



Concorde Investment Services, LLC
COMMISSION STATEMENT
June 15, 2017

06/13/2017
 Page No. 1

STAN WEBB
 300 N. Main Street
 Suite 309
 Wichita, KS 67202

BROKER #: W121
BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
06/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
06/01/2017	MILLER, WARREN	AM FUNDS AMCAP A	0.00	20.96	0.00	20.96	92.0	19.28
06/01/2017	SCHMIDT, SYLVIA	AM FUNDS AMCAP A	0.00	44.57	0.00	44.57	92.0	41.00
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMCAP A	0.00	8.89	0.00	8.89	92.0	8.18
06/01/2017	BOWMAN, DANIEL	AM FUNDS AMCAP A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2017	WALLACE, QUENTIN	AM FUNDS AMCAP A	0.00	4.49	0.00	4.49	92.0	4.13
06/01/2017	JENKINS, MARTY	AM FUNDS AMCAP A	0.00	10.17	0.00	10.17	92.0	9.36
06/01/2017	REED, MARK	AM FUNDS AMCAP A	0.00	120.56	0.00	120.56	92.0	110.92
06/01/2017	BOWMAN, JAMES	AM FUNDS AMCAP A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	BOWMAN, ROBIN	AM FUNDS AMCAP A	0.00	0.66	0.00	0.66	92.0	0.61
06/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMCAP A	0.00	4.72	0.00	4.72	92.0	4.34
06/01/2017	STROOT, SANDRA	AM FUNDS AMCAP A	0.00	4.52	0.00	4.52	92.0	4.16
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMCAP A	0.00	7.03	0.00	7.03	92.0	6.47
06/01/2017	HAMPTON, ANNDRE	AM FUNDS AMCAP A	0.00	2.59	0.00	2.59	92.0	2.38
06/01/2017	GALLARDO, KAREN	AM FUNDS AMCAP A	0.00	8.49	0.00	8.49	92.0	7.81
05/22/2017	LACHER, KAREN	AM FUNDS AMERICAN BALANCED A	3,181.74	87.50	0.00	87.50	92.0	80.50
05/22/2017	LACHER, KAREN	AM FUNDS AMERICAN BALANCED A	10,569.34	290.66	0.00	290.66	92.0	267.41
05/31/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	50.00	1.38	0.00	1.38	92.0	1.27
06/01/2017	RACER, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	15.04	0.00	15.04	92.0	13.84
06/01/2017	RHEA, JONNIE	AM FUNDS AMERICAN BALANCED A	0.00	162.71	0.00	162.71	92.0	149.69
06/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	53.80	0.00	53.80	92.0	49.50
06/01/2017	MILLER, ELAINE	AM FUNDS AMERICAN BALANCED A	0.00	27.84	0.00	27.84	92.0	25.61
06/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN BALANCED A	0.00	32.73	0.00	32.73	92.0	30.11
06/01/2017	BOWMAN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.80	0.00	0.80	92.0	0.74
06/01/2017	DANDURAND, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	34.46	0.00	34.46	92.0	31.70

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>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	PETERSEN, RAYMOND	AM FUNDS AMERICAN BALANCED A	0.00	13.77	0.00	13.77	92.0	12.67
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	70.66	0.00	70.66	92.0	65.01
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMERICAN BALANCED A	0.00	12.73	0.00	12.73	92.0	11.71
06/01/2017	PRACHT, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	2.97	0.00	2.97	92.0	2.73
06/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	84.35	0.00	84.35	92.0	77.60
06/01/2017	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	0.00	3.32	0.00	3.32	92.0	3.05
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	7.91	0.00	7.91	92.0	7.28
06/01/2017	LAWSON, SYLVIA	AM FUNDS AMERICAN BALANCED A	0.00	11.15	0.00	11.15	92.0	10.26
06/01/2017	DELPH TRUST, NORMA	AM FUNDS AMERICAN BALANCED A	0.00	127.50	0.00	127.50	92.0	117.30
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	92.0	0.19
06/01/2017	CLEMENS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	7.07	0.00	7.07	92.0	6.50
06/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	3.74	0.00	3.74	92.0	3.44
06/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	SNELLENBERGER, ELFRIEDA	AM FUNDS AMERICAN BALANCED A	0.00	23.89	0.00	23.89	92.0	21.98
06/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	1.03	0.00	1.03	92.0	0.95
06/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	74.16	0.00	74.16	92.0	68.23
06/01/2017	HIEGER REV TRUST, STEVEN & KIM	AM FUNDS AMERICAN BALANCED A	0.00	15.26	0.00	15.26	92.0	14.04
06/01/2017	WALLACE, QUENTIN	AM FUNDS AMERICAN BALANCED A	0.00	5.29	0.00	5.29	92.0	4.87
06/01/2017	WALLACE, JOZELLE	AM FUNDS AMERICAN BALANCED A	0.00	9.09	0.00	9.09	92.0	8.36
06/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	122.09	0.00	122.09	92.0	112.32
06/01/2017	HIEGER, KIM	AM FUNDS AMERICAN BALANCED A	0.00	4.48	0.00	4.48	92.0	4.12
06/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	4.06	0.00	4.06	92.0	3.74
06/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN BALANCED A	0.00	2.88	0.00	2.88	92.0	2.65
06/01/2017	SMITH, SHARRILYN	AM FUNDS AMERICAN BALANCED A	0.00	9.93	0.00	9.93	92.0	9.14
06/01/2017	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.52	0.00	1.52	92.0	1.40
06/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	92.0	1.08
06/01/2017	GOODMAN, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	20.43	0.00	20.43	92.0	18.80
06/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.85	0.00	1.85	92.0	1.70
06/01/2017	JENKINS, MARTY	AM FUNDS AMERICAN BALANCED A	0.00	2.13	0.00	2.13	92.0	1.96
06/01/2017	HIEGER, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	11.05	0.00	11.05	92.0	10.17
06/01/2017	HEIMERMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.61	0.00	4.61	92.0	4.24

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	BROWN, MERRI	AM FUNDS AMERICAN BALANCED A	0.00	9.13	0.00	9.13	92.0	8.40
06/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN BALANCED A	0.00	3.23	0.00	3.23	92.0	2.97
06/01/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	4.32	0.00	4.32	92.0	3.97
06/01/2017	KELLEY, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	57.88	0.00	57.88	92.0	53.25
06/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	11.56	0.00	11.56	92.0	10.64
06/01/2017	NORTHROP, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	46.88	0.00	46.88	92.0	43.13
06/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	1.53	0.00	1.53	92.0	1.41
06/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	3.90	0.00	3.90	92.0	3.59
06/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS AMERICAN BALANCED A	0.00	6.70	0.00	6.70	92.0	6.16
06/01/2017	BOHANNON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	5.89	0.00	5.89	92.0	5.42
06/01/2017	CRANE, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	33.62	0.00	33.62	92.0	30.93
06/01/2017	THOMAS, ERIN	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	92.0	0.03
06/01/2017	THOMAS, IAN	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	92.0	0.03
06/01/2017	MCADAM, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	4.91	0.00	4.91	92.0	4.52
06/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	3.51	0.00	3.51	92.0	3.23
06/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	27.37	0.00	27.37	92.0	25.18
06/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	20.56	0.00	20.56	92.0	18.92
06/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMERICAN BALANCED A	0.00	5.49	0.00	5.49	92.0	5.05
06/01/2017	HAVERFIELD, KARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.22	0.00	3.22	92.0	2.96
06/01/2017	STROOT, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	5.37	0.00	5.37	92.0	4.94
06/01/2017	GOULD, HILARY	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	92.0	1.71
06/01/2017	MCLAIN, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.81	0.00	2.81	92.0	2.59
06/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	92.0	0.30
06/01/2017	NORTHROP, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	9.66	0.00	9.66	92.0	8.89
06/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	4.71	0.00	4.71	92.0	4.33
06/01/2017	SMITH, PHILLIP	AM FUNDS AMERICAN BALANCED A	0.00	9.22	0.00	9.22	92.0	8.48
06/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	30.14	0.00	30.14	92.0	27.73
06/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	33.87	0.00	33.87	92.0	31.16
06/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	29.25	0.00	29.25	92.0	26.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SANDERS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	92.0	0.11
06/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS AMERICAN BALANCED A	0.00	5.08	0.00	5.08	92.0	4.67
06/01/2017	HAMPTON, ANNDRE	AM FUNDS AMERICAN BALANCED A	0.00	10.45	0.00	10.45	92.0	9.61
06/01/2017	SPONSEL, VICKY	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	16.81	0.00	16.81	92.0	15.47
06/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	92.0	0.02
06/01/2017	WILLIAMS, JAIMIE	AM FUNDS AMERICAN BALANCED C	0.00	18.00	0.00	18.00	92.0	16.56
06/01/2017	KS/TOD	AM FUNDS AMERICAN BALANCED C	0.00	18.51	0.00	18.51	92.0	17.03
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.57	0.00	13.57	92.0	12.48
06/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.95	0.00	14.95	92.0	13.75
06/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	24.84	0.00	24.84	92.0	22.85
06/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	36.12	0.00	36.12	92.0	33.23
06/01/2017	REED, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	49.85	0.00	49.85	92.0	45.86
06/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.59	0.00	7.59	92.0	6.98
06/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.84	0.00	22.84	92.0	21.01
06/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.20	0.00	22.20	92.0	20.42
06/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.20	0.00	22.20	92.0	20.42
06/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	92.0	0.01
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	129.06	0.00	129.06	92.0	118.74
06/01/2017	THOMPSON, JESSICA	AM FUNDS AMERICAN MUTUAL A	0.00	2.78	0.00	2.78	92.0	2.56
06/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN MUTUAL A	0.00	44.23	0.00	44.23	92.0	40.69
06/01/2017	BAZIL, RALPH	AM FUNDS AMERICAN MUTUAL A	0.00	7.10	0.00	7.10	92.0	6.53
06/01/2017	BAZIL, REBECCA	AM FUNDS AMERICAN MUTUAL A	0.00	8.82	0.00	8.82	92.0	8.11
06/01/2017	SCHMIDT, MARSHALL	AM FUNDS AMERICAN MUTUAL A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2017	HOUSTON, GARRETT	AM FUNDS BALANCED PORT A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.44	0.00	9.44	92.0	8.68
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS BOND FUND OF AMERICA A	0.00	7.02	0.00	7.02	92.0	6.46
06/01/2017	KELLEY, RUTH	AM FUNDS BOND FUND OF AMERICA A	0.00	20.88	0.00	20.88	92.0	19.21
06/01/2017	HART, WALLACE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.36	0.00	2.36	92.0	2.17
06/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.90	0.00	1.90	92.0	1.75
05/22/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98
05/22/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	LACHER, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	2,545.39	70.00	0.00	70.00	92.0	64.40
05/22/2017	LACHER, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	8,455.47	232.53	0.00	232.53	92.0	213.93
05/25/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	100.00	3.75	0.00	3.75	92.0	3.45
06/01/2017	SCHMIDT, ALAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.26	0.00	9.26	92.0	8.52
06/01/2017	WERNER TRUST, WANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.98	0.00	17.98	92.0	16.54
06/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.73	0.00	10.73	92.0	9.87
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.64	0.00	10.64	92.0	9.79
06/01/2017	PRACHT, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.89	0.00	4.89	92.0	4.50
06/01/2017	LAWSON, SYLVIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.66	0.00	2.66	92.0	2.45
06/01/2017	IORIO, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2017	IORIO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	92.0	0.69
06/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.91	0.00	12.91	92.0	11.88
06/01/2017	STOCKHAM, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.56	0.00	0.56	92.0	0.52
06/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	78.94	0.00	78.94	92.0	72.62
06/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	23.61	0.00	23.61	92.0	21.72
06/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.76	0.00	0.76	92.0	0.70
06/01/2017	BELL, GRIFFIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	DUSH, THERESA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.11	0.00	9.11	92.0	8.38
06/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.93	0.00	20.93	92.0	19.26
06/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	39.11	0.00	39.11	92.0	35.98
06/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.67	0.00	12.67	92.0	11.66
06/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.56	0.00	21.56	92.0	19.84
06/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	92.0	1.32
06/01/2017	GOODMAN, KEITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.82	0.00	18.82	92.0	17.31
06/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.14	0.00	11.14	92.0	10.25
06/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.73	0.00	4.73	92.0	4.35
06/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.00	0.00	20.00	92.0	18.40
06/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.53	0.00	4.53	92.0	4.17
06/01/2017	IORIO, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.28	0.00	1.28	92.0	1.18
06/01/2017	REED, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	42.86	0.00	42.86	92.0	39.43
06/01/2017	BROWN, MERRI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.22	0.00	5.22	92.0	4.80

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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>								
06/01/2017	KELLEY, RUTH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.84	0.00	34.84	92.0	32.05
06/01/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.26	0.00	10.26	92.0	9.44
06/01/2017	KELLEY, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.60	0.00	16.60	92.0	15.27
06/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
06/01/2017	WALLACE, QUENTIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.44	0.00	2.44	92.0	2.24
06/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.88	0.00	1.88	92.0	1.73
06/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	92.0	1.81
06/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	92.0	1.19
06/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.18	0.00	9.18	92.0	8.45
06/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.12	0.00	8.12	92.0	7.47
06/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.40	0.00	20.40	92.0	18.77
06/01/2017	SCHMIDT, MARSHALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
06/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.62	0.00	5.62	92.0	5.17
06/01/2017	CRANE, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.16	0.00	14.16	92.0	13.03
06/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.68	0.00	7.68	92.0	7.07
06/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.33	0.00	12.33	92.0	11.34
06/01/2017	THOMAS, IAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.41	0.00	7.41	92.0	6.82
06/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.96	0.00	2.96	92.0	2.72
06/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	92.0	1.09
06/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.47	0.00	18.47	92.0	16.99
06/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.34	0.00	12.34	92.0	11.35
06/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.20	0.00	21.20	92.0	19.50
06/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	GOULD, HILARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.58	0.00	1.58	92.0	1.45
06/01/2017	MCLAIN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.46	0.00	2.46	92.0	2.26
06/01/2017	HOUSTON, JACOB	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.08	0.00	1.08	92.0	0.99
06/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.18	0.00	3.18	92.0	2.93
06/01/2017	SMITH, PHILLIP	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	92.0	0.81
06/01/2017	FLATTERY, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.34	0.00	15.34	92.0	14.11

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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>								
06/01/2017	OTTAWAY, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.57	0.00	8.57	92.0	7.88
06/01/2017	OTTAWAY, DANNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.91	0.00	7.91	92.0	7.28
06/01/2017	SANDERS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.14	0.00	0.14	92.0	0.13
06/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.73	0.00	4.73	92.0	4.35
06/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	92.0	0.23
06/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.79	0.00	4.79	92.0	4.41
06/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.40	0.00	1.40	92.0	1.29
06/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
06/01/2017	SPONSEL, BRETT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	0.00	0.20	92.0	0.18
06/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.19	0.00	3.19	92.0	2.93
06/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.83	0.00	7.83	92.0	7.20
06/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.11	0.00	3.11	92.0	2.86
06/01/2017	PYRON, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	76.37	0.00	76.37	92.0	70.26
06/01/2017	WILLIAMS, JAIMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	15.35	0.00	15.35	92.0	14.12
06/01/2017	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.09	0.00	12.09	92.0	11.12
06/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	NORTHROP, PATRICIA	AM FUNDS CAPITAL WORLD BOND A	0.00	4.18	0.00	4.18	92.0	3.85
06/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD BOND A	0.00	8.73	0.00	8.73	92.0	8.03
06/01/2017	NORTHROP, PATRICIA	AM FUNDS CAPITAL WORLD BOND A	0.00	1.41	0.00	1.41	92.0	1.30
06/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.82	0.00	2.82	92.0	2.59
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.01	0.00	26.01	92.0	23.93
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	ROGERS, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.93	0.00	5.93	92.0	5.46
06/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.31	0.00	9.31	92.0	8.57
06/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	53.86	0.00	53.86	92.0	49.55
06/01/2017	WALLACE, QUENTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.37	0.00	2.37	92.0	2.18
06/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.81	0.00	26.81	92.0	24.67
06/01/2017	DUSH, THERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.44	0.00	7.44	92.0	6.84
06/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	92.0	10.06
06/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.36	0.00	13.36	92.0	12.29
06/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	20.05	0.00	20.05	92.0	18.45
06/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.60	0.00	35.60	92.0	32.75
06/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.36	0.00	16.36	92.0	15.05

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	92.0	0.74
06/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	92.0	0.71
06/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.02	0.00	10.02	92.0	9.22
06/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	92.0	0.85
06/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.73	0.00	3.73	92.0	3.43
06/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.83	0.00	5.83	92.0	5.36
06/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.90	0.00	1.90	92.0	1.75
06/01/2017	REED, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.66	0.00	31.66	92.0	29.13
06/01/2017	BROWN, MERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	92.0	0.22
06/01/2017	CARPENTER JR, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	92.0	1.25
06/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	92.0	1.36
06/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.63	0.00	1.63	92.0	1.50
06/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.50	0.00	1.50	92.0	1.38
06/01/2017	JENDEL, TERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.87	0.00	0.87	92.0	0.80
06/01/2017	BAZIL, RALPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.99	0.00	2.99	92.0	2.75
06/01/2017	BAZIL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.02	0.00	2.02	92.0	1.86
06/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.77	0.00	5.77	92.0	5.31
06/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	92.0	2.28
06/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.37	0.00	5.37	92.0	4.94
06/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.19	0.00	3.19	92.0	2.93
06/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	92.0	1.14
06/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.17	0.00	2.17	92.0	2.00
06/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.08	0.00	9.08	92.0	8.35
06/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	92.0	0.28
06/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
06/01/2017	HOUSTON, GARRETT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.03	0.00	2.03	92.0	1.87
06/01/2017	THOMAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	92.0	0.21
06/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.87	0.00	2.87	92.0	2.64
06/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	92.0	0.26
06/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	92.0	2.24

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.41	0.00	0.41	92.0	0.38
06/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.31	0.00	0.31	92.0	0.29
06/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.32	0.00	1.32	92.0	1.21
05/22/2017	LACHER, KAREN	AM FUNDS EUROPACIFIC GROWTH FUND A	636.35	17.50	0.00	17.50	92.0	16.10
05/22/2017	LACHER, KAREN	AM FUNDS EUROPACIFIC GROWTH FUND A	2,113.87	58.13	0.00	58.13	92.0	53.48
06/01/2017	RACER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	92.0	0.60
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	33.20	0.00	33.20	92.0	30.54
06/01/2017	CLEMENS, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.27	0.00	3.27	92.0	3.01
06/01/2017	DUSH, THERESA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.22	0.00	10.22	92.0	9.40
06/01/2017	HOFFMAN, FRANCIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.06	0.00	8.06	92.0	7.42
06/01/2017	LANDGREN, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.85	0.00	0.85	92.0	0.78
06/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	92.0	0.63
06/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	RAYMER, DEBRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.33	0.00	2.33	92.0	2.14
06/01/2017	KOSANKE, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	92.0	0.14
06/01/2017	HIEGER, STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.48	0.00	7.48	92.0	6.88
06/01/2017	CARPENTER, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.78	0.00	0.78	92.0	0.72
06/01/2017	BAZIL, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	92.0	1.23
06/01/2017	BAZIL, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.21	0.00	1.21	92.0	1.11
06/01/2017	CRANE, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.26	0.00	3.26	92.0	3.00
05/22/2017	LACHER, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	2,545.38	70.00	0.00	70.00	92.0	64.40
05/22/2017	LACHER, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	8,455.47	232.53	0.00	232.53	92.0	213.93
05/25/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	3.75	0.00	3.75	92.0	3.45
06/01/2017	SCHMIDT, ALAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.84	0.00	11.84	92.0	10.89
06/01/2017	SCHMIDT, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	41.60	0.00	41.60	92.0	38.27
06/01/2017	DANDURAND, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.18	0.00	5.18	92.0	4.77
06/01/2017	LAWSON, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.38	0.00	3.38	92.0	3.11
06/01/2017	ROGERS, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.47	0.00	6.47	92.0	5.95
06/01/2017	STOCKHAM, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.52	0.00	0.52	92.0	0.48
06/01/2017	SPRAGUE, KRISTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	24.73	0.00	24.73	92.0	22.75
06/01/2017	DUSH, THERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.67	0.00	5.67	92.0	5.22
06/01/2017	SMITH, SHARRILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.61	0.00	13.61	92.0	12.52
06/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	92.0	1.19

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	GOODMAN, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.43	0.00	3.43	92.0	3.16
06/01/2017	REED, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	50.17	0.00	50.17	92.0	46.16
06/01/2017	BROWN, MERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.27	0.00	5.27	92.0	4.85
06/01/2017	KELLEY, LUCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.20	0.00	7.20	92.0	6.62
06/01/2017	DAVIS, ELISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	CARPENTER JR, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.60	0.00	4.60	92.0	4.23
06/01/2017	CARPENTER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.75	0.00	2.75	92.0	2.53
06/01/2017	NORTHROP, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	23.98	0.00	23.98	92.0	22.06
06/01/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.83	0.00	12.83	92.0	11.80
06/01/2017	GAUNA, DOMINIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.50	0.00	6.50	92.0	5.98
06/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.54	0.00	0.54	92.0	0.50
06/01/2017	JENDEL, TERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.13	0.00	1.13	92.0	1.04
06/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	35.31	0.00	35.31	92.0	32.49
06/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.54	0.00	12.54	92.0	11.54
06/01/2017	RACER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.99	0.00	3.99	92.0	3.67
06/01/2017	CRANE, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.86	0.00	13.86	92.0	12.75
06/01/2017	LOTT TRUST, EDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.21	0.00	8.21	92.0	7.55
06/01/2017	HOUSTON, CAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.41	0.00	17.41	92.0	16.02
06/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.51	0.00	1.51	92.0	1.39
06/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.36	0.00	7.36	92.0	6.77
06/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.92	0.00	14.92	92.0	13.73
06/01/2017	HEIMERMAN, DOYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.88	0.00	6.88	92.0	6.33
06/01/2017	HAVERFIELD, KARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.82	0.00	6.82	92.0	6.27
06/01/2017	STROOT, SANDRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.88	0.00	6.88	92.0	6.33
06/01/2017	GOULD, HILARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.37	0.00	1.37	92.0	1.26
06/01/2017	MCLAIN, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.09	0.00	4.09	92.0	3.76
06/01/2017	NORTHROP, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.39	0.00	3.39	92.0	3.12
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.79	0.00	7.79	92.0	7.17
06/01/2017	OTTAWAY, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.24	0.00	9.24	92.0	8.50
06/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.32	0.00	3.32	92.0	3.05
06/01/2017	HAMPTON, ANNDRE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.60	0.00	5.60	92.0	5.15
06/01/2017	SPONSEL, ERNEST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	0.00	1.18	92.0	1.09
06/01/2017	SPONSEL, BRETT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	92.0	0.21

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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>								
06/01/2017	KERSTING, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.93	0.00	12.93	92.0	11.90
06/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.09	0.00	9.09	92.0	8.36
06/01/2017	SCHMITT, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.02	0.00	0.02	92.0	0.02
06/01/2017	WILLIAMS, JAIME	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	15.26	0.00	15.26	92.0	14.04
06/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH AND INCOME A	0.00	4.29	0.00	4.29	92.0	3.95
06/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.31	0.00	0.31	92.0	0.29
05/22/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	92.0	1.96
05/22/2017	LACHER, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	1,272.69	35.00	0.00	35.00	92.0	32.20
05/22/2017	LACHER, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	4,227.73	116.26	0.00	116.26	92.0	106.96
06/01/2017	RACER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	92.0	1.56
06/01/2017	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.29	0.00	0.29	92.0	0.27
06/01/2017	SCHMIDT, SYLVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	49.84	0.00	49.84	92.0	45.85
06/01/2017	BOWMAN, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	92.0	0.79
06/01/2017	REED, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.26	0.00	16.26	92.0	14.96
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.38	0.00	6.38	92.0	5.87
06/01/2017	PRACHT, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.36	0.00	8.36	92.0	7.69
06/01/2017	THOMPSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.46	0.00	3.46	92.0	3.18
06/01/2017	SMITH, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2017	IORIO, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.73	0.00	4.73	92.0	4.35
06/01/2017	THOMAS, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	92.0	1.66
06/01/2017	CLEMENS, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.62	0.00	9.62	92.0	8.85
06/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.89	0.00	1.89	92.0	1.74
06/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.64	0.00	4.64	92.0	4.27
06/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	92.0	1.35
06/01/2017	HIEGER REV TRUST, STEVEN & KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.06	0.00	13.06	92.0	12.02
06/01/2017	SMITH, BAILEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	SMITH, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
06/01/2017	HIEGER, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.03	0.00	5.03	92.0	4.63
06/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	BELL, GRIFFIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	DUSH, THERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.38	0.00	4.38	92.0	4.03
06/01/2017	HOFFMAN, FRANCIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.66	0.00	15.66	92.0	14.41
06/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.46	0.00	11.46	92.0	10.54

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.56	0.00	21.56	92.0	19.84
06/01/2017	WIRTH, MARJORIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	44.34	0.00	44.34	92.0	40.79
06/01/2017	SMITH, SHARRILYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.30	0.00	14.30	92.0	13.16
06/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	0.00	1.27	92.0	1.17
06/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	92.0	0.94
06/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.98	0.00	0.98	92.0	0.90
06/01/2017	GOODMAN, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.76	0.00	5.76	92.0	5.30
06/01/2017	JENKINS, MARTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.87	0.00	4.87	92.0	4.48
06/01/2017	HIEGER, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.65	0.00	7.65	92.0	7.04
06/01/2017	HEIMERMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.73	0.00	1.73	92.0	1.59
06/01/2017	KELLEY, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.02	0.00	3.02	92.0	2.78
06/01/2017	DAVIS, ELISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	92.0	0.40
06/01/2017	CARPENTER JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	92.0	1.65
06/01/2017	CARPENTER, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	92.0	1.57
06/01/2017	ROTHS, GLEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.52	0.00	4.52	92.0	4.16
06/01/2017	GAUNA, DOMINIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.10	0.00	2.10	92.0	1.93
06/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.97	0.00	0.97	92.0	0.89
06/01/2017	BAZIL, RALPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.91	0.00	5.91	92.0	5.44
06/01/2017	BAZIL, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	92.0	3.27
06/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.73	0.00	5.73	92.0	5.27
06/01/2017	SCHMIDT, MARSHALL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.86	0.00	4.86	92.0	4.47
06/01/2017	CRANE, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.03	0.00	12.03	92.0	11.07
06/01/2017	HOUSTON, CAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.26	0.00	4.26	92.0	3.92
06/01/2017	MCADAM, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.60	0.00	5.60	92.0	5.15
06/01/2017	CROSBY, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
06/01/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.89	0.00	2.89	92.0	2.66
06/01/2017	MCLAIN, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	92.0	1.55
06/01/2017	HOUSTON, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.13	0.00	4.13	92.0	3.80
06/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	92.0	0.62
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.07	0.00	6.07	92.0	5.58
06/01/2017	WILLIAMS, JAIMIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	92.0	0.33
06/01/2017	KERSTING, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	92.0	1.34

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SCHMITT, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
06/01/2017	DUSH, THERESA	AM FUNDS GROWTH PORT A	0.00	8.77	0.00	8.77	92.0	8.07
06/01/2017	HEIMERMAN, DOYLE	AM FUNDS GROWTH PORT A	0.00	4.57	0.00	4.57	92.0	4.20
06/01/2017	HAVERFIELD, KARLA	AM FUNDS GROWTH PORT A	0.00	4.55	0.00	4.55	92.0	4.19
06/01/2017	STROOT, SANDRA	AM FUNDS GROWTH PORT A	0.00	4.50	0.00	4.50	92.0	4.14
05/22/2017	HILGER, GERALD	AM FUNDS ICA A	100.00	4.25	0.00	4.25	92.0	3.91
06/01/2017	RACER, WILLIAM	AM FUNDS ICA A	0.00	3.85	0.00	3.85	92.0	3.54
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS ICA A	0.00	139.95	0.00	139.95	92.0	128.75
06/01/2017	SCHMIDT, ALAN	AM FUNDS ICA A	0.00	6.10	0.00	6.10	92.0	5.61
06/01/2017	CLEMENS, SUSAN	AM FUNDS ICA A	0.00	16.10	0.00	16.10	92.0	14.81
06/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS ICA A	0.00	28.60	0.00	28.60	92.0	26.31
06/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	25.78	0.00	25.78	92.0	23.72
06/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	26.92	0.00	26.92	92.0	24.77
06/01/2017	WIRTH, MARJORIE	AM FUNDS ICA A	0.00	81.78	0.00	81.78	92.0	75.24
06/01/2017	SMITH, SHARRILYN	AM FUNDS ICA A	0.00	11.47	0.00	11.47	92.0	10.55
06/01/2017	HIEGER, STEVEN	AM FUNDS ICA A	0.00	10.65	0.00	10.65	92.0	9.80
06/01/2017	HEIMERMAN, JANET	AM FUNDS ICA A	0.00	7.92	0.00	7.92	92.0	7.29
06/01/2017	IORIO, ISABELLA	AM FUNDS ICA A	0.00	1.62	0.00	1.62	92.0	1.49
06/01/2017	REED, MARK	AM FUNDS ICA A	0.00	10.48	0.00	10.48	92.0	9.64
06/01/2017	BROWN, MERRI	AM FUNDS ICA A	0.00	6.58	0.00	6.58	92.0	6.05
06/01/2017	KELLEY, RUTH	AM FUNDS ICA A	0.00	71.99	0.00	71.99	92.0	66.23
06/01/2017	GALLARDO, KAREN	AM FUNDS ICA A	0.00	8.02	0.00	8.02	92.0	7.38
06/01/2017	BOHANNON, RONALD	AM FUNDS ICA A	0.00	3.62	0.00	3.62	92.0	3.33
06/01/2017	MCADAM, DANIEL	AM FUNDS ICA A	0.00	4.52	0.00	4.52	92.0	4.16
06/01/2017	MCADAM, JEANNETTE	AM FUNDS ICA A	0.00	10.73	0.00	10.73	92.0	9.87
06/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	0.68	0.00	0.68	92.0	0.63
06/01/2017	HEIMERMAN, DOYLE	AM FUNDS ICA A	0.00	7.61	0.00	7.61	92.0	7.00
06/01/2017	HAVERFIELD, KARLA	AM FUNDS ICA A	0.00	3.57	0.00	3.57	92.0	3.28
06/01/2017	STROOT, SANDRA	AM FUNDS ICA A	0.00	7.42	0.00	7.42	92.0	6.83
06/01/2017	LAWSON, THOMAS	AM FUNDS ICA A	0.00	0.62	0.00	0.62	92.0	0.57
06/01/2017	HILGER, GERALD	AM FUNDS ICA A	0.00	4.40	0.00	4.40	92.0	4.05
06/01/2017	MCLAIN, MICHAEL	AM FUNDS ICA A	0.00	3.99	0.00	3.99	92.0	3.67
06/01/2017	SMITH, PHILLIP	AM FUNDS ICA A	0.00	8.94	0.00	8.94	92.0	8.22

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	50.00	2.13	0.00	2.13	92.0	1.96
06/01/2017	RAYMER, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	46.42	0.00	46.42	92.0	42.71
06/01/2017	SALISBURY, CLEOTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	38.62	0.00	38.62	92.0	35.53
06/01/2017	WERNER TRUST, WANDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.25	0.00	24.25	92.0	22.31
06/01/2017	SPRAGUE, KRISTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	86.31	0.00	86.31	92.0	79.41
06/01/2017	HIEGER, KIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.45	0.00	3.45	92.0	3.17
06/01/2017	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.74	0.00	0.74	92.0	0.68
06/01/2017	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.52	0.00	3.52	92.0	3.24
06/01/2017	MCADAM, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.75	0.00	9.75	92.0	8.97
06/01/2017	MULLINIX, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.16	0.00	19.16	92.0	17.63
06/01/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.53	0.00	2.53	92.0	2.33
06/01/2017	HOUSTON, GARRETT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.20	0.00	1.20	92.0	1.10
06/01/2017	REED, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	24.88	0.00	24.88	92.0	22.89
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW ECONOMY A	0.00	37.47	0.00	37.47	92.0	34.47
06/01/2017	GOODMAN, KEITH	AM FUNDS NEW ECONOMY A	0.00	8.55	0.00	8.55	92.0	7.87
06/01/2017	SCHMIDT, SYLVIA	AM FUNDS NEW PERSPECTIVE A	0.00	38.25	0.00	38.25	92.0	35.19
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	38.77	0.00	38.77	92.0	35.67
06/01/2017	PRACHT, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.76	0.00	1.76	92.0	1.62
06/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS NEW PERSPECTIVE A	0.00	17.31	0.00	17.31	92.0	15.93
06/01/2017	HIEGER, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	1.99	0.00	1.99	92.0	1.83
06/01/2017	HOFFMAN, VERLA	AM FUNDS NEW PERSPECTIVE A	0.00	11.95	0.00	11.95	92.0	10.99
06/01/2017	SMITH, SHARRILYN	AM FUNDS NEW PERSPECTIVE A	0.00	8.99	0.00	8.99	92.0	8.27
06/01/2017	LANDGREN, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	92.0	0.51
06/01/2017	BUCKO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	5.71	0.00	5.71	92.0	5.25
06/01/2017	REED, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	119.95	0.00	119.95	92.0	110.35
06/01/2017	BUCKO, ETHAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.23	0.00	2.23	92.0	2.05
05/22/2017	SCHMIDT, MARSHALL	AM FUNDS NEW WORLD A	30.00	1.50	0.00	1.50	92.0	1.38
06/01/2017	THOMAS, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
06/01/2017	CLEMENS, SUSAN	AM FUNDS NEW WORLD A	0.00	4.09	0.00	4.09	92.0	3.76
06/01/2017	BELL, BRAYDEN	AM FUNDS NEW WORLD A	0.00	0.47	0.00	0.47	92.0	0.43
06/01/2017	BELL, GRIFFIN	AM FUNDS NEW WORLD A	0.00	0.44	0.00	0.44	92.0	0.40
06/01/2017	DUSH, THERESA	AM FUNDS NEW WORLD A	0.00	3.47	0.00	3.47	92.0	3.19

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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>								
06/01/2017	GOODMAN, KEITH	AM FUNDS NEW WORLD A	0.00	5.30	0.00	5.30	92.0	4.88
06/01/2017	NORTHROP, PATRICIA	AM FUNDS NEW WORLD A	0.00	3.07	0.00	3.07	92.0	2.82
06/01/2017	SCHMIDT, MARSHALL	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	92.0	0.73
06/01/2017	LOTT TRUST, EDITH	AM FUNDS NEW WORLD A	0.00	3.44	0.00	3.44	92.0	3.16
06/01/2017	MULLINIX, JANICE	AM FUNDS NEW WORLD A	0.00	3.38	0.00	3.38	92.0	3.11
06/01/2017	NORTHROP, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS NEW WORLD A	0.00	2.67	0.00	2.67	92.0	2.46
06/01/2017	RACER, WILLIAM	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.13	0.00	1.13	92.0	1.04
05/22/2017	LACHER, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	2,545.38	70.00	0.00	70.00	92.0	64.40
05/22/2017	LACHER, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	8,455.46	232.53	0.00	232.53	92.0	213.93
05/25/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	3.75	0.00	3.75	92.0	3.45
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	70.03	0.00	70.03	92.0	64.43
06/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	158.39	0.00	158.39	92.0	145.72
06/01/2017	SCHMIDT, ALAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.18	0.00	53.18	92.0	48.93
06/01/2017	REED, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	97.66	0.00	97.66	92.0	89.85
06/01/2017	BOWMAN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.84	0.00	0.84	92.0	0.77
06/01/2017	DANDURAND, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.84	0.00	16.84	92.0	15.49
06/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.50	0.00	20.50	92.0	18.86
06/01/2017	SPRAGUE, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.54	0.00	53.54	92.0	49.26
06/01/2017	PRACHT, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.27	0.00	14.27	92.0	13.13
06/01/2017	PRACHT, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.01	0.00	6.01	92.0	5.53
06/01/2017	THOMPSON, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.94	0.00	2.94	92.0	2.70
06/01/2017	BELL, CONNOR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.73	0.00	12.73	92.0	11.71
06/01/2017	SMITH, KATELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	92.0	0.91
06/01/2017	IORIO, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.99	0.00	3.99	92.0	3.67
06/01/2017	IORIO, NICHOLAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.98	0.00	2.98	92.0	2.74
06/01/2017	ROGERS, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.43	0.00	25.43	92.0	23.40
06/01/2017	CLEMENS, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.24	0.00	20.24	92.0	18.62
06/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.00	0.00	2.00	92.0	1.84
06/01/2017	STOCKHAM, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.15	0.00	5.15	92.0	4.74
06/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.10	0.00	1.10	92.0	1.01
06/01/2017	MCGUIRE, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.39	0.00	10.39	92.0	9.56
06/01/2017	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.69	0.00	7.69	92.0	7.07

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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>								
06/01/2017	HIEGER REV TRUST, STEVEN & KIMAM FUNDS	WASHINGTON MUTUAL INVESTOR	0.00	17.86	0.00	17.86	92.0	16.43
06/01/2017	HIEGER, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.66	0.00	3.66	92.0	3.37
06/01/2017	MCLEAN, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.34	0.00	0.34	92.0	0.31
06/01/2017	MCLEAN, GAVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	92.0	1.32
06/01/2017	DUSH, THERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.77	0.00	7.77	92.0	7.15
06/01/2017	SMITH, SHARRILYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.90	0.00	4.90	92.0	4.51
06/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	92.0	0.97
06/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.42	0.00	1.42	92.0	1.31
06/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.06	0.00	1.06	92.0	0.98
06/01/2017	JENKINS, MARTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.86	0.00	5.86	92.0	5.39
06/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.14	0.00	35.14	92.0	32.33
06/01/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.42	0.00	11.42	92.0	10.51
06/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	92.0	0.86
06/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.01	0.00	11.01	92.0	10.13
06/01/2017	CROSBY, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.53	0.00	0.53	92.0	0.49
06/01/2017	GOULD, HILARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.35	0.00	1.35	92.0	1.24
06/01/2017	WILLIAMS, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.73	0.00	3.73	92.0	3.43
06/01/2017	SMITH, PHILLIP	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.87	0.00	8.87	92.0	8.16
06/01/2017	FLATTERY, VICKI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.98	0.00	14.98	92.0	13.78
06/01/2017	OTTAWAY, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.86	0.00	17.86	92.0	16.43
06/01/2017	OTTAWAY, DANNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.98	0.00	10.98	92.0	10.10
06/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.26	0.00	4.26	92.0	3.92
06/01/2017	SPONSEL, ERNEST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	92.0	1.22
06/01/2017	SPONSEL, VICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	92.0	0.60
/ /	RAYMER, CHRISTOPHER	FIDELITY ADV HEALTH CARE T	0.00	1.42	0.00	1.42	92.0	1.31
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV HEALTH CARE T	0.00	9.47	0.00	9.47	92.0	8.71
/ /	EVERETT, TRAVIS	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.80	0.00	1.80	92.0	1.66
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	2.84	0.00	2.84	92.0	2.61
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	1.77	0.00	1.77	92.0	1.63
/ /	LOTT TRUST, EDITH	FIDELITY ADV OVERSEAS	0.00	2.53	0.00	2.53	92.0	2.33
/ /	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	0.00	2.07	0.00	2.07	92.0	1.90
06/01/2017	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	100.00	2.75	0.00	2.75	92.0	2.53
/ /	EVERETT, TRAVIS	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.82	0.00	1.82	92.0	1.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV STRATEGIC INCOME	0.00	3.69	0.00	3.69	92.0	3.39
/ /	KENNEDY, ROBERT	FIDELITY ADV VALUE STRATEGIES A	0.00	8.12	0.00	8.12	92.0	7.47
/ /	RIEMANN TRUST, ARVELLA	FIDELITY ADVISOR VALUE	0.00	9.13	0.00	9.13	92.0	8.40
/ /	RIEMANN TRUST, ARVELLA	FIDELITY BALANCED T	0.00	9.20	0.00	9.20	92.0	8.46
/ /	CROSS TRUST, ALLEN & CHARLA	FIDELITY BALANCED T	0.00	9.93	0.00	9.93	92.0	9.14
/ /	RIEMANN TRUST, ARVELLA	FIDELITY DIV GROWTH T	0.00	13.47	0.00	13.47	92.0	12.39
/ /	CHRISTIAN TOD, ROBERT	FIDELITY DIV GROWTH T	0.00	9.59	0.00	9.59	92.0	8.82
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED INTL A	0.00	0.54	0.00	0.54	92.0	0.50
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED STOCK A	0.00	1.58	0.00	1.58	92.0	1.45
/ /	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	0.00	2.11	0.00	2.11	92.0	1.94
/ /	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	0.00	3.83	0.00	3.83	92.0	3.52
06/01/2017	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	100.00	2.75	0.00	2.75	92.0	2.53
/ /	KENNEDY, ROBERT	FIDELITY EMERGING MARKET A	0.00	0.69	0.00	0.69	92.0	0.63
/ /	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	0.00	0.39	0.00	0.39	92.0	0.36
/ /	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	0.00	3.06	0.00	3.06	92.0	2.82
06/01/2017	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	100.00	2.75	0.00	2.75	92.0	2.53
/ /	RANCILIO, KENNETH	FIDELITY EQUITY GROWTH A	0.00	0.80	0.00	0.80	92.0	0.74
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	8.03	0.00	8.03	92.0	7.39
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	5.39	0.00	5.39	92.0	4.96
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY GROWTH T	0.00	25.70	0.00	25.70	92.0	23.64
/ /	HAYES, BEN	FIDELITY EQUITY GROWTH T	0.00	29.02	0.00	29.02	92.0	26.70
/ /	HEARD, DAVID	FIDELITY EQUITY GROWTH T	0.00	0.95	0.00	0.95	92.0	0.87
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY GROWTH T	0.00	21.84	0.00	21.84	92.0	20.09
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	8.07	0.00	8.07	92.0	7.42
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	8.10	0.00	8.10	92.0	7.45
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY INCOME	0.00	30.77	0.00	30.77	92.0	28.31
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY INCOME	0.00	35.51	0.00	35.51	92.0	32.67
/ /	HAYES, MARTHA	FIDELITY EQUITY INCOME A	0.00	0.51	0.00	0.51	92.0	0.47
/ /	HAYES, BEN	FIDELITY EQUITY INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	0.65	0.00	0.65	92.0	0.60
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	3.01	0.00	3.01	92.0	2.77
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	3.11	0.00	3.11	92.0	2.86
/ /	LOTT TRUST, EDITH	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	0.79	0.00	0.79	92.0	0.73

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	3.21	0.00	3.21	92.0	2.95
/ /	CHRISTIAN TOD, ROBERT	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	4.91	0.00	4.91	92.0	4.52
/ /	KENNEDY, ROBERT	FIDELITY GROWTH & INCOME A	0.00	3.59	0.00	3.59	92.0	3.30
/ /	EVERETT, TRAVIS	FIDELITY GROWTH & INCOME A	0.00	1.58	0.00	1.58	92.0	1.45
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
/ /	KENNEDY, ROBERT	FIDELITY HIGH INCOME ADVANTAGE A	0.00	0.99	0.00	0.99	92.0	0.91
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME ADVANTAGE A	0.00	1.85	0.00	1.85	92.0	1.70
/ /	RIEMANN TRUST, ARVELLA	FIDELITY HIGH INCOME T	0.00	3.52	0.00	3.52	92.0	3.24
/ /	LOTT TRUST, EDITH	FIDELITY HIGH INCOME T	0.00	2.99	0.00	2.99	92.0	2.75
/ /	RIEMANN TRUST, ARVELLA	FIDELITY MIDCAP T	0.00	4.81	0.00	4.81	92.0	4.43
/ /	RAYMER, CHRISTOPHER	FIDELITY MIDCAP T	0.00	1.20	0.00	1.20	92.0	1.10
/ /	EVERETT, TRAVIS	FIDELITY TECHNOLOGY A	0.00	0.54	0.00	0.54	92.0	0.50
/ /	HAYES, BEN	FIDELITY TECHNOLOGY T	0.00	1.47	0.00	1.47	92.0	1.35
/ /	CHRISTIAN TOD, ROBERT	FIDELITY TECHNOLOGY T	0.00	5.49	0.00	5.49	92.0	5.05
05/22/2017	THOMAS, DAVID	FT FOUNDING FUNDS ALLOC A	150.00	7.50	0.00	7.50	92.0	6.90
/ /	RANCILIO, KENNETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	4.33	0.00	4.33	92.0	3.98
/ /	FAIRLEY, MIKE	GUGGENHEIM TOTAL RETURN BOND - A	0.00	4.00	0.00	4.00	92.0	3.68
/ /	WALMANN, JEFFREY	GUGGENHEIM US LONG SHORT MOMENTUM A	0.00	0.51	0.00	0.51	92.0	0.47
05/31/2017	NELSON, ARIKA	INVESCO VALUE OPP A	200.00	6.00	0.00	6.00	92.0	5.52
05/12/2017	MULLINIX, JANICE	LORD ABBETT AFFILIATED A	0.00	67.13	0.00	67.13	92.0	61.76
06/01/2017	NYAGAH, NICHOLAS	MAINSTAY TAX FREE BOND FUND C	50.00	0.50	0.00	0.50	92.0	0.46
/ /	FRANZ, PJ	RYDEX ALPHA OPPORTUNITY A	0.00	0.51	0.00	0.51	92.0	0.47
/ /	THOMAS, MARY	RYDEX GUGG COMMODITIES STRATEGY A	0.00	0.20	0.00	0.20	92.0	0.18
/ /	LAWRENCE POLICE	RYDEX GUGG INVESTMENT GRADE BOND A	0.00	5.49	0.00	5.49	92.0	5.05
/ /	RANCILIO, KENNETH	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	1.23	0.00	1.23	92.0	1.13
/ /	THOMAS, MARY	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	0.12	0.00	0.12	92.0	0.11
/ /	RANCILIO, KENNETH	RYDEX GUGG S&P 500 PURE GROWTH A	0.00	2.79	0.00	2.79	92.0	2.57
/ /	LAWRENCE POLICE	RYDEX GUGG STYLEPLUS LARGE CORE A	0.00	8.59	0.00	8.59	92.0	7.90
/ /	ROGERS, D	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	22.62	0.00	22.62	92.0	20.81
/ /	WALMANN, JEFFREY	RYDEX MULTI HEDGE STRATEGIES A	0.00	0.43	0.00	0.43	92.0	0.40
06/09/2017	ERKER REV TRUST, LAWRENCE &	SUNAMERICA SENIOR FLOATING RATE CL	0.00	41.13	0.00	41.13	92.0	37.84
* MUTUAL FUNDS SUBTOTAL *			\$56,434.27	\$8,051.07	\$0.00	\$8,051.07		\$7,407.01

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
06/02/2017	ERKER, LAWRENCE	AM GEN POLARIS FLEX PYMT DEF ANNUIT	63,279.59	63.28	0.00	63.28	92.0	58.22
05/25/2017	BAZIL, RALPH	AM GEN POLARIS PLATINUM III	111,899.52	69.94	0.00	69.94	92.0	64.34
05/31/2017	SPRAGUE, KRISTY	JNL ELITE ACCESS	29,940.94	6.24	0.00	6.24	92.0	5.74
05/31/2017	BAZIL, RALPH	JNL ELITE ACCESS	54,878.39	11.43	0.00	11.43	92.0	10.52
05/31/2017	CLEARY, MICHAEL	JNL ELITE ACCESS	61,050.50	12.72	0.00	12.72	92.0	11.70
05/31/2017	ARVANITIS, MICHELLE	JNL PERSPECTIVE II 05/05	25,211.67	21.01	0.00	21.01	92.0	19.33
05/31/2017	STOCKHAM, THOMAS	JNL PERSPECTIVE II 05/05	23,237.29	9.68	0.00	9.68	92.0	8.91
05/31/2017	KELLEY, JAMES	JNL PERSPECTIVE II 05/05	193,457.08	80.61	0.00	80.61	92.0	74.16
05/31/2017	CARPENTER JR, ROBERT	JNL PERSPECTIVE II 05/05	38,836.77	16.18	0.00	16.18	92.0	14.89
05/31/2017	HOFFMAN, FRANCIS	JNL PERSPECTIVE II 05/05	125,051.99	52.11	0.00	52.11	92.0	47.94
05/31/2017	EVERETT, TRAVIS	JNL PERSPECTIVE II 05/05	100,442.39	41.85	0.00	41.85	92.0	38.50
05/31/2017	BRIMER JR, ALBERT	JNL PERSPECTIVE II 05/05	71,552.27	29.81	0.00	29.81	92.0	27.43
05/31/2017	GREENING, CHRISTOPHER	JNL PERSPECTIVE II 05/05	52,384.96	21.83	0.00	21.83	92.0	20.08
05/31/2017	RHEA, JONNIE	JNL PERSPECTIVE II 05/05	76,989.81	32.08	0.00	32.08	92.0	29.51
05/31/2017	PRACHT, MARK	JNL PERSPECTIVE II 05/05	115,948.51	48.31	0.00	48.31	92.0	44.45
05/31/2017	ENGEL, CALVIN	JNL PERSPECTIVE II 05/05	153,731.33	64.05	0.00	64.05	92.0	58.93
05/31/2017	HESSE, RICHARD	JNL PERSPECTIVE II 05/05	45,671.59	19.03	0.00	19.03	92.0	17.51
05/31/2017	BROWN, MARY	JNL PERSPECTIVE L	18,097.12	19.61	0.00	19.61	92.0	18.04
05/31/2017	CRANE, BEVERLY	JNL PERSPECTIVE L	151,362.31	163.98	0.00	163.98	92.0	150.86
05/31/2017	DANDURAND, BEVERLY	JNL PERSPECTIVE L	154,041.66	166.88	0.00	166.88	92.0	153.53
05/31/2017	ROBINSON, DENNIS	JOHN HANCOCK VANTAGE	70,231.55	14.63	0.00	14.63	92.0	13.46
05/31/2017	KENNEDY, ROBERT	JOHN HANCOCK VENTURE	33,461.94	20.91	0.00	20.91	92.0	19.24
05/31/2017	HEARD, DAVID	JOHN HANCOCK VENTURE	13,834.17	8.65	0.00	8.65	92.0	7.96
05/31/2017	HEIMERMAN, JANET	JOHN HANCOCK VENTURE 2006	38,896.84	8.10	0.00	8.10	92.0	7.45
05/31/2017	ROBINSON, DENNIS	JOHN HANCOCK VENTURE III	116,982.39	97.49	0.00	97.49	92.0	89.69
05/30/2017	ROBINSON, VIRGINIA	SBL ADVISOR PROGRAM	60,230.48	12.55	0.00	12.55	92.0	11.55
05/30/2017	CRANE, JEANNE	SBL ADVISOR PROGRAM	251.60	0.17	0.00	0.17	92.0	0.16
05/30/2017	BROWN, MARSHALL	SBL ADVISOR PROGRAM	5,341.00	3.56	0.00	3.56	92.0	3.28
05/30/2017	BLUMENTHAL, JAY	SBL ADVISOR PROGRAM	42,283.64	28.19	0.00	28.19	92.0	25.93
05/30/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,374.00	13.58	0.00	13.58	92.0	12.49
05/30/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,640.87	4.30	0.00	4.30	92.0	3.96
05/30/2017	PRATT, DAN	SBL ADVISOR PROGRAM	72,280.41	48.20	0.00	48.20	92.0	44.34
05/30/2017	PRATT, DAN	SBL ADVISOR PROGRAM	9,549.24	6.37	0.00	6.37	92.0	5.86

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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 ANNUITIES</u>								
05/30/2017	WILSON, MICHAEL	SBL ADVISOR PROGRAM	13,530.58	2.82	0.00	2.82	92.0	2.59
05/30/2017	SCOTT, MELANIE	SBL ADVISOR PROGRAM	36,663.38	24.44	0.00	24.44	92.0	22.48
05/30/2017	KIMBROUGH, MICHAEL	SBL ADVISOR PROGRAM	25,376.94	16.92	0.00	16.92	92.0	15.57
05/30/2017	GAMMON, RICHARD	SBL ADVISOR PROGRAM	7,296.00	4.86	0.00	4.86	92.0	4.47
05/30/2017	SPARTAN, STEPHEN	SBL ADVISOR PROGRAM	17,166.00	11.44	0.00	11.44	92.0	10.52
05/30/2017	HUGGINS, LINDA	SBL ADVISOR PROGRAM	6,282.00	4.19	0.00	4.19	92.0	3.85
05/30/2017	GREENFIELD, CHARLES	SBL ADVISOR PROGRAM	42.00	0.03	0.00	0.03	92.0	0.03
05/30/2017	CHENNAULT, WILLIAM	SBL ADVISOR PROGRAM	11,663.83	7.78	0.00	7.78	92.0	7.16
05/30/2017	SCHILLING, BARBARA	SBL ADVISOR PROGRAM	12,618.00	8.41	0.00	8.41	92.0	7.74
05/30/2017	SMITH, MAURICE	SBL ADVISOR PROGRAM	64.37	0.04	0.00	0.04	92.0	0.04
05/30/2017	HAYNES, VICKIE	SBL ADVISOR PROGRAM	10,994.00	7.33	0.00	7.33	92.0	6.74
05/30/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	34,774.78	23.18	0.00	23.18	92.0	21.33
05/30/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	7,917.60	5.28	0.00	5.28	92.0	4.86
05/30/2017	LEIGHTON, CAROL	SBL ADVISOR PROGRAM	12,934.45	8.60	0.00	8.60	92.0	7.91
05/30/2017	NOVAK, JAY	SBL ADVISOR PROGRAM	42,100.56	28.07	0.00	28.07	92.0	25.82
05/30/2017	LAHMANN, CYNTHIA	SBL ADVISOR PROGRAM	51,893.45	34.60	0.00	34.60	92.0	31.83
05/30/2017	WOLF, LORRAINE	SBL ADVISOR PROGRAM	4,761.75	3.17	0.00	3.17	92.0	2.92
05/30/2017	HILL, MICHAEL	SBL ADVISOR PROGRAM	14,125.86	9.42	0.00	9.42	92.0	8.67
05/30/2017	MOREHOUSE, MARIA	SBL ADVISOR PROGRAM	5,247.64	3.50	0.00	3.50	92.0	3.22
05/30/2017	LAHMANN, JAMES	SBL ADVISOR PROGRAM	40,397.00	33.66	0.00	33.66	92.0	30.97
05/30/2017	NEFF, SHERRILL	SBL ADVISOR PROGRAM	35,744.12	23.83	0.00	23.83	92.0	21.92
05/30/2017	NEFF, SHERRILL	SBL ADVISOR PROGRAM	23,930.00	15.95	0.00	15.95	92.0	14.67
05/30/2017	CHASTAIN, ANDREA	SBL ADVISOR PROGRAM	53,811.95	35.87	0.00	35.87	92.0	33.00
05/30/2017	JOHNSON, JUDY	SBL ADVISOR PROGRAM	56,287.85	37.53	0.00	37.53	92.0	34.53
05/30/2017	LEONARD, ROBERT	SBL ADVISOR PROGRAM	6,168.00	4.11	0.00	4.11	92.0	3.78
05/30/2017	DARR, YVONNE	SBL ADVISOR PROGRAM	24,479.94	16.32	0.00	16.32	92.0	15.01
05/30/2017	TUNG, CHAN	SBL ADVISOR PROGRAM	15,805.00	10.54	0.00	10.54	92.0	9.70
05/30/2017	COOPER, KATHERINE	SBL ADVISOR PROGRAM	7,357.00	4.90	0.00	4.90	92.0	4.51
05/30/2017	DAVIS, JOANNE	SBL ADVISOR PROGRAM	8,290.00	5.53	0.00	5.53	92.0	5.09
05/30/2017	YEAZEL, JOHN	SBL ADVISOR PROGRAM	56,107.76	37.41	0.00	37.41	92.0	34.42
05/30/2017	SAUNDERS, TONI	SBL ADVISOR PROGRAM	2,926.00	1.95	0.00	1.95	92.0	1.79
05/30/2017	POWELL, MATTHEW	SBL ADVISOR PROGRAM	30,552.43	20.37	0.00	20.37	92.0	18.74
05/30/2017	MCDOWELL, DENISE	SBL ADVISOR PROGRAM	34,732.46	23.15	0.00	23.15	92.0	21.30

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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 ANNUITIES</u>								
05/30/2017	SUTTON, LINDA	SBL ADVISOR PROGRAM	2,432.68	1.62	0.00	1.62	92.0	1.49
05/30/2017	MCADAM, DANIEL	SBL SECUREDESIGNS VA	93,479.31	19.43	0.00	19.43	92.0	17.88
05/30/2017	RHEA, JONNIE	SBL SECUREDESIGNS VA	95,858.63	19.95	0.00	19.95	92.0	18.35
05/30/2017	DUFFENDACK, PAULA	SBL SECUREDESIGNS VA	23,075.75	8.66	0.00	8.66	92.0	7.97
05/30/2017	BENNETT, CARA	SBL SECUREDESIGNS VA	11,027.47	2.30	0.00	2.30	92.0	2.12
06/02/2017	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
06/02/2017	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
05/03/2017	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	1,763.64	1.47	0.00	1.47	92.0	1.35
05/04/2017	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	6,378.06	5.32	0.00	5.32	92.0	4.89
05/24/2017	HOSS, JODENE	TRANSAMERICA PRINCIPIUM	260,797.58	108.67	0.00	108.67	92.0	99.98
* VARIABLE ANNUITIES SUBTOTAL *			\$3,378,469.64	\$1,869.45	\$0.00	\$1,869.45		\$1,719.91
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/08/2017	BROWN, LARRY	FIDELITY TRAILS	0.00	0.16	0.00	0.16	92.0	0.15
05/09/2017	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.97	0.00	3.97	92.0	3.65
05/09/2017	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.49	0.00	2.49	92.0	2.29
05/09/2017	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.28	0.00	0.28	92.0	0.26
05/09/2017	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.44	0.00	0.44	92.0	0.40
05/17/2017	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	6.33	0.00	6.33	92.0	5.82
05/17/2017	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.12	0.00	2.12	92.0	1.95
05/15/2017	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.23	0.00	4.23	92.0	3.89
05/15/2017	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.18	0.00	4.18	92.0	3.85
05/15/2017	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.27	0.00	5.27	92.0	4.85
05/15/2017	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.66	0.00	1.66	92.0	1.53
05/15/2017	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
05/15/2017	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.47	0.00	3.47	92.0	3.19
05/15/2017	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.03	0.00	2.03	92.0	1.87
05/15/2017	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.23	0.00	3.23	92.0	2.97
05/15/2017	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.95	0.00	7.95	92.0	7.31
05/15/2017	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.53	0.00	3.53	92.0	3.25
05/15/2017	KONECNY, MARK	AM FUNDS ICA A	0.00	5.82	0.00	5.82	92.0	5.35
05/15/2017	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.77	0.00	0.77	92.0	0.71
05/15/2017	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.57	0.00	0.57	92.0	0.52
05/15/2017	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.91	0.00	6.91	92.0	6.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.71	0.00	4.71	92.0	4.33
05/15/2017	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.47	0.00	5.47	92.0	5.03
05/22/2017	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	0.65	0.00	0.65	92.0	0.60
05/18/2017	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	12.50	0.00	12.50	92.0	11.50
05/11/2017	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
05/11/2017	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.99	0.00	4.99	92.0	4.59
05/11/2017	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.65	0.00	0.65	92.0	0.60
05/11/2017	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.32	0.00	4.32	92.0	3.97
05/11/2017	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	0.86	0.00	0.86	92.0	0.79
05/17/2017	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	0.73	0.00	0.73	92.0	0.67
05/17/2017	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	23.40	0.00	23.40	92.0	21.53
05/22/2017	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.23	0.00	2.23	92.0	2.05
05/12/2017	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.46	0.00	0.46	92.0	0.42
05/12/2017	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	1.12	0.00	1.12	92.0	1.03
05/22/2017	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.25	0.00	6.25	92.0	5.75
05/16/2017	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.00	0.00	1.00	92.0	0.92
05/16/2017	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.20	0.00	1.20	92.0	1.10
05/11/2017	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.66	0.00	5.66	92.0	5.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$142.38	\$0.00	\$142.38		\$130.97
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
05/22/2017	SCHMIDT, SYLVIA	ADV CENTURY	0.00	12.00	0.00	12.00	92.0	11.04
05/22/2017	SCHMITT, SUSAN	ADV CENTURY	0.00	8.00	0.00	8.00	92.0	7.36
06/02/2017	SCHMIDT, ALAN	ADV CENTURY	0.00	7.40	0.00	7.40	92.0	6.81
06/02/2017	SCHMIDT, SYLVIA	ADV CENTURY	0.00	7.99	0.00	7.99	92.0	7.35
06/02/2017	SCHMITT, SUSAN	ADV CENTURY	0.00	5.28	0.00	5.28	92.0	4.86
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$40.67	\$0.00	\$40.67		\$37.42
*** BROKER TRANSACTIONS TOTAL ***			\$3,434,903.91	\$10,103.57	\$0.00	\$10,103.57		\$9,295.31

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<u>ADJUSTMENTS</u>								
06/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
06/15/2017		*FINRA: CE TRACKED WEB FEE	0.00					-55.00
06/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-20.00
06/15/2017		*TECH: ADMIN: WILLIAMSON	0.00					-100.00
06/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-750.00

BROKER COMMISSION TOTALS

Broker Transactions	\$9,295.31
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-750.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$8,545.31
Year-to-date Gross	\$42,238.90
Year-to-date Earnings	\$38,651.11

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