.00	12.35	91.0	11.24
03/01/2017	ARCHER, ISABEL	AM FUNDS NEW PERSPECTIVE C	0.00	12.87	0.00	12.87	91.0	11.71
03/01/2017	ARCHER, ISABEL	AM FUNDS NEW PERSPECTIVE C	0.00	8.94	0.00	8.94	91.0	8.14
03/01/2017	ARCHER, JACOB	AM FUNDS NEW PERSPECTIVE C	0.00	84.81	0.00	84.81	91.0	77.18
03/01/2017	LUPO, ROBERT	AM FUNDS NEW PERSPECTIVE C	0.00	32.49	0.00	32.49	91.0	29.57
03/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE F-1	0.00	1.39	0.00	1.39	91.0	1.26
03/01/2017	DUNLAP, TONY	AM FUNDS NEW WORLD A	0.00	3.41	0.00	3.41	91.0	3.10
03/01/2017	MANN, BARBARA	AM FUNDS NEW WORLD A	0.00	6.32	0.00	6.32	91.0	5.75
03/01/2017	MORGAN, JUDITH	AM FUNDS NEW WORLD A	0.00	3.07	0.00	3.07	91.0	2.79
03/01/2017	FRAME, JANET	AM FUNDS NEW WORLD A	0.00	5.99	0.00	5.99	91.0	5.45
03/01/2017	NEUHAUSER, JOSEPH	AM FUNDS NEW WORLD A	0.00	5.78	0.00	5.78	91.0	5.26
03/01/2017	MOORE, THOMAS	AM FUNDS NEW WORLD A	0.00	3.92	0.00	3.92	91.0	3.57
03/01/2017	DEWICK, TRENTEN	AM FUNDS NEW WORLD A	0.00	2.03	0.00	2.03	91.0	1.85
03/01/2017	DEWICK, DYLAN	AM FUNDS NEW WORLD A	0.00	1.85	0.00	1.85	91.0	1.68
03/01/2017	COLLINS, REGENA	AM FUNDS NEW WORLD A	0.00	1.32	0.00	1.32	91.0	1.20
03/01/2017	VERMA, ADI	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	91.0	0.35
03/01/2017	VERMA, ADI	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	91.0	0.35
03/01/2017	COLLINS, JAMES	AM FUNDS NEW WORLD A	0.00	2.90	0.00	2.90	91.0	2.64
03/01/2017	GALLAGHER, FINLEY	AM FUNDS NEW WORLD A	0.00	5.11	0.00	5.11	91.0	4.65
03/01/2017	BLANCHARD, DAVID	AM FUNDS NEW WORLD C	0.00	14.88	0.00	14.88	91.0	13.54
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS NEW WORLD C	0.00	15.07	0.00	15.07	91.0	13.71
03/01/2017	MOORE, THOMAS	AM FUNDS NEW WORLD C	0.00	3.40	0.00	3.40	91.0	3.09
03/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD C	0.00	52.68	0.00	52.68	91.0	47.94
03/01/2017	KRAUS, KATHLEEN	AM FUNDS NEW WORLD C	0.00	4.03	0.00	4.03	91.0	3.67
03/01/2017	ARCHER, ISABEL	AM FUNDS NEW WORLD C	0.00	4.92	0.00	4.92	91.0	4.48
03/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD FUND F1	0.00	1.84	0.00	1.84	91.0	1.67
03/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD FUND F1	0.00	1.17	0.00	1.17	91.0	1.06
03/01/2017	MANN, BARBARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.88	0.00	1.88	91.0	1.71
03/01/2017	NEUHAUSER, MITCHELL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.87	0.00	3.87	91.0	3.52
03/01/2017	SWENSON, ISAK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.22	0.00	0.22	91.0	0.20
03/01/2017	HEADLEY, LOMA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.78	0.00	6.78	91.0	6.17
03/01/2017	HEADLEY, LOMA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.78	0.00	6.78	91.0	6.17
03/01/2017	HEADLEY, LOMA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.78	0.00	6.78	91.0	6.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEADLEY, LOMA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	6.78	0.00	6.78	91.0	6.17
03/01/2017	MILLER, DEBORAH	AM FUNDS SMALLCAP WORLD A	0.00	19.17	0.00	19.17	91.0	17.44
03/01/2017	DUNLAP, TONY	AM FUNDS SMALLCAP WORLD A	0.00	4.19	0.00	4.19	91.0	3.81
03/01/2017	MORGAN, JUDITH	AM FUNDS SMALLCAP WORLD A	0.00	1.03	0.00	1.03	91.0	0.94
03/01/2017	DUNLAP, ANNA	AM FUNDS SMALLCAP WORLD A	0.00	1.48	0.00	1.48	91.0	1.35
03/01/2017	FRAME, JANET	AM FUNDS SMALLCAP WORLD A	0.00	2.58	0.00	2.58	91.0	2.35
03/01/2017	MOORE, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	4.76	0.00	4.76	91.0	4.33
03/01/2017	DEWICK, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.94	0.00	0.94	91.0	0.86
03/01/2017	ARCHER, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	5.04	0.00	5.04	91.0	4.59
03/01/2017	VERMA, ADI	AM FUNDS SMALLCAP WORLD A	0.00	4.00	0.00	4.00	91.0	3.64
03/01/2017	VERMA, ADI	AM FUNDS SMALLCAP WORLD A	0.00	4.00	0.00	4.00	91.0	3.64
03/01/2017	GALLAGHER, FINLEY	AM FUNDS SMALLCAP WORLD A	0.00	5.84	0.00	5.84	91.0	5.31
03/01/2017	GODLESKI, MADISON	AM FUNDS SMALLCAP WORLD A	0.00	0.56	0.00	0.56	91.0	0.51
03/01/2017	PAI, YOGISH	AM FUNDS SMALLCAP WORLD C	0.00	10.27	0.00	10.27	91.0	9.35
03/01/2017	ARCHER, JACOB	AM FUNDS SMALLCAP WORLD C	0.00	2.90	0.00	2.90	91.0	2.64
03/01/2017	KASIAN, JUSTIN PHILLIP	AM FUNDS SMALLCAP WORLD C	0.00	2.74	0.00	2.74	91.0	2.49
03/01/2017	GALLAGHER, RYAN	AM FUNDS SMALLCAP WORLD C	0.00	3.67	0.00	3.67	91.0	3.34
03/01/2017	KASIAN, EVAN	AM FUNDS SMALLCAP WORLD C	0.00	2.74	0.00	2.74	91.0	2.49
03/01/2017	MILLER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.24	0.00	6.24	91.0	5.68
03/01/2017	COX, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.22	0.00	6.22	91.0	5.66
03/01/2017	MORGAN, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.66	0.00	6.66	91.0	6.06
03/01/2017	HOFFMAN, LANDON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	91.0	1.64
03/01/2017	KRAUS, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	91.0	3.15
03/01/2017	BLANCHARD, SARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	91.0	0.32
03/01/2017	WARSTADT, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.85	0.00	0.85	91.0	0.77
03/01/2017	WARSTADT, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.92	0.00	0.92	91.0	0.84
03/01/2017	WARSTADT, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.92	0.00	0.92	91.0	0.84
03/01/2017	COLLINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	91.0	0.94
03/01/2017	BLANCHARD, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	121.70	0.00	121.70	91.0	110.75
03/01/2017	GALLAGHER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.00	0.00	42.00	91.0	38.22
03/01/2017	MOORE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	96.88	0.00	96.88	91.0	88.16
03/01/2017	PAI, YOGISH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.96	0.00	35.96	91.0	32.72
03/01/2017	MOORE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	91.0	0.15

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	PAI, YOGISH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.10	0.00	17.10	91.0	15.56
03/01/2017	GALLAGHER, MICHAEL	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	15.46	0.00	15.46	91.0	14.07
03/01/2017	BLANCHARD, VIVIA	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.25	0.00	0.25	91.0	0.23
03/01/2017	BLANCHARD, RIKER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.28	0.00	0.28	91.0	0.25
03/01/2017	WHELDON, ALYSON	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.86	0.00	1.86	91.0	1.69
03/01/2017	BRANSON, BENJAMIN	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.30	0.00	1.30	91.0	1.18
03/01/2017	PAI, YOGISH	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	26.99	0.00	26.99	91.0	24.56
03/01/2017	BLANCHARD, MALCOLM	AMERICAN FUNDS DEVELOPING WORLD GRO	0.00	0.10	0.00	0.10	91.0	0.09
03/01/2017	ARCHER, THOMAS	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	24.59	0.00	24.59	91.0	22.38
03/01/2017	NEUHAUSER, MITCHELL	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	4.92	0.00	4.92	91.0	4.48
03/01/2017	CHANDRAMOULI, SHRUTI	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	0.85	0.00	0.85	91.0	0.77
03/01/2017	MANI, CHANDRAMOULI	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	46.81	0.00	46.81	91.0	42.60
03/01/2017	GODLESKI, AUBRIEGH	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	8.69	0.00	8.69	91.0	7.91
03/01/2017	GODLESKI, COUPER	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	3.69	0.00	3.69	91.0	3.36
03/01/2017	NEUHAUSER, JOSEPH	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	1.51	0.00	1.51	91.0	1.37
03/01/2017	CHANDRAMOULI, YASH	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	0.41	0.00	0.41	91.0	0.37
03/01/2017	KARP, ELIZABETH	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	7.61	0.00	7.61	91.0	6.93
03/01/2017	KARP, BENJAMIN	AMERICAN FUNDS GLOBAL GROWTH PF C	0.00	1.20	0.00	1.20	91.0	1.09
03/01/2017	HADAWAY, DEBORAH	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	2.25	0.00	2.25	91.0	2.05
02/28/2017	HEALEY, BRIAN	EATON VANCE NATL MUNI INCOME C	0.00	0.55	0.00	0.55	91.0	0.50
02/28/2017	HEALEY, BRIAN	EATON VANCE NATL MUNI INCOME C	0.00	0.18	0.00	0.18	91.0	0.16
02/28/2017	NEUHAUSER, MITCH	EATON VANCE SPECIAL EQUITIES C	0.00	18.08	0.00	18.08	91.0	16.45
02/28/2017	NEUHAUSER, MITCH	EATON VANCE SPECIAL EQUITIES C	0.00	6.03	0.00	6.03	91.0	5.49
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MANAGED GROWTH A	0.00	1.14	0.00	1.14	91.0	1.04
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MANAGED GROWTH C	0.00	6.27	0.00	6.27	91.0	5.71
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MANAGED GROWTH C	0.00	2.09	0.00	2.09	91.0	1.90
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MANAGED GROWTH FD 1	0.00	8.13	0.00	8.13	91.0	7.40
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD INTL EQUITY C	0.00	0.82	0.00	0.82	91.0	0.75
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD INTL EQUITY C	0.00	2.47	0.00	2.47	91.0	2.25
02/28/2017	NEUHAUSER, MITCH	EATON VANCE TAX MNGD SMALLCAP C	0.00	14.46	0.00	14.46	91.0	13.16
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD SMALLCAP C	0.00	2.25	0.00	2.25	91.0	2.05
02/28/2017	NEUHAUSER, MITCH	EATON VANCE TAX MNGD SMALLCAP C	0.00	4.82	0.00	4.82	91.0	4.39
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD SMALLCAP C	0.00	6.74	0.00	6.74	91.0	6.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/28/2017	MOSS, KAREN	EATON VANCE TAX MNGD VALUE C	0.00	3.17	0.00	3.17	91.0	2.88
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD VALUE C	0.00	6.61	0.00	6.61	91.0	6.02
02/28/2017	GODLESKI, KEVIN	EATON VANCE TAX MNGD VALUE C	0.00	2.20	0.00	2.20	91.0	2.00
02/28/2017	MOSS, KAREN	EATON VANCE TAX MNGD VALUE C	0.00	1.06	0.00	1.06	91.0	0.96
/ /	MOORE, THOMAS	FIDELITY ADV MATERIALS C	0.00	0.83	0.00	0.83	91.0	0.76
02/21/2017	MOORE, THOMAS	FIDELITY ADV MATERIALS C	250.00	2.50	0.00	2.50	91.0	2.28
/ /	MOORE, THOMAS	FIDELITY ADV MEGA CAP STOCK	0.00	1.86	0.00	1.86	91.0	1.69
02/21/2017	MOORE, THOMAS	FIDELITY ADV MEGA CAP STOCK	250.00	2.50	0.00	2.50	91.0	2.28
/ /	GALLAGHER, MICHAEL	FIDELITY EMERGING ASIA C	0.00	1.08	0.00	1.08	91.0	0.98
/ /	GALLAGHER, MICHAEL	FIDELITY ENERGY C	0.00	2.20	0.00	2.20	91.0	2.00
/ /	GALLAGHER, MICHAEL	FIDELITY SMALL CAP VALUE C	0.00	1.79	0.00	1.79	91.0	1.63
/ /	GALLAGHER, MICHAEL	FIDELITY TECHNOLOGY C	0.00	4.42	0.00	4.42	91.0	4.02
* MUTUAL FUNDS SUBTOTAL *			\$1,028.67	\$4,037.99	\$0.00	\$4,037.99		\$3,674.50
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/16/2017	PAI, YOGISH & ANITA	PAC LIFE PORTFOLIOS	0.00	10.00	0.00	10.00	91.0	9.10
02/28/2017	BLANCHARD, DAVID	PACIFIC LIFE STEP UP VA	0.00	127.93	0.00	127.93	91.0	116.42
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$137.93	\$0.00	\$137.93		\$125.52
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/22/2017	BLACK, AMELIA	PAC LIFE VUL	175.60	1.76	0.00	1.76	91.0	1.60
02/22/2017	BLACK, RICHARD	PAC LIFE VUL	235.60	2.36	0.00	2.36	91.0	2.15
02/22/2017	JARRETT, LAURIE	PAC LIFE VUL	67.50	1.35	0.00	1.35	91.0	1.23
02/24/2017	GODLESKI, KEVIN	PAC LIFE VUL	153.45	3.07	0.00	3.07	91.0	2.79
02/24/2017	GODLESKI, KEVIN	PAC LIFE VUL	14.55	0.29	0.00	0.29	91.0	0.26
02/24/2017	GODLESKI, KIRSTEN	PAC LIFE VUL	132.00	2.64	0.00	2.64	91.0	2.40
03/01/2017	HENDRICKS, WILLIAM	PAC LIFE VUL	75.00	0.75	0.00	0.75	91.0	0.68
* LIFE INSURANCE SUBTOTAL *			\$853.70	\$12.22	\$0.00	\$12.22		\$11.11
*** BROKER TRANSACTIONS TOTAL ***			\$1,882.37	\$4,188.14	\$0.00	\$4,188.14		\$3,811.13

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<u>ADJUSTMENTS</u>								
03/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					835.11
03/15/2017		*EO INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*MISC: 1/17/17 PAC LIFE VUL CONLEY	0.00					0.85
03/15/2017		*MISC: 1/17/17 PAC LIFE VUL HOFFMAN	0.00					3.09
03/15/2017		*MISC: 1/17/17 PAC LIFE VUL WARSTAD	0.00					4.15
03/15/2017		*MISC: 1/23/17 PAC LIFE VUL BLACK	0.00					1.60
03/15/2017		*MISC: 1/23/17 PAC LIFE VUL BLACK	0.00					2.15
03/15/2017		*MISC: 1/23/17 PAC LIFE VUL JARRETT	0.00					1.23
03/15/2017		*MISC: 1/24/17 PAC LIFE VUL GODLESK	0.00					0.26
03/15/2017		*MISC: 1/24/17 PAC LIFE VUL GODLESK	0.00					2.40
03/15/2017		*MISC: 2/1/17 PAC LIFE HENDRICKS	0.00					0.68
03/15/2017		*MISC: PAC LIFE VUL GODLESKI	0.00					2.79
03/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$279.31

BROKER COMMISSION TOTALS

Broker Transactions	\$3,811.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$279.31
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-311.25
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,779.19
Year-to-date Gross	\$11,104.41
Year-to-date Earnings	\$10,207.44

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