



Concorde Investment Services, LLC

09/28/2017
Page No. 1

COMMISSION STATEMENT **September 30, 2017**

KEITH LAYMAN
4321 Flagstaff

BROKER #: L128
BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: INTERVAL FUNDS

| | | | | | | | | |
|-----------------------------|-------------------------|-----------------------------------|---------------|-----------------|---------------|-----------------|------|-----------------|
| 09/13/2017 | DERBYSHIRE TRUST, KAREN | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 23.19 | 0.00 | 23.19 | 90.0 | 20.87 |
| 09/13/2017 | DERBYSHIRE, JAMES | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 22.99 | 0.00 | 22.99 | 90.0 | 20.69 |
| 09/13/2017 | HARMEYER, SHARYN | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 36.77 | 0.00 | 36.77 | 90.0 | 33.09 |
| 09/13/2017 | BYRUM, GERALD | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 40.97 | 0.00 | 40.97 | 90.0 | 36.87 |
| 09/13/2017 | BUSH, SANDRA | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 31.84 | 0.00 | 31.84 | 90.0 | 28.66 |
| 09/13/2017 | DIETSCH, RHONDA | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 27.25 | 0.00 | 27.25 | 90.0 | 24.53 |
| 09/13/2017 | PEPPLE, GLEN | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 13.63 | 0.00 | 13.63 | 90.0 | 12.27 |
| 09/13/2017 | WILLING, LEONARD | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 34.97 | 0.00 | 34.97 | 90.0 | 31.47 |
| 09/13/2017 | MURPHY, SUSAN | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 43.96 | 0.00 | 43.96 | 90.0 | 39.56 |
| 09/13/2017 | LOWDEN TRUST, KATHERINE | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 36.79 | 0.00 | 36.79 | 90.0 | 33.11 |
| 09/13/2017 | ZINN, JEANETTE | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 10.84 | 0.00 | 10.84 | 90.0 | 9.76 |
| * INTERVAL FUNDS SUBTOTAL * | | | \$0.00 | \$323.20 | \$0.00 | \$323.20 | | \$290.88 |

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | |
|------------|-------------------|---------------------------------|-------|-------|------|-------|------|-------|
| 09/01/2017 | WALLACE, BARBARA | AM FUNDS AMCAP A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS AMCAP A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 2.24 |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS AMCAP A | 0.00 | 6.12 | 0.00 | 6.12 | 90.0 | 5.51 |
| 09/01/2017 | WIGGINS, CHRISTA | AM FUNDS AMCAP A | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 1.39 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS AMCAP A | 0.00 | 9.28 | 0.00 | 9.28 | 90.0 | 8.35 |
| 09/01/2017 | IN/TOD | AM FUNDS AMCAP A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | SLATER, JUSTIN | AM FUNDS AMCAP F1 | 0.00 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS AMERICAN BALANCED 529A | 0.00 | 12.93 | 0.00 | 12.93 | 90.0 | 11.64 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS AMERICAN BALANCED 529A | 0.00 | 10.59 | 0.00 | 10.59 | 90.0 | 9.53 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS AMERICAN BALANCED 529A | 0.00 | 7.27 | 0.00 | 7.27 | 90.0 | 6.54 |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS AMERICAN BALANCED 529A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 09/01/2017 | PIERCE, MARILYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.93 | 0.00 | 5.93 | 90.0 | 5.34 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS AMERICAN BALANCED A | 0.00 | 10.02 | 0.00 | 10.02 | 90.0 | 9.02 |

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> | | | | | | | | |
| 09/01/2017 | SHANK, DEAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.32 | 0.00 | 1.32 | 90.0 | 1.19 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 1.66 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.90 | 0.00 | 11.90 | 90.0 | 10.71 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.73 | 0.00 | 3.73 | 90.0 | 3.36 |
| 09/01/2017 | SEWARD, REBECCA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.57 | 0.00 | 1.57 | 90.0 | 1.41 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 2.21 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS AMERICAN BALANCED A | 0.00 | 9.55 | 0.00 | 9.55 | 90.0 | 8.60 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 8.39 | 0.00 | 8.39 | 90.0 | 7.55 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS AMERICAN BALANCED A | 0.00 | 17.27 | 0.00 | 17.27 | 90.0 | 15.54 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 09/01/2017 | ZINN, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.01 | 0.00 | 6.01 | 90.0 | 5.41 |
| 09/01/2017 | ISLEY, CATHY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | KAGE, JENNIFER | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.13 | 0.00 | 11.13 | 90.0 | 10.02 |
| 09/01/2017 | AMARO, SOPHIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 09/01/2017 | THOMAS, BRADFORD | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.16 | 0.00 | 7.16 | 90.0 | 6.44 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS AMERICAN BALANCED A | 0.00 | 26.99 | 0.00 | 26.99 | 90.0 | 24.29 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.45 | 0.00 | 1.45 | 90.0 | 1.31 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 14.47 | 0.00 | 14.47 | 90.0 | 13.02 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.98 | 0.00 | 1.98 | 90.0 | 1.78 |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 9.72 | 0.00 | 9.72 | 90.0 | 8.75 |
| 09/01/2017 | DAVIS, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.33 | 0.00 | 3.33 | 90.0 | 3.00 |
| 09/01/2017 | MURPHY, SUSAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | ALLAN, BETTY | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.40 | 0.00 | 4.40 | 90.0 | 3.96 |
| 09/01/2017 | GOODMAN, STEPHANIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.53 | 0.00 | 3.53 | 90.0 | 3.18 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.77 | 0.00 | 11.77 | 90.0 | 10.59 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.17 | 0.00 | 6.17 | 90.0 | 5.55 |
| 09/01/2017 | BUSH, SANDRA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.13 | 0.00 | 11.13 | 90.0 | 10.02 |

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|--|-------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MARCH, MELODY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.20 | 0.00 | 3.20 | 90.0 | 2.88 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 1.58 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 1.48 |
| 09/01/2017 | CASEY, GISELA | AM FUNDS AMERICAN BALANCED A | 0.00 | 12.01 | 0.00 | 12.01 | 90.0 | 10.81 |
| 09/01/2017 | MCARDLE, DANIEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 54.24 | 0.00 | 54.24 | 90.0 | 48.82 |
| 09/01/2017 | ALLAN, BETTY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.49 | 0.00 | 3.49 | 90.0 | 3.14 |
| 09/01/2017 | WHEELER, MARY | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.73 | 0.00 | 2.73 | 90.0 | 2.46 |
| 09/01/2017 | GALENTINE, ASHLEY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 09/01/2017 | AMARO, ETHAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 1.23 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 14.35 | 0.00 | 14.35 | 90.0 | 12.92 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS AMERICAN BALANCED A | 0.00 | 13.94 | 0.00 | 13.94 | 90.0 | 12.55 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.64 | 0.00 | 6.64 | 90.0 | 5.98 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.64 | 0.00 | 6.64 | 90.0 | 5.98 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS AMERICAN BALANCED A | 0.00 | 10.02 | 0.00 | 10.02 | 90.0 | 9.02 |
| 09/01/2017 | CACCAMO, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 2.42 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.39 | 0.00 | 5.39 | 90.0 | 4.85 |
| 09/01/2017 | ATKINSON, KATHRYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 9.63 | 0.00 | 9.63 | 90.0 | 8.67 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.46 |
| 09/01/2017 | KILLION, NICHOLAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.27 | 0.00 | 0.27 | 90.0 | 0.24 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.57 | 0.00 | 6.57 | 90.0 | 5.91 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 09/01/2017 | FREEZE, MONTE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 2.09 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.40 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.61 |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.33 | 0.00 | 4.33 | 90.0 | 3.90 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 3.83 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.72 | 0.00 | 5.72 | 90.0 | 5.15 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.01 | 0.00 | 5.01 | 90.0 | 4.51 |

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|--|-----------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 36.53 | 0.00 | 36.53 | 90.0 | 32.88 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.27 | 0.00 | 3.27 | 90.0 | 2.94 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 2.39 |
| 09/01/2017 | RATTY, MINDY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 09/01/2017 | ATKINSON, KATHRYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.04 | 0.00 | 0.04 | 90.0 | 0.04 |
| 09/01/2017 | CAPPLEMAN, WADE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 1.40 |
| 09/01/2017 | RATTY, SKYLER | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | RATTY, MARY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.55 | 0.00 | 3.55 | 90.0 | 3.20 |
| 09/01/2017 | SHERBURNE, STEVEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 8.39 | 0.00 | 8.39 | 90.0 | 7.55 |
| 09/01/2017 | PEPPLE, EVELYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 2.30 |
| 09/01/2017 | PEPPLE, GRADEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 09/01/2017 | MCFEETERS, VALERIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 9.60 | 0.00 | 9.60 | 90.0 | 8.64 |
| 09/01/2017 | PEARSON, STACEY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | MATTHEWS, GAIL | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS AMERICAN BALANCED A | 0.00 | 23.74 | 0.00 | 23.74 | 90.0 | 21.37 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.75 | 0.00 | 7.75 | 90.0 | 6.98 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.16 | 0.00 | 4.16 | 90.0 | 3.74 |
| 09/01/2017 | ISLEY, TERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 2.96 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 1.30 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 1.06 |
| 09/01/2017 | LUDWIG, KENDRA | AM FUNDS AMERICAN BALANCED A | 0.00 | 29.89 | 0.00 | 29.89 | 90.0 | 26.90 |
| 09/01/2017 | PEARSON, JOAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 7.06 |
| 09/01/2017 | PEARSON, EDWIN | AM FUNDS AMERICAN BALANCED A | 0.00 | 14.91 | 0.00 | 14.91 | 90.0 | 13.42 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 09/01/2017 | CZARNECKI, DENNIS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 2.43 |
| 09/01/2017 | STEBING, ADDISON | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.09 | 0.00 | 3.09 | 90.0 | 2.78 |
| 09/01/2017 | RHEN, JOLYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |

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|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | GREEN, KYLE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 09/01/2017 | HINTON, EMILY | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.14 | 0.00 | 4.14 | 90.0 | 3.73 |
| 09/01/2017 | JINES, MARCIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.87 | 0.00 | 1.87 | 90.0 | 1.68 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.25 | 0.00 | 7.25 | 90.0 | 6.53 |
| 09/01/2017 | WHITE, TAYLOR | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 1.01 |
| 09/01/2017 | WHITE, IAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.43 | 0.00 | 2.43 | 90.0 | 2.19 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | RATLIFF, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 09/01/2017 | WEIMER, RITA | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.77 | 0.00 | 6.77 | 90.0 | 6.09 |
| 09/01/2017 | HOSKINS, AUSTIN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.36 |
| 09/01/2017 | ABERCROMBIE, JAMES | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.08 | 0.00 | 3.08 | 90.0 | 2.77 |
| 09/01/2017 | HERBER, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.89 | 0.00 | 11.89 | 90.0 | 10.70 |
| 09/01/2017 | O'CONNELL, KATHLEEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.68 | 0.00 | 3.68 | 90.0 | 3.31 |
| 09/01/2017 | DRUHOT, LESLIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | WILSON, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 1.85 |
| 09/01/2017 | HENRY, JEANNE | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 4.11 |
| 09/01/2017 | LYTLE, KEAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.71 | 0.00 | 2.71 | 90.0 | 2.44 |
| 09/01/2017 | KAUFFMAN, ALLISON | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.61 |
| 09/01/2017 | CAPPLEMAN, WADE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 09/01/2017 | HERBER, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS AMERICAN BALANCED A | 0.00 | 64.75 | 0.00 | 64.75 | 90.0 | 58.28 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 3.48 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 09/01/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | MURPHY, LOU | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.44 | 0.00 | 7.44 | 90.0 | 6.70 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS AMERICAN BALANCED A | 0.00 | 12.41 | 0.00 | 12.41 | 90.0 | 11.17 |
| 09/01/2017 | HALE, AMBER | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 1.33 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 09/01/2017 | ZEEDYK, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 09/01/2017 | IN/TOD | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 1.55 |
| 09/01/2017 | FOSNAUGH, KAREN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |

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** - 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> | | | | | | | | |
| 09/01/2017 | LOWE, MELISSA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.54 |
| 09/01/2017 | UNTIL AGE 21, IN/UTMA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.09 | 0.00 | 0.09 | 90.0 | 0.08 |
| 09/01/2017 | BURNS-PAITAN, PATRICIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/01/2017 | CACCAMO, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | CACCAMO, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/01/2017 | OH/TOD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/11/2017 | GRIME, STEPHEN | AM FUNDS AMERICAN BALANCED A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 09/11/2017 | HERRIMAN, JANET | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/15/2017 | PEARSON, STACEY | AM FUNDS AMERICAN BALANCED A | 15.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/15/2017 | CACCAMO, MICHAEL | AM FUNDS AMERICAN BALANCED A | 540.00 | 22.95 | 0.00 | 22.95 | 90.0 | 20.66 |
| 09/15/2017 | WHITE, IAN | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 09/15/2017 | WEIMER, RITA | AM FUNDS AMERICAN BALANCED A | 300.00 | 15.00 | 0.00 | 15.00 | 90.0 | 13.50 |
| 09/20/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS AMERICAN BALANCED A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | MESEKE, GILBERT | AM FUNDS AMERICAN BALANCED C | 0.00 | 11.64 | 0.00 | 11.64 | 90.0 | 10.48 |
| 09/01/2017 | ATKINSON, KATHRYN | AM FUNDS AMERICAN BALANCED C | 0.00 | 8.85 | 0.00 | 8.85 | 90.0 | 7.97 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 5.17 | 0.00 | 5.17 | 90.0 | 4.65 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.80 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 2.12 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.29 | 0.00 | 2.29 | 90.0 | 2.06 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 7.05 | 0.00 | 7.05 | 90.0 | 6.35 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 8.92 | 0.00 | 8.92 | 90.0 | 8.03 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.41 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 7.14 | 0.00 | 7.14 | 90.0 | 6.43 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.28 | 0.00 | 3.28 | 90.0 | 2.95 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 7.39 | 0.00 | 7.39 | 90.0 | 6.65 |
| 09/01/2017 | BUSH, SANDRA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.70 | 0.00 | 4.70 | 90.0 | 4.23 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 5.75 | 0.00 | 5.75 | 90.0 | 5.18 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 1.81 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.78 | 0.00 | 3.78 | 90.0 | 3.40 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 9.48 | 0.00 | 9.48 | 90.0 | 8.53 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 3.68 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.67 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.41 | 0.00 | 3.41 | 90.0 | 3.07 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 25.91 | 0.00 | 25.91 | 90.0 | 23.32 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.39 |
| 09/01/2017 | RATTY, MARY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 2.00 |
| 09/01/2017 | SHADY, SCOT | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.03 | 0.00 | 0.03 | 90.0 | 0.03 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.99 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 4.47 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.86 | 0.00 | 3.86 | 90.0 | 3.47 |
| 09/01/2017 | HERBER, MARK | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 6.70 | 0.00 | 6.70 | 90.0 | 6.03 |
| 09/01/2017 | LYTLE, KEAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 1.40 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 14.35 | 0.00 | 14.35 | 90.0 | 12.92 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 9.79 | 0.00 | 9.79 | 90.0 | 8.81 |
| 09/01/2017 | SHADY, SCOT | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |
| 09/01/2017 | BAILEY, RICHARD | AM FUNDS BALANCED PORT A | 0.00 | 162.33 | 0.00 | 162.33 | 90.0 | 146.10 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 1.02 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.91 | 0.00 | 2.91 | 90.0 | 2.62 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 5.38 | 0.00 | 5.38 | 90.0 | 4.84 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 1.16 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/01/2017 | RATTY, MARY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/01/2017 | PEARSON, JOAN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 5.63 | 0.00 | 5.63 | 90.0 | 5.07 |
| 09/01/2017 | PEARSON, EDWIN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 10.69 | 0.00 | 10.69 | 90.0 | 9.62 |
| 09/01/2017 | CZARNECKI, DENNIS | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.59 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.65 | 0.00 | 3.65 | 90.0 | 3.29 |

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|---------------------------------------|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 2.43 |
| 09/01/2017 | O'CONNELL, KATHLEEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 1.87 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | SULLIVAN, DIAN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.57 | 0.00 | 1.57 | 90.0 | 1.41 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | IN/TOD | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS BOND FUND OF AMERICA C | 0.00 | 16.43 | 0.00 | 16.43 | 90.0 | 14.79 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 2.12 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 1.77 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 6.99 | 0.00 | 6.99 | 90.0 | 6.29 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL INCOME BUILDER 529 | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 2.30 |
| 09/01/2017 | PIERCE, MARILYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.58 | 0.00 | 4.58 | 90.0 | 4.12 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 22.07 | 0.00 | 22.07 | 90.0 | 19.86 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 3.84 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.88 | 0.00 | 4.88 | 90.0 | 4.39 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.34 | 0.00 | 6.34 | 90.0 | 5.71 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.06 | 0.00 | 5.06 | 90.0 | 4.55 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 11.58 | 0.00 | 11.58 | 90.0 | 10.42 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 09/01/2017 | MURPHY, DANA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.50 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.49 | 0.00 | 3.49 | 90.0 | 3.14 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.13 | 0.00 | 3.13 | 90.0 | 2.82 |
| 09/01/2017 | BURNS, MARCIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 2.32 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 1.04 |

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|--|----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MILLER, JULIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.54 | 0.00 | 6.54 | 90.0 | 5.89 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.46 | 0.00 | 6.46 | 90.0 | 5.81 |
| 09/01/2017 | JORDAN, PAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | WARSTLER, MARK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.60 | 0.00 | 7.60 | 90.0 | 6.84 |
| 09/01/2017 | MARCH, MELODY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.02 | 0.00 | 1.02 | 90.0 | 0.92 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | BAILEY, LISA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| 09/01/2017 | MILLER, DANIEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.81 | 0.00 | 1.81 | 90.0 | 1.63 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.44 | 0.00 | 4.44 | 90.0 | 4.00 |
| 09/01/2017 | PATEL, GITA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.31 | 0.00 | 8.31 | 90.0 | 7.48 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.88 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.40 | 0.00 | 3.40 | 90.0 | 3.06 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 1.87 |
| 09/01/2017 | BENSON, KARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.41 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 27.05 | 0.00 | 27.05 | 90.0 | 24.35 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.34 | 0.00 | 7.34 | 90.0 | 6.61 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 70.89 | 0.00 | 70.89 | 90.0 | 63.80 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.94 | 0.00 | 6.94 | 90.0 | 6.25 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.66 | 0.00 | 7.66 | 90.0 | 6.89 |
| 09/01/2017 | GOODMAN, STEPHANIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.38 | 0.00 | 6.38 | 90.0 | 5.74 |
| 09/01/2017 | URICK, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.26 | 0.00 | 3.26 | 90.0 | 2.93 |
| 09/01/2017 | BUSH, SANDRA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.30 | 0.00 | 5.30 | 90.0 | 4.77 |
| 09/01/2017 | O'LAUGHLIN, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.90 | 0.00 | 4.90 | 90.0 | 4.41 |

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> | | | | | | | | |
| 09/01/2017 | ALLAN, BETTY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 2.17 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 20.40 | 0.00 | 20.40 | 90.0 | 18.36 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 1.94 |
| 09/01/2017 | DEATRICK, AMANDA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 13.34 | 0.00 | 13.34 | 90.0 | 12.01 |
| 09/01/2017 | MUSKIN, ANDREW | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.48 | 0.00 | 3.48 | 90.0 | 3.13 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 1.87 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 1.10 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 19.85 | 0.00 | 19.85 | 90.0 | 17.87 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 1.76 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.04 | 0.00 | 5.04 | 90.0 | 4.54 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 2.72 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | OTIS, JASON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.42 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.16 | 0.00 | 0.16 | 90.0 | 0.14 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 29.72 | 0.00 | 29.72 | 90.0 | 26.75 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 1.40 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 2.21 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.56 | 0.00 | 7.56 | 90.0 | 6.80 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 2.76 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.22 | 0.00 | 3.22 | 90.0 | 2.90 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.69 | 0.00 | 9.69 | 90.0 | 8.72 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.36 | 0.00 | 4.36 | 90.0 | 3.92 |
| 09/01/2017 | JENTGEN, STEPHANIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 1.30 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.76 | 0.00 | 3.76 | 90.0 | 3.38 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.51 | 0.00 | 3.51 | 90.0 | 3.16 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.78 | 0.00 | 4.78 | 90.0 | 4.30 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.68 |
| 09/01/2017 | JONES, TIM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.36 | 0.00 | 9.36 | 90.0 | 8.42 |
| 09/01/2017 | HOEFFEL, GREGGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.99 |
| 09/01/2017 | HINTON, EMILY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.84 | 0.00 | 6.84 | 90.0 | 6.16 |
| 09/01/2017 | HERBER, MARK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.52 | 0.00 | 4.52 | 90.0 | 4.07 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 1.32 |
| 09/01/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | IN/TOD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | WEAVER, JEFFREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 1.32 |
| 09/20/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS CAPITAL INCOME BUILDER A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS CAPITAL INCOME BUILDER C | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS CAPITAL INCOME BUILDER F1 | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 1.94 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 1.88 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 1.94 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------------------|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 4.58 | 0.00 | 4.58 | 90.0 | 4.12 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 3.42 | 0.00 | 3.42 | 90.0 | 3.08 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 1.10 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.11 | 0.00 | 1.11 | 90.0 | 1.00 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.32 |
| 09/01/2017 | REMENTSCHNEIDER, MARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.36 |
| 09/01/2017 | RATTY, MARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | CZARNECKI, DENNIS | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.73 | 0.00 | 2.73 | 90.0 | 2.46 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 1.60 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS CAPITAL WORLD BOND C | 0.00 | 11.60 | 0.00 | 11.60 | 90.0 | 10.44 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 2.17 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 1.81 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 3.32 | 0.00 | 3.32 | 90.0 | 2.99 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.64 | 0.00 | 2.64 | 90.0 | 2.38 |
| 09/01/2017 | PIERCE, MARILYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.86 | 0.00 | 2.86 | 90.0 | 2.57 |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.53 | 0.00 | 2.53 | 90.0 | 2.28 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 22.32 | 0.00 | 22.32 | 90.0 | 20.09 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.94 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.49 | 0.00 | 4.49 | 90.0 | 4.04 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.58 | 0.00 | 7.58 | 90.0 | 6.82 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.58 | 0.00 | 7.58 | 90.0 | 6.82 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 3.48 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.72 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.82 | 0.00 | 7.82 | 90.0 | 7.04 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.27 | 0.00 | 2.27 | 90.0 | 2.04 |

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|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/01/2017 | MURPHY, DANA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.85 | 0.00 | 0.85 | 90.0 | 0.77 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.72 | 0.00 | 3.72 | 90.0 | 3.35 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 2.12 |
| 09/01/2017 | FRANKS, PATRICK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.37 | 0.00 | 3.37 | 90.0 | 3.03 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.13 | 0.00 | 7.13 | 90.0 | 6.42 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 6.90 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.11 | 0.00 | 1.11 | 90.0 | 1.00 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.76 | 0.00 | 6.76 | 90.0 | 6.08 |
| 09/01/2017 | PATEL, GITA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 15.57 | 0.00 | 15.57 | 90.0 | 14.01 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.68 | 0.00 | 3.68 | 90.0 | 3.31 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.68 | 0.00 | 4.68 | 90.0 | 4.21 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.32 | 0.00 | 1.32 | 90.0 | 1.19 |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 1.94 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.48 | 0.00 | 4.48 | 90.0 | 4.03 |
| 09/01/2017 | BENSON, KARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 09/01/2017 | THOMAS, BRADFORD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.55 | 0.00 | 6.55 | 90.0 | 5.90 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 30.77 | 0.00 | 30.77 | 90.0 | 27.69 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.61 | 0.00 | 3.61 | 90.0 | 3.25 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 1.67 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.56 | 0.00 | 7.56 | 90.0 | 6.80 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 2.30 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 09/01/2017 | MURPHY, SUSAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 1.06 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 33.88 | 0.00 | 33.88 | 90.0 | 30.49 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.19 | 0.00 | 5.19 | 90.0 | 4.67 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.67 | 0.00 | 3.67 | 90.0 | 3.30 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------------------|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | GOODMAN, STEPHANIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.89 | 0.00 | 9.89 | 90.0 | 8.90 |
| 09/01/2017 | URICK, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.99 | 0.00 | 1.99 | 90.0 | 1.79 |
| 09/01/2017 | WIGGINS, CHRISTA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | BIDDLE, DENESE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.80 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.49 | 0.00 | 5.49 | 90.0 | 4.94 |
| 09/01/2017 | ASCHLIMAN, BRETT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 2.12 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.07 | 0.00 | 6.07 | 90.0 | 5.46 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | TRESSLER, KENT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.65 | 0.00 | 9.65 | 90.0 | 8.69 |
| 09/01/2017 | CASEY, GISELA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.88 | 0.00 | 9.88 | 90.0 | 8.89 |
| 09/01/2017 | O'LAUGHLIN, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 11.36 | 0.00 | 11.36 | 90.0 | 10.22 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 22.01 | 0.00 | 22.01 | 90.0 | 19.81 |
| 09/01/2017 | ROEMER, SHERRI | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 2.72 |
| 09/01/2017 | ZINN, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.34 | 0.00 | 2.34 | 90.0 | 2.11 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 2.10 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.57 | 0.00 | 1.57 | 90.0 | 1.41 |
| 09/01/2017 | DEATRICK, AMANDA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 14.78 | 0.00 | 14.78 | 90.0 | 13.30 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.76 | 0.00 | 5.76 | 90.0 | 5.18 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.24 | 0.00 | 6.24 | 90.0 | 5.62 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.45 | 0.00 | 2.45 | 90.0 | 2.21 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.38 | 0.00 | 7.38 | 90.0 | 6.64 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/01/2017 | BROOKS, SHARON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.33 | 0.00 | 5.33 | 90.0 | 4.80 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.07 | 0.00 | 5.07 | 90.0 | 4.56 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.47 |
| 09/01/2017 | OTIS, JASON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 59.95 | 0.00 | 59.95 | 90.0 | 53.96 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 2.17 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.27 | 0.00 | 0.27 | 90.0 | 0.24 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 2.26 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 7.06 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.71 | 0.00 | 4.71 | 90.0 | 4.24 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.24 | 0.00 | 3.24 | 90.0 | 2.92 |
| 09/01/2017 | RHEN, DRAKE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.04 | 0.00 | 2.04 | 90.0 | 1.84 |
| 09/01/2017 | DAVID, SCOTT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.33 |
| 09/01/2017 | WILLIAMS, BARBARA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | LEGAULT, RACHEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.22 | 0.00 | 5.22 | 90.0 | 4.70 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.99 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.11 | 0.00 | 6.11 | 90.0 | 5.50 |
| 09/01/2017 | JENTGEN, STEPHANIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 09/01/2017 | KILLION, NICHOLAS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.61 | 0.00 | 5.61 | 90.0 | 5.05 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.36 | 0.00 | 4.36 | 90.0 | 3.92 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 09/01/2017 | JACKSON, AIMEE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 2.64 |
| 09/01/2017 | FREEZE, MONTE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 2.05 |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 4.25 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 2.96 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |

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|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.55 | 0.00 | 2.55 | 90.0 | 2.30 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.48 | 0.00 | 3.48 | 90.0 | 3.13 |
| 09/01/2017 | STEBING, CHRISTEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 09/01/2017 | WEAVER, JACOB | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.72 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 14.54 | 0.00 | 14.54 | 90.0 | 13.09 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.74 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 1.12 |
| 09/01/2017 | RATTY, MINDY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| 09/01/2017 | JONES, TIM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.41 | 0.00 | 5.41 | 90.0 | 4.87 |
| 09/01/2017 | RATTY, MARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 10.18 | 0.00 | 10.18 | 90.0 | 9.16 |
| 09/01/2017 | GETTYS, JARRAD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 1.54 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | SHADY, SCOT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.34 | 0.00 | 3.34 | 90.0 | 3.01 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | HINTON, EMILY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 1.52 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.68 |
| 09/01/2017 | HOSKINS, AUSTIN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.93 | 0.00 | 3.93 | 90.0 | 3.54 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.49 | 0.00 | 6.49 | 90.0 | 5.84 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | HERBER, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.28 | 0.00 | 5.28 | 90.0 | 4.75 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/15/2017 | NEACE, VICTORIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/15/2017 | MUSKIN, VERONICA | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 09/20/2017 | JACKSON, AIMEE | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 09/01/2017 | MESEKE, GILBERT | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 8.79 | 0.00 | 8.79 | 90.0 | 7.91 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.39 | 0.00 | 3.39 | 90.0 | 3.05 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 2.71 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MESEKE, GILBERT | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.62 | 0.00 | 3.62 | 90.0 | 3.26 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 09/01/2017 | FREER, TYLER | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.14 | 0.00 | 1.14 | 90.0 | 1.03 |
| 09/01/2017 | BURNS, MARCIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 1.21 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 09/01/2017 | BAILEY, LOIS | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 14.77 | 0.00 | 14.77 | 90.0 | 13.29 |
| 09/01/2017 | MURPHY, NICOLE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.57 | 0.00 | 1.57 | 90.0 | 1.41 |
| 09/01/2017 | CASTLEMAN, PATRICIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.36 | 0.00 | 5.36 | 90.0 | 4.82 |
| 09/01/2017 | MILUM, JUDITH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 2.73 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 15.32 | 0.00 | 15.32 | 90.0 | 13.79 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 2.12 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 7.38 | 0.00 | 7.38 | 90.0 | 6.64 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 8.22 | 0.00 | 8.22 | 90.0 | 7.40 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 18.28 | 0.00 | 18.28 | 90.0 | 16.45 |
| 09/01/2017 | GOODMAN, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.50 | 0.00 | 5.50 | 90.0 | 4.95 |
| 09/01/2017 | ZINN, DIANE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | DEATRICK, AMANDA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 12.98 | 0.00 | 12.98 | 90.0 | 11.68 |
| 09/01/2017 | BROOKS, SHARON | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | SHERIDAN, BROOKE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.53 | 0.00 | 5.53 | 90.0 | 4.98 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 09/01/2017 | RATTY, MARY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.74 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS EUROPACIFIC GROWTH FUND C | 0.00 | 2.20 | 0.00 | 2.20 | 90.0 | 1.98 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS EUROPACIFIC GROWTH FUND C | 0.00 | 4.07 | 0.00 | 4.07 | 90.0 | 3.66 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS EUROPACIFIC GROWTH FUND F1 | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS EUROPACIFIC GROWTH FUND F1 | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 2.72 |

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** - 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> | | | | | | | | |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| 09/01/2017 | PIERCE, MARILYN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 3.29 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 28.96 | 0.00 | 28.96 | 90.0 | 26.06 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 1.02 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.39 | 0.00 | 4.39 | 90.0 | 3.95 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.82 | 0.00 | 8.82 | 90.0 | 7.94 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 11.35 | 0.00 | 11.35 | 90.0 | 10.22 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.64 | 0.00 | 4.64 | 90.0 | 4.18 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 10.66 | 0.00 | 10.66 | 90.0 | 9.59 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.71 | 0.00 | 2.71 | 90.0 | 2.44 |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 09/01/2017 | MURPHY, DANA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.61 | 0.00 | 4.61 | 90.0 | 4.15 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | BURNS, MARCIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 9.37 | 0.00 | 9.37 | 90.0 | 8.43 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.45 | 0.00 | 4.45 | 90.0 | 4.01 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.85 | 0.00 | 8.85 | 90.0 | 7.97 |
| 09/01/2017 | WARSTLER, MARK | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.54 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | BAILEY, LISA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 1.10 |
| 09/01/2017 | MILLER, DANIEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 2.37 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 7.52 | 0.00 | 7.52 | 90.0 | 6.77 |
| 09/01/2017 | PATEL, GITA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 7.76 | 0.00 | 7.76 | 90.0 | 6.98 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.52 | 0.00 | 8.52 | 90.0 | 7.67 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.65 | 0.00 | 4.65 | 90.0 | 4.19 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.64 | 0.00 | 5.64 | 90.0 | 5.08 |
| 09/01/2017 | LEVERMAN, THEODORE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.68 | 0.00 | 5.68 | 90.0 | 5.11 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |

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|--|----------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.54 | 0.00 | 5.54 | 90.0 | 4.99 |
| 09/01/2017 | BENSON, KARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.59 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 33.37 | 0.00 | 33.37 | 90.0 | 30.03 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 2.76 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.36 | 0.00 | 3.36 | 90.0 | 3.02 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.76 | 0.00 | 3.76 | 90.0 | 3.38 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 3.94 |
| 09/01/2017 | URICK, DAVID | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 1.62 |
| 09/01/2017 | ROEMER, SHERRI | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.22 | 0.00 | 3.22 | 90.0 | 2.90 |
| 09/01/2017 | MUSKIN, ANDREW | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.45 | 0.00 | 4.45 | 90.0 | 4.01 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 1.76 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.55 | 0.00 | 8.55 | 90.0 | 7.70 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 6.05 | 0.00 | 6.05 | 90.0 | 5.45 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | OTIS, JASON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.56 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.12 | 0.00 | 3.12 | 90.0 | 2.81 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.28 | 0.00 | 0.28 | 90.0 | 0.25 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.96 | 0.00 | 8.96 | 90.0 | 8.06 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 3.83 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.36 | 0.00 | 3.36 | 90.0 | 3.02 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 1.30 |

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|---------------------------------------|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.22 | 0.00 | 4.22 | 90.0 | 3.80 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.32 | 0.00 | 3.32 | 90.0 | 2.99 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 33.69 | 0.00 | 33.69 | 90.0 | 30.32 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 1.40 |
| 09/01/2017 | JONES, TIM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 1.67 |
| 09/01/2017 | RATTY, MARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | HOEFFEL, GREGGORY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 1.28 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 69.16 | 0.00 | 69.16 | 90.0 | 62.24 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.14 | 0.00 | 4.14 | 90.0 | 3.73 |
| 09/01/2017 | MURPHY, LOU | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.41 | 0.00 | 8.41 | 90.0 | 7.57 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 13.93 | 0.00 | 13.93 | 90.0 | 12.54 |
| 09/01/2017 | NEWBAUER, SARAH | AM FUNDS FUNDAMENTAL INVESTORS C | 0.00 | 14.95 | 0.00 | 14.95 | 90.0 | 13.46 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS FUNDAMENTAL INVESTORS-F1 | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 1.05 |
| 09/01/2017 | SLATER, JUSTIN | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 1.98 | 0.00 | 1.98 | 90.0 | 1.78 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.83 | 0.00 | 1.83 | 90.0 | 1.65 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 19.97 | 0.00 | 19.97 | 90.0 | 17.97 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.71 | 0.00 | 3.71 | 90.0 | 3.34 |
| 09/01/2017 | FISCHER, HELEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.41 | 0.00 | 4.41 | 90.0 | 3.97 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.16 | 0.00 | 3.16 | 90.0 | 2.84 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 10.37 | 0.00 | 10.37 | 90.0 | 9.33 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 9.40 | 0.00 | 9.40 | 90.0 | 8.46 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.39 | 0.00 | 4.39 | 90.0 | 3.95 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | SHANK, DEAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.41 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.30 | 0.00 | 5.30 | 90.0 | 4.77 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.84 | 0.00 | 2.84 | 90.0 | 2.56 |
| 09/01/2017 | DISBRO, JON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.53 | 0.00 | 2.53 | 90.0 | 2.28 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.65 | 0.00 | 6.65 | 90.0 | 5.99 |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |
| 09/01/2017 | MURPHY, DANA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.41 |
| 09/01/2017 | MORHART, JAMES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.92 | 0.00 | 1.92 | 90.0 | 1.73 |
| 09/01/2017 | SWAIDNER, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | MCDUGAL, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.92 | 0.00 | 1.92 | 90.0 | 1.73 |
| 09/01/2017 | WIKTOROWICZ, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | MURPHY, DAVID | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.57 | 0.00 | 6.57 | 90.0 | 5.91 |
| 09/01/2017 | BRUNTON, EMILY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.20 | 0.00 | 2.20 | 90.0 | 1.98 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 2.83 |
| 09/01/2017 | FRANKS, PATRICK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.81 | 0.00 | 4.81 | 90.0 | 4.33 |
| 09/01/2017 | NEWBAUER, GINGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.37 | 0.00 | 2.37 | 90.0 | 2.13 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.15 | 0.00 | 1.15 | 90.0 | 1.04 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 2.05 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.16 | 0.00 | 6.16 | 90.0 | 5.54 |
| 09/01/2017 | WALLACE, FREDERICK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.45 | 0.00 | 4.45 | 90.0 | 4.01 |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 09/01/2017 | WARSTLER, MARK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.58 | 0.00 | 7.58 | 90.0 | 6.82 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/01/2017 | BAILEY, LOIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 18.10 | 0.00 | 18.10 | 90.0 | 16.29 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | MURPHY, NICOLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.45 | 0.00 | 1.45 | 90.0 | 1.31 |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | MAY, ZACHARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |

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|--|----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 09/01/2017 | PEPPLE, NICOLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/01/2017 | WUKASCH, ZACHARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.94 | 0.00 | 2.94 | 90.0 | 2.65 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.46 | 0.00 | 7.46 | 90.0 | 6.71 |
| 09/01/2017 | PATEL, GITA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 15.05 | 0.00 | 15.05 | 90.0 | 13.55 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.71 | 0.00 | 7.71 | 90.0 | 6.94 |
| 09/01/2017 | SWAIDNER, DAVID | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.02 | 0.00 | 5.02 | 90.0 | 4.52 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | WEEKS, VAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 2.83 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.44 | 0.00 | 7.44 | 90.0 | 6.70 |
| 09/01/2017 | ZINN, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 4.11 |
| 09/01/2017 | ISLEY, CATHY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/01/2017 | LEVERMAN, PENNY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.65 | 0.00 | 5.65 | 90.0 | 5.09 |
| 09/01/2017 | ZINN, JEFFREY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 10.32 | 0.00 | 10.32 | 90.0 | 9.29 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 36.47 | 0.00 | 36.47 | 90.0 | 32.82 |
| 09/01/2017 | KAGE, JENNIFER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.83 | 0.00 | 5.83 | 90.0 | 5.25 |
| 09/01/2017 | BENSON, KARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.33 |
| 09/01/2017 | CASTLEMAN, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.80 | 0.00 | 4.80 | 90.0 | 4.32 |
| 09/01/2017 | WINFIELD, APRIL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.77 | 0.00 | 3.77 | 90.0 | 3.39 |
| 09/01/2017 | MAHONY, KAMI LYNN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.77 | 0.00 | 3.77 | 90.0 | 3.39 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 33.73 | 0.00 | 33.73 | 90.0 | 30.36 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| 09/01/2017 | SAMUDIO, SHERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.68 | 0.00 | 7.68 | 90.0 | 6.91 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 1.72 |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 13.85 | 0.00 | 13.85 | 90.0 | 12.47 |
| 09/01/2017 | PEARSON, SHIRLEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.95 | 0.00 | 2.95 | 90.0 | 2.66 |
| 09/01/2017 | MILUM, JUDITH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 8.45 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 40.33 | 0.00 | 40.33 | 90.0 | 36.30 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 5.49 |

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** - 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 | | | | | | | | |
| 09/01/2017 | GOODMAN, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.65 |
| 09/01/2017 | GOODMAN, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 24.62 | 0.00 | 24.62 | 90.0 | 22.16 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 19.68 | 0.00 | 19.68 | 90.0 | 17.71 |
| 09/01/2017 | URICK, DAVID | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.42 | 0.00 | 3.42 | 90.0 | 3.08 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 09/01/2017 | HECKLER, MARTHA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.47 | 0.00 | 3.47 | 90.0 | 3.12 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.98 | 0.00 | 5.98 | 90.0 | 5.38 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | NEACE, VICTORIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.34 | 0.00 | 7.34 | 90.0 | 6.61 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 1.66 |
| 09/01/2017 | MCARDLE, DANIEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 26.45 | 0.00 | 26.45 | 90.0 | 23.81 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 20.89 | 0.00 | 20.89 | 90.0 | 18.80 |
| 09/01/2017 | ROEMER, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.42 | 0.00 | 7.42 | 90.0 | 6.68 |
| 09/01/2017 | WHEELER, MARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.95 | 0.00 | 2.95 | 90.0 | 2.66 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 2.39 |
| 09/01/2017 | GALENTINE, ASHLEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.81 | 0.00 | 1.81 | 90.0 | 1.63 |
| 09/01/2017 | MUSKIN, ANDREW | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.37 | 0.00 | 5.37 | 90.0 | 4.83 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.19 | 0.00 | 0.19 | 90.0 | 0.17 |
| 09/01/2017 | HOEFFEL, GREGGORY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 1.32 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 1.88 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 19.27 | 0.00 | 19.27 | 90.0 | 17.34 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 1.60 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.26 | 0.00 | 6.26 | 90.0 | 5.63 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.16 | 0.00 | 7.16 | 90.0 | 6.44 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.40 |
| 09/01/2017 | OTIS, JASON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.34 | 0.00 | 2.34 | 90.0 | 2.11 |

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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> | | | | | | | | |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 40.32 | 0.00 | 40.32 | 90.0 | 36.29 |
| 09/01/2017 | WUKASCH, LILY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 2.83 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.82 | 0.00 | 2.82 | 90.0 | 2.54 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.99 | 0.00 | 5.99 | 90.0 | 5.39 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.88 | 0.00 | 2.88 | 90.0 | 2.59 |
| 09/01/2017 | RHEN, MASON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 2.42 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 13.08 | 0.00 | 13.08 | 90.0 | 11.77 |
| 09/01/2017 | LIPSCOMB, GRACE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.01 | 0.00 | 4.01 | 90.0 | 3.61 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 1.30 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.86 | 0.00 | 8.86 | 90.0 | 7.97 |
| 09/01/2017 | JENTGEN, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.85 | 0.00 | 0.85 | 90.0 | 0.77 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.26 | 0.00 | 2.26 | 90.0 | 2.03 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| 09/01/2017 | FREEZE, MONTE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.84 | 0.00 | 2.84 | 90.0 | 2.56 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.54 | 0.00 | 5.54 | 90.0 | 4.99 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.86 | 0.00 | 2.86 | 90.0 | 2.57 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 1.52 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 3.94 |
| 09/01/2017 | WIKTOROWICZ, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 1.21 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 09/01/2017 | RATTY, MINDY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.26 | 0.00 | 1.26 | 90.0 | 1.13 |
| 09/01/2017 | JONES, TIM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.28 | 0.00 | 1.28 | 90.0 | 1.15 |
| 09/01/2017 | LIPSCOMB, SOPHIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.55 | 0.00 | 2.55 | 90.0 | 2.30 |
| 09/01/2017 | GETTYS, JARRAD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 1.40 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | SHADY, SCOT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |

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|--|------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MCARDLE, LAURA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 09/01/2017 | ELIAS, CRISTA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 1.05 |
| 09/01/2017 | LAPHAM, DARRELL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | URATA, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.43 | 0.00 | 2.43 | 90.0 | 2.19 |
| 09/01/2017 | HINTON, EMILY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 1.70 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 09/01/2017 | HOSKINS, AUSTIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.54 | 0.00 | 5.54 | 90.0 | 4.99 |
| 09/01/2017 | NEWBAUER, CHLOE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.05 | 0.00 | 1.05 | 90.0 | 0.95 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.58 | 0.00 | 6.58 | 90.0 | 5.92 |
| 09/01/2017 | TRACEY, JAMES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.34 | 0.00 | 3.34 | 90.0 | 3.01 |
| 09/01/2017 | HAVERT, CHANDRA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.71 | 0.00 | 2.71 | 90.0 | 2.44 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 1.01 |
| 09/01/2017 | HERBER, MARK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.03 | 0.00 | 5.03 | 90.0 | 4.53 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 68.23 | 0.00 | 68.23 | 90.0 | 61.41 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.08 | 0.00 | 4.08 | 90.0 | 3.67 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | MURPHY, LOU | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.56 | 0.00 | 8.56 | 90.0 | 7.70 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 14.16 | 0.00 | 14.16 | 90.0 | 12.74 |
| 09/01/2017 | LEGUALT, OLIVER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/01/2017 | BURNS-PAITAN, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.04 | 0.00 | 0.04 | 90.0 | 0.04 |
| 09/11/2017 | GRIME, STEPHEN | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 09/15/2017 | NEACE, VICTORIA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/15/2017 | MUSKIN, VERONICA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | DRUHOT, LESLIE | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 19.67 | 0.00 | 19.67 | 90.0 | 17.70 |
| 09/01/2017 | NEWBAUER, SARAH | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 12.63 | 0.00 | 12.63 | 90.0 | 11.37 |
| 09/01/2017 | DRUHOT, LESLIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/01/2017 | BAILEY, RICHARD | AM FUNDS GROWTH PORT A | 0.00 | 60.91 | 0.00 | 60.91 | 90.0 | 54.82 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS ICA 529A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS ICA 529A | 0.00 | 3.38 | 0.00 | 3.38 | 90.0 | 3.04 |

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|--|----------------------|-------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/15/2017 | NEWBAUER, CAMERON | AM FUNDS ICA 529A | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 09/01/2017 | TUCKER, CHARLOTTE | AM FUNDS ICA A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/01/2017 | TUCKER, SEAN | AM FUNDS ICA A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/01/2017 | FREER, TYLER | AM FUNDS ICA A | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS ICA A | 0.00 | 29.07 | 0.00 | 29.07 | 90.0 | 26.16 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS ICA A | 0.00 | 3.45 | 0.00 | 3.45 | 90.0 | 3.11 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS ICA A | 0.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 09/01/2017 | DISBRO, JON | AM FUNDS ICA A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS ICA A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS ICA A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.78 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS ICA A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS ICA A | 0.00 | 2.82 | 0.00 | 2.82 | 90.0 | 2.54 |
| 09/01/2017 | PATEL, GITA | AM FUNDS ICA A | 0.00 | 13.73 | 0.00 | 13.73 | 90.0 | 12.36 |
| 09/01/2017 | MIZNER, FREDRIC | AM FUNDS ICA A | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 1.55 |
| 09/01/2017 | KAGE, JENNIFER | AM FUNDS ICA A | 0.00 | 4.80 | 0.00 | 4.80 | 90.0 | 4.32 |
| 09/01/2017 | THOMAS, BRADFORD | AM FUNDS ICA A | 0.00 | 7.68 | 0.00 | 7.68 | 90.0 | 6.91 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS ICA A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 09/01/2017 | SHIPLEY, SANDRA | AM FUNDS ICA A | 0.00 | 9.16 | 0.00 | 9.16 | 90.0 | 8.24 |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS ICA A | 0.00 | 20.13 | 0.00 | 20.13 | 90.0 | 18.12 |
| 09/01/2017 | PEARSON, SHIRLEY | AM FUNDS ICA A | 0.00 | 3.33 | 0.00 | 3.33 | 90.0 | 3.00 |
| 09/01/2017 | MILUM, JUDITH | AM FUNDS ICA A | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 3.68 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS ICA A | 0.00 | 37.69 | 0.00 | 37.69 | 90.0 | 33.92 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS ICA A | 0.00 | 5.62 | 0.00 | 5.62 | 90.0 | 5.06 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS ICA A | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 3.99 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS ICA A | 0.00 | 10.83 | 0.00 | 10.83 | 90.0 | 9.75 |
| 09/01/2017 | MCARDLE, DANIEL | AM FUNDS ICA A | 0.00 | 13.93 | 0.00 | 13.93 | 90.0 | 12.54 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS ICA A | 0.00 | 24.88 | 0.00 | 24.88 | 90.0 | 22.39 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS ICA A | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 1.97 |
| 09/01/2017 | DEATRICK, AMANDA | AM FUNDS ICA A | 0.00 | 16.79 | 0.00 | 16.79 | 90.0 | 15.11 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS ICA A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS ICA A | 0.00 | 2.89 | 0.00 | 2.89 | 90.0 | 2.60 |
| 09/01/2017 | BROOKS, SHARON | AM FUNDS ICA A | 0.00 | 0.28 | 0.00 | 0.28 | 90.0 | 0.25 |
| 09/01/2017 | SHERIDAN, BROOKE | AM FUNDS ICA A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |

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** - 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> | | | | | | | | |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS ICA A | 0.00 | 5.18 | 0.00 | 5.18 | 90.0 | 4.66 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS ICA A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 1.12 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS ICA A | 0.00 | 8.16 | 0.00 | 8.16 | 90.0 | 7.34 |
| 09/01/2017 | JENTGEN, STEPHANIE | AM FUNDS ICA A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS ICA A | 0.00 | 0.19 | 0.00 | 0.19 | 90.0 | 0.17 |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS ICA A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS ICA A | 0.00 | 1.36 | 0.00 | 1.36 | 90.0 | 1.22 |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS ICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.40 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS ICA A | 0.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS ICA A | 0.00 | 1.83 | 0.00 | 1.83 | 90.0 | 1.65 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS ICA A | 0.00 | 3.20 | 0.00 | 3.20 | 90.0 | 2.88 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS ICA A | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.88 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS ICA A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS ICA A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 09/01/2017 | JONES, TIM | AM FUNDS ICA A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| 09/01/2017 | DEJOHN, SHARLEEN | AM FUNDS ICA A | 0.00 | 11.27 | 0.00 | 11.27 | 90.0 | 10.14 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS ICA A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 1.72 |
| 09/01/2017 | ELIAS, CRISTA | AM FUNDS ICA A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/11/2017 | GRIME, STEPHEN | AM FUNDS ICA A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 09/01/2017 | MESEKE, GILBERT | AM FUNDS ICA C | 0.00 | 8.95 | 0.00 | 8.95 | 90.0 | 8.06 |
| 09/01/2017 | MESEKE, GILBERT | AM FUNDS ICA F1 | 0.00 | 2.89 | 0.00 | 2.89 | 90.0 | 2.60 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS ICA F1 | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.65 | 0.00 | 1.65 | 90.0 | 1.49 |
| 09/01/2017 | PIERCE, MARILYN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.05 | 0.00 | 4.05 | 90.0 | 3.65 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 16.87 | 0.00 | 16.87 | 90.0 | 15.18 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 2.72 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 3.91 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 3.48 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.47 | 0.00 | 3.47 | 90.0 | 3.12 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 13.06 | 0.00 | 13.06 | 90.0 | 11.75 |
| 09/01/2017 | WINDSOR, WILLIAM | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 09/01/2017 | DISBRO, JON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.58 | 0.00 | 6.58 | 90.0 | 5.92 |

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|--|----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 1.58 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 2.37 |
| 09/01/2017 | BURNS, THOMAS | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.28 | 0.00 | 1.28 | 90.0 | 1.15 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.40 | 0.00 | 3.40 | 90.0 | 3.06 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.76 | 0.00 | 5.76 | 90.0 | 5.18 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.89 | 0.00 | 4.89 | 90.0 | 4.40 |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | JORDAN, PAM | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| 09/01/2017 | WARSTLER, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.66 | 0.00 | 6.66 | 90.0 | 5.99 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.68 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.33 | 0.00 | 5.33 | 90.0 | 4.80 |
| 09/01/2017 | PATEL, GITA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.57 | 0.00 | 6.57 | 90.0 | 5.91 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 2.73 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 1.60 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 1.04 |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 09/01/2017 | BENSON, KARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.32 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 26.87 | 0.00 | 26.87 | 90.0 | 24.18 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 1.33 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 1.39 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 3.83 |
| 09/01/2017 | URICK, DAVID | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 2.18 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.28 | 0.00 | 4.28 | 90.0 | 3.85 |
| 09/01/2017 | HARRIS, SHARON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | ALLAN, BETTY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 2.30 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.99 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |

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|---------------------------------------|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 17.20 | 0.00 | 17.20 | 90.0 | 15.48 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 1.40 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.31 | 0.00 | 5.31 | 90.0 | 4.78 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.33 |
| 09/01/2017 | OTIS, JASON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.27 | 0.00 | 0.27 | 90.0 | 0.24 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.42 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 2.29 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.35 | 0.00 | 5.35 | 90.0 | 4.82 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 2.18 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 1.67 |
| 09/01/2017 | BYRUM JR, GERALD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 1.02 |
| 09/01/2017 | FEIPEL, EDWARD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 09/01/2017 | EAGLESON, AMBER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.38 | 0.00 | 3.38 | 90.0 | 3.04 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 1.97 |
| 09/01/2017 | MCGUIRE, KATHLEEN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 2.83 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 2.12 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 23.78 | 0.00 | 23.78 | 90.0 | 21.40 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | RICKER, REBECCA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 1.50 |
| 09/01/2017 | JONES, TIM | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | RATTY, MARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.74 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 9.53 | 0.00 | 9.53 | 90.0 | 8.58 |
| 09/01/2017 | HOEFFEL, GREGGORY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/01/2017 | REMENSCHNEIDER, DAVID | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.13 | 0.00 | 3.13 | 90.0 | 2.82 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/01/2017 | ELIAS, CRISTA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.89 |

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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | HERBER, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 4.16 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 65.40 | 0.00 | 65.40 | 90.0 | 58.86 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.90 | 0.00 | 3.90 | 90.0 | 3.51 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 09/01/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.41 |
| 09/01/2017 | RAMEY, MELISSA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | BURNS-PAITAN, PATRICIA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| 09/20/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS INCOME FUND OF AMERICA A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | WALLACE, FREDERICK | AM FUNDS INCOME FUND OF AMERICA F-1 | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.41 |
| 09/01/2017 | LAYMAN, VICKI | AM FUNDS INCOME FUND OF AMERICA F-1 | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 2.00 |
| 09/01/2017 | GOODMAN, LAUREN | AM FUNDS INCOME FUND OF AMERICA-529 | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS INCOME FUND OF AMERICA-529 | 0.00 | 5.68 | 0.00 | 5.68 | 90.0 | 5.11 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 3.26 | 0.00 | 3.26 | 90.0 | 2.93 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.57 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.55 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.79 | 0.00 | 2.79 | 90.0 | 2.51 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 5.64 | 0.00 | 5.64 | 90.0 | 5.08 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.73 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 7.04 | 0.00 | 7.04 | 90.0 | 6.34 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 4.56 | 0.00 | 4.56 | 90.0 | 4.10 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 5.20 | 0.00 | 5.20 | 90.0 | 4.68 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 3.64 | 0.00 | 3.64 | 90.0 | 3.28 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.82 | 0.00 | 1.82 | 90.0 | 1.64 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 6.36 | 0.00 | 6.36 | 90.0 | 5.72 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 7.32 | 0.00 | 7.32 | 90.0 | 6.59 |
| 09/01/2017 | PER, ADAM | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.14 | 0.00 | 2.14 | 90.0 | 1.93 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.98 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |

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> | | | | | | | | |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 4.87 | 0.00 | 4.87 | 90.0 | 4.38 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.72 |
| 09/01/2017 | RATTY, MARY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 1.81 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 8.67 | 0.00 | 8.67 | 90.0 | 7.80 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 09/01/2017 | CZARNECKI, DENNIS | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 1.77 |
| 09/01/2017 | SLIGER, RUSTY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 09/01/2017 | HINTON, EMILY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | DURKES, DEBRA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 3.27 | 0.00 | 3.27 | 90.0 | 2.94 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.73 | 0.00 | 2.73 | 90.0 | 2.46 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 2.39 |
| 09/01/2017 | HERBER, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 4.22 | 0.00 | 4.22 | 90.0 | 3.80 |
| 09/01/2017 | LYTLE, KEAN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 2.42 |
| 09/01/2017 | WEIDES, LISA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | SULLIVAN, DIAN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | SULLIVAN, DIAN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | IN/TOD | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS MORTGAGE A | 0.00 | 7.05 | 0.00 | 7.05 | 90.0 | 6.35 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS MORTGAGE A | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 1.14 |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS MORTGAGE A | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 1.77 |
| 09/01/2017 | O'CONNELL, KATHLEEN | AM FUNDS MORTGAGE A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | MARTZ, PHILLIS | AM FUNDS NEW ECONOMY A | 0.00 | 9.64 | 0.00 | 9.64 | 90.0 | 8.68 |
| 09/01/2017 | SWAIDNER, MICHAEL | AM FUNDS NEW ECONOMY A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 2.17 |
| 09/01/2017 | SWAIDNER, DAVID | AM FUNDS NEW ECONOMY A | 0.00 | 2.43 | 0.00 | 2.43 | 90.0 | 2.19 |
| 09/01/2017 | MURPHY, DAVID | AM FUNDS NEW ECONOMY A | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 3.84 |
| 09/01/2017 | MORHART, JAMES | AM FUNDS NEW ECONOMY A | 0.00 | 3.93 | 0.00 | 3.93 | 90.0 | 3.54 |
| 09/01/2017 | WOEHNKER, JOSEPH | AM FUNDS NEW ECONOMY A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS NEW ECONOMY A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 1.04 |
| 09/01/2017 | WALLACE, BARBARA | AM FUNDS NEW ECONOMY A | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 3.68 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS NEW ECONOMY A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | LEVERMAN, THEODORE | AM FUNDS NEW ECONOMY A | 0.00 | 5.95 | 0.00 | 5.95 | 90.0 | 5.36 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS NEW ECONOMY A | 0.00 | 7.33 | 0.00 | 7.33 | 90.0 | 6.60 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS NEW ECONOMY A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 09/01/2017 | FLEEGER, JANICE | AM FUNDS NEW ECONOMY A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 1.32 |
| 09/01/2017 | MCARDLE, DANIEL | AM FUNDS NEW ECONOMY A | 0.00 | 3.08 | 0.00 | 3.08 | 90.0 | 2.77 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS NEW ECONOMY A | 0.00 | 20.22 | 0.00 | 20.22 | 90.0 | 18.20 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS NEW ECONOMY A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | DAGER, DONNA | AM FUNDS NEW ECONOMY A | 0.00 | 5.34 | 0.00 | 5.34 | 90.0 | 4.81 |
| 09/01/2017 | URATA, SUSAN | AM FUNDS NEW ECONOMY A | 0.00 | 2.37 | 0.00 | 2.37 | 90.0 | 2.13 |
| 09/01/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS NEW ECONOMY A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.49 |
| 09/20/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS NEW ECONOMY A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |
| 09/01/2017 | JORDAN, NEAL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 18.13 | 0.00 | 18.13 | 90.0 | 16.32 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.55 | 0.00 | 3.55 | 90.0 | 3.20 |
| 09/01/2017 | FISCHER, HELEN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.01 | 0.00 | 5.01 | 90.0 | 4.51 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 3.99 |
| 09/01/2017 | O'LAUGHLIN, MICHAEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 58.97 | 0.00 | 58.97 | 90.0 | 53.07 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 9.83 | 0.00 | 9.83 | 90.0 | 8.85 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 8.82 | 0.00 | 8.82 | 90.0 | 7.94 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.32 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.41 |
| 09/01/2017 | MURPHY, DAVID | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.28 | 0.00 | 5.28 | 90.0 | 4.75 |
| 09/01/2017 | WILLING, AARON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.65 | 0.00 | 5.65 | 90.0 | 5.09 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.91 | 0.00 | 2.91 | 90.0 | 2.62 |
| 09/01/2017 | AMARO, ALEXANDER | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.34 | 0.00 | 3.34 | 90.0 | 3.01 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.06 | 0.00 | 3.06 | 90.0 | 2.75 |
| 09/01/2017 | BRUNTON, RYAN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.47 | 0.00 | 2.47 | 90.0 | 2.22 |
| 09/01/2017 | BURNS, MARCIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 8.39 | 0.00 | 8.39 | 90.0 | 7.55 |
| 09/01/2017 | WOEHNKER, JOSEPH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 1.76 |
| 09/01/2017 | NEWBAUER, GINGER | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 1.81 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MILLER, JULIE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.66 | 0.00 | 5.66 | 90.0 | 5.09 |
| 09/01/2017 | JORDAN, PAM | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 1.95 |
| 09/01/2017 | WARSTLER, MARK | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 09/01/2017 | BAILEY, LISA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.94 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.77 | 0.00 | 5.77 | 90.0 | 5.19 |
| 09/01/2017 | PATEL, GITA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 10.26 | 0.00 | 10.26 | 90.0 | 9.23 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.92 | 0.00 | 2.92 | 90.0 | 2.63 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 1.32 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | BENSON, KARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 34.25 | 0.00 | 34.25 | 90.0 | 30.83 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.63 | 0.00 | 3.63 | 90.0 | 3.27 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 10.60 | 0.00 | 10.60 | 90.0 | 9.54 |
| 09/01/2017 | URICK, DAVID | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS NEW PERSPECTIVE A | 0.00 | 18.60 | 0.00 | 18.60 | 90.0 | 16.74 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 4.86 | 0.00 | 4.86 | 90.0 | 4.37 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 18.13 | 0.00 | 18.13 | 90.0 | 16.32 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 6.06 | 0.00 | 6.06 | 90.0 | 5.45 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.72 | 0.00 | 5.72 | 90.0 | 5.15 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | HEES, TAMERA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 2.31 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 1.14 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS NEW PERSPECTIVE A | 0.00 | 6.51 | 0.00 | 6.51 | 90.0 | 5.86 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 4.41 | 0.00 | 4.41 | 90.0 | 3.97 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 2.21 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 09/01/2017 | JONES, TIM | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.11 | 0.00 | 1.11 | 90.0 | 1.00 |
| 09/01/2017 | HOEFFEL, GREGGORY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 8.64 | 0.00 | 8.64 | 90.0 | 7.78 |
| 09/01/2017 | IN/TOD | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/15/2017 | MUSKIN, VERONICA | AM FUNDS NEW PERSPECTIVE A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS NEW PERSPECTIVE C | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.55 |
| 09/01/2017 | TUCKER, CHARLOTTE | AM FUNDS NEW WORLD A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 1.16 |
| 09/01/2017 | TUCKER, SEAN | AM FUNDS NEW WORLD A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 1.16 |
| 09/01/2017 | FREER, TYLER | AM FUNDS NEW WORLD A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS NEW WORLD A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/01/2017 | TIMMS, JOAN | AM FUNDS NEW WORLD A | 0.00 | 11.96 | 0.00 | 11.96 | 90.0 | 10.76 |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS NEW WORLD A | 0.00 | 2.89 | 0.00 | 2.89 | 90.0 | 2.60 |
| 09/01/2017 | ROBERTS, LORETTA | AM FUNDS NEW WORLD A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 2.12 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS NEW WORLD A | 0.00 | 7.23 | 0.00 | 7.23 | 90.0 | 6.51 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS NEW WORLD A | 0.00 | 6.94 | 0.00 | 6.94 | 90.0 | 6.25 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS NEW WORLD A | 0.00 | 5.62 | 0.00 | 5.62 | 90.0 | 5.06 |
| 09/01/2017 | AMBRIOLE, WESLEY | AM FUNDS NEW WORLD A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS NEW WORLD A | 0.00 | 2.18 | 0.00 | 2.18 | 90.0 | 1.96 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS NEW WORLD A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 09/01/2017 | DERBYSHIRE, JAMES | AM FUNDS NEW WORLD A | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS NEW WORLD A | 0.00 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS NEW WORLD A | 0.00 | 4.37 | 0.00 | 4.37 | 90.0 | 3.93 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS NEW WORLD A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.61 |
| 09/01/2017 | MUSSEY, LORI | AM FUNDS NEW WORLD A | 0.00 | 2.12 | 0.00 | 2.12 | 90.0 | 1.91 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS NEW WORLD A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| 09/01/2017 | MCBRIDE, KEITH | AM FUNDS NEW WORLD A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 2.21 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | MURPHY, SUSAN | AM FUNDS NEW WORLD A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.56 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS NEW WORLD A | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 3.99 |
| 09/01/2017 | PATEL, GITA | AM FUNDS NEW WORLD A | 0.00 | 3.54 | 0.00 | 3.54 | 90.0 | 3.19 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS NEW WORLD A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 2.24 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS NEW WORLD A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 1.21 |
| 09/01/2017 | HUNTER, JENNIFER | AM FUNDS NEW WORLD A | 0.00 | 3.98 | 0.00 | 3.98 | 90.0 | 3.58 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS NEW WORLD A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 1.09 |
| 09/01/2017 | BENSON, KARY | AM FUNDS NEW WORLD A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS NEW WORLD A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | RAMUS, ERIC | AM FUNDS NEW WORLD A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | RAMUS, CHAD | AM FUNDS NEW WORLD A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.84 |
| 09/01/2017 | RAMUS, MEGAN | AM FUNDS NEW WORLD A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| 09/01/2017 | RAMUS, MICHELLE | AM FUNDS NEW WORLD A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 1.40 |
| 09/01/2017 | REMENSCHNEIDER, MARY | AM FUNDS NEW WORLD A | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.88 |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS NEW WORLD A | 0.00 | 11.00 | 0.00 | 11.00 | 90.0 | 9.90 |
| 09/01/2017 | MCARDLE, SHAWN | AM FUNDS NEW WORLD A | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 4.14 |
| 09/01/2017 | MCARDLE, LINDA | AM FUNDS NEW WORLD A | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 3.99 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS NEW WORLD A | 0.00 | 2.73 | 0.00 | 2.73 | 90.0 | 2.46 |
| 09/01/2017 | GOODMAN, STEPHANIE | AM FUNDS NEW WORLD A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 09/01/2017 | SIEBER, AARON | AM FUNDS NEW WORLD A | 0.00 | 9.11 | 0.00 | 9.11 | 90.0 | 8.20 |
| 09/01/2017 | URICK, DAVID | AM FUNDS NEW WORLD A | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 1.85 |
| 09/01/2017 | HECKLER, MARTHA | AM FUNDS NEW WORLD A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | LAWSON TRUST | AM FUNDS NEW WORLD A | 0.00 | 20.80 | 0.00 | 20.80 | 90.0 | 18.72 |
| 09/01/2017 | ROEMER, SHERRI | AM FUNDS NEW WORLD A | 0.00 | 5.09 | 0.00 | 5.09 | 90.0 | 4.58 |
| 09/01/2017 | GOODMAN, ROBERT | AM FUNDS NEW WORLD A | 0.00 | 6.65 | 0.00 | 6.65 | 90.0 | 5.99 |
| 09/01/2017 | KUNKEL, AMELIA | AM FUNDS NEW WORLD A | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 2.10 |
| 09/01/2017 | GALENTINE, ASHLEY | AM FUNDS NEW WORLD A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 2.18 |
| 09/01/2017 | AMARO, ETHAN | AM FUNDS NEW WORLD A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 1.12 |
| 09/01/2017 | DEATRICK, AMANDA | AM FUNDS NEW WORLD A | 0.00 | 13.28 | 0.00 | 13.28 | 90.0 | 11.95 |
| 09/01/2017 | MUSKIN, ANDREW | AM FUNDS NEW WORLD A | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS NEW WORLD A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS NEW WORLD A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS NEW WORLD A | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | COGDELL, CARY | AM FUNDS NEW WORLD A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 1.09 |
| 09/01/2017 | COGDELL, JENNIFER | AM FUNDS NEW WORLD A | 0.00 | 2.20 | 0.00 | 2.20 | 90.0 | 1.98 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS NEW WORLD A | 0.00 | 13.49 | 0.00 | 13.49 | 90.0 | 12.14 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS NEW WORLD A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 09/01/2017 | BROOKS, AUSTIN | AM FUNDS NEW WORLD A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | BROOKS, COURTNEY | AM FUNDS NEW WORLD A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | BROOKS, ALLISON | AM FUNDS NEW WORLD A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | BROOKS, SHARON | AM FUNDS NEW WORLD A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS NEW WORLD A | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 4.11 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS NEW WORLD A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 09/01/2017 | OTIS, JASON | AM FUNDS NEW WORLD A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS NEW WORLD A | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS NEW WORLD A | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 1.85 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS NEW WORLD A | 0.00 | 0.19 | 0.00 | 0.19 | 90.0 | 0.17 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS NEW WORLD A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS NEW WORLD A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS NEW WORLD A | 0.00 | 4.99 | 0.00 | 4.99 | 90.0 | 4.49 |
| 09/01/2017 | SHERIDAN, BROOKE | AM FUNDS NEW WORLD A | 0.00 | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/01/2017 | NEWBAUER, COLSTON | AM FUNDS NEW WORLD A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | GRIME, STEPHEN | AM FUNDS NEW WORLD A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 3.37 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS NEW WORLD A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| 09/01/2017 | SIEGER, RODNEY | AM FUNDS NEW WORLD A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | HERRIMAN, JANET | AM FUNDS NEW WORLD A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 09/01/2017 | THURSTON, TIMOTHY | AM FUNDS NEW WORLD A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS NEW WORLD A | 0.00 | 3.53 | 0.00 | 3.53 | 90.0 | 3.18 |
| 09/01/2017 | EAGLESON, JOSEPH | AM FUNDS NEW WORLD A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/01/2017 | VLOT, KATHRYN | AM FUNDS NEW WORLD A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | WEAVER, JACOB | AM FUNDS NEW WORLD A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 09/01/2017 | COCKROFT, EDYA | AM FUNDS NEW WORLD A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | EAGLESON, MYSTEE | AM FUNDS NEW WORLD A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/01/2017 | JONES, TIM | AM FUNDS NEW WORLD A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 09/01/2017 | ELIAS, CRISTA | AM FUNDS NEW WORLD A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.78 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS NEW WORLD A | 0.00 | 5.95 | 0.00 | 5.95 | 90.0 | 5.36 |

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|--|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/15/2017 | ROEMER, SHERRI | AM FUNDS NEW WORLD A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 09/18/2017 | MUSSEY, LORI | AM FUNDS NEW WORLD A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 09/01/2017 | HARKELROAD, JOY | AM FUNDS NEW WORLD C | 0.00 | 16.05 | 0.00 | 16.05 | 90.0 | 14.45 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS NEW WORLD C | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 09/01/2017 | DRUHOT, SCOTT | AM FUNDS NEW WORLD FUND F1 | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 3.20 | 0.00 | 3.20 | 90.0 | 2.88 |
| 09/01/2017 | SHANK, DEAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.56 |
| 09/01/2017 | HOFFMAN, JOANN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 1.85 |
| 09/01/2017 | HOFFMAN, MARK | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 09/01/2017 | PATTERSON, JANITA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 5.53 | 0.00 | 5.53 | 90.0 | 4.98 |
| 09/01/2017 | EAGLESON, MARTHA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.55 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 14.35 | 0.00 | 14.35 | 90.0 | 12.92 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 7.01 | 0.00 | 7.01 | 90.0 | 6.31 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 5.13 | 0.00 | 5.13 | 90.0 | 4.62 |
| 09/01/2017 | KINDSCHY, CYNTHIA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 3.57 | 0.00 | 3.57 | 90.0 | 3.21 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 1.70 |
| 09/01/2017 | KUMFER, JOSEPH | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 6.33 | 0.00 | 6.33 | 90.0 | 5.70 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 7.29 | 0.00 | 7.29 | 90.0 | 6.56 |
| 09/01/2017 | PER, ADAM | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| 09/01/2017 | SHANK, CAROLE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.47 |
| 09/01/2017 | BLAIR, BRIAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 09/01/2017 | REMENTSCHNEIDER, MARY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 1.67 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 4.71 | 0.00 | 4.71 | 90.0 | 4.24 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 2.09 |
| 09/01/2017 | RATTY, MARY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 1.76 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 12.90 | 0.00 | 12.90 | 90.0 | 11.61 |
| 09/01/2017 | COCKROFT, MARK | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.57 |
| 09/01/2017 | CZARNECKI, DENNIS | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | PARROT, JUDITH | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.94 | 0.00 | 2.94 | 90.0 | 2.65 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 1.14 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 4.53 | 0.00 | 4.53 | 90.0 | 4.08 |
| 09/01/2017 | LOWDEN, JAMES | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.64 | 0.00 | 2.64 | 90.0 | 2.38 |
| 09/01/2017 | HERBER, MARK | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 4.19 | 0.00 | 4.19 | 90.0 | 3.77 |
| 09/01/2017 | LYTLE, KEAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 1.81 |
| 09/01/2017 | SULLIVAN, DIAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | SULLIVAN, DIAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 09/01/2017 | IN/TOD | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| 09/01/2017 | BRUNTON, EMILY | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.59 | 0.00 | 2.59 | 90.0 | 2.33 |
| 09/01/2017 | PATEL, GITA | AM FUNDS SMALLCAP WORLD A | 0.00 | 4.19 | 0.00 | 4.19 | 90.0 | 3.77 |
| 09/01/2017 | GOODMAN, ROBERT | AM FUNDS SMALLCAP WORLD A | 0.00 | 25.37 | 0.00 | 25.37 | 90.0 | 22.83 |
| 09/01/2017 | GOODMAN, ROBERT | AM FUNDS SMALLCAP WORLD A | 0.00 | 5.26 | 0.00 | 5.26 | 90.0 | 4.73 |
| 09/01/2017 | GALENTINE, ASHLEY | AM FUNDS SMALLCAP WORLD A | 0.00 | 13.62 | 0.00 | 13.62 | 90.0 | 12.26 |
| 09/01/2017 | PATEL, JASWANT | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.22 | 0.00 | 3.22 | 90.0 | 2.90 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS SMALLCAP WORLD A | 0.00 | 67.73 | 0.00 | 67.73 | 90.0 | 60.96 |
| 09/01/2017 | MURPHY, SHARI | AM FUNDS SMALLCAP WORLD A | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 3.65 |
| 09/01/2017 | MURPHY, LOU | AM FUNDS SMALLCAP WORLD A | 0.00 | 8.51 | 0.00 | 8.51 | 90.0 | 7.66 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS SMALLCAP WORLD A | 0.00 | 14.32 | 0.00 | 14.32 | 90.0 | 12.89 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 15.66 | 0.00 | 15.66 | 90.0 | 14.09 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 3.68 | 0.00 | 3.68 | 90.0 | 3.31 |
| 09/01/2017 | REMENTSCHNEIDER, MARY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 1.72 |
| 09/01/2017 | SIEBER, PAUL | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 4.32 | 0.00 | 4.32 | 90.0 | 3.89 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 2.36 |
| 09/01/2017 | LINSKY, MARCIA | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 8.55 | 0.00 | 8.55 | 90.0 | 7.70 |
| 09/01/2017 | CACCAMO, MICHAEL | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 1.77 |
| 09/01/2017 | WILLIAMS, BEVERLY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.33 | 0.00 | 1.33 | 90.0 | 1.20 |
| 09/01/2017 | O'CONNELL, KATHLEEN | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 1.40 |
| 09/01/2017 | HELLER, ADAM | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 09/01/2017 | CAPPLEMAN, BETTIE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 12.36 | 0.00 | 12.36 | 90.0 | 11.12 |
| 09/01/2017 | POORMAN, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 2.10 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | PINNELL, J MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| 09/01/2017 | FISCHER, HELEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/01/2017 | WILLING, AARON | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.58 | 0.00 | 3.58 | 90.0 | 3.22 |
| 09/01/2017 | TULLOCH, CAROLYN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 09/01/2017 | SIMPSON, LYLE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.93 | 0.00 | 8.93 | 90.0 | 8.04 |
| 09/01/2017 | SIMPSON, KATHRYN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.20 | 0.00 | 9.20 | 90.0 | 8.28 |
| 09/01/2017 | BROCKMANO, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| 09/01/2017 | BAILEY, TERRY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 6.28 |
| 09/01/2017 | CALKINS, BARBARA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 1.55 |
| 09/01/2017 | DILLIE, KERI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 6.28 |
| 09/01/2017 | MORHART, JAMES | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 09/01/2017 | MORHART, KAY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.16 | 0.00 | 4.16 | 90.0 | 3.74 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| 09/01/2017 | SWAIDNER, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.64 | 0.00 | 3.64 | 90.0 | 3.28 |
| 09/01/2017 | NEWBAUER, JOSHUA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| 09/01/2017 | MCDUGAL, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 09/01/2017 | WIKTOROWICZ, JOSEPH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.99 |
| 09/01/2017 | MURPHY, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.68 | 0.00 | 3.68 | 90.0 | 3.31 |
| 09/01/2017 | SAINSBURY, PATRICIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.22 | 0.00 | 4.22 | 90.0 | 3.80 |
| 09/01/2017 | SCHAEFER, LOLA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 2.40 |
| 09/01/2017 | AMARO, ALEXANDER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.47 | 0.00 | 8.47 | 90.0 | 7.62 |
| 09/01/2017 | BRUNTON, JOSEI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 09/01/2017 | BRUNTON, AKTSGA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 09/01/2017 | BRUNTON, RYAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 1.52 |
| 09/01/2017 | BURNS, MARCIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/01/2017 | MORHART, JAMES | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.51 | 0.00 | 3.51 | 90.0 | 3.16 |
| 09/01/2017 | VIELKIND, LAWRENCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 2.64 |
| 09/01/2017 | WOEHNKER, JOSEPH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 1.05 |
| 09/01/2017 | FRANKS, PATRICK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| 09/01/2017 | MILLER, JULIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.80 | 0.00 | 8.80 | 90.0 | 7.92 |
| 09/01/2017 | BOKHART, GORDON | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.10 | 0.00 | 8.10 | 90.0 | 7.29 |
| 09/01/2017 | OAKES, ERIN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 1.05 |
| 09/01/2017 | BRUNTON, GABRIEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/01/2017 | WILLIAM, JACOB | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.43 |
| 09/01/2017 | AMBRIOLE, JANICE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 1.52 |
| 09/01/2017 | MOSURE, MONICA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.02 | 0.00 | 7.02 | 90.0 | 6.32 |
| 09/01/2017 | CLARK, KATHLEEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 2.05 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |
| 09/01/2017 | WEIDES, MARK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.41 | 0.00 | 4.41 | 90.0 | 3.97 |
| 09/01/2017 | ZINN, DIANE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.80 | 0.00 | 3.80 | 90.0 | 3.42 |
| 09/01/2017 | LEVERMAN, PENNY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 3.99 |
| 09/01/2017 | HEIDENREICH, PATRICK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.04 | 0.00 | 8.04 | 90.0 | 7.24 |
| 09/01/2017 | SORG, RIC | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 09/01/2017 | CSUHTA, JULIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 2.64 |
| 09/01/2017 | AMARO, SOPHIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.69 | 0.00 | 6.69 | 90.0 | 6.02 |
| 09/01/2017 | BENSON, KARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.42 |
| 09/01/2017 | WINFIELD, APRIL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | MAHONY, KAMI LYNN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 2.68 |
| 09/01/2017 | NICOLET, CHERYL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.09 | 0.00 | 14.09 | 90.0 | 12.68 |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 09/01/2017 | SAINSBURY, DALE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | SAMUDIO, SHERRY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.06 | 0.00 | 7.06 | 90.0 | 6.35 |
| 09/01/2017 | WILKIN, CYNTHIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 1.97 |
| 09/01/2017 | COCKROFT, EDYTHE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.18 | 0.00 | 4.18 | 90.0 | 3.76 |
| 09/01/2017 | URICK, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.43 | 0.00 | 5.43 | 90.0 | 4.89 |
| 09/01/2017 | WIGGINS, CHRISTA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 1.86 |
| 09/01/2017 | ASCHLIMAN, BRETT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.73 |
| 09/01/2017 | RATTY, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 1.52 |
| 09/01/2017 | GALENTINE, ASHLEY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |
| 09/01/2017 | AMARO, ETHAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 09/01/2017 | MUSKIN, VERONICA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 2.96 |
| 09/01/2017 | MULDOON, MARGARET | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 09/01/2017 | COGDELL, CARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 1.36 |
| 09/01/2017 | NICOLET, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.33 | 0.00 | 7.33 | 90.0 | 6.60 |
| 09/01/2017 | DELAGARZA, DEBRA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 09/01/2017 | HERBER, TRINA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.44 | 0.00 | 5.44 | 90.0 | 4.90 |

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|---------------------------------------|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/01/2017 | DERBYSHIRE, KAREN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.42 |
| 09/01/2017 | SAMELS, GREGORY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.16 | 0.00 | 0.16 | 90.0 | 0.14 |
| 09/01/2017 | STANSBERRY, NANCY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| 09/01/2017 | MEIER, KIMBERLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 09/01/2017 | EAGLESON, SAMUEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.60 |
| 09/01/2017 | OAKES, ANDREW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | ZINN, JEANNETTE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.49 | 0.00 | 8.49 | 90.0 | 7.64 |
| 09/01/2017 | HEES, TAMERA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 3.65 |
| 09/01/2017 | CACCAMO TRUST | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 2.32 |
| 09/01/2017 | FLORENCE, SHIRLEY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 09/01/2017 | LOWDEN, KATHERINE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 18.33 | 0.00 | 18.33 | 90.0 | 16.50 |
| 09/01/2017 | DEJOHN, SHARLEEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 11.11 | 0.00 | 11.11 | 90.0 | 10.00 |
| 09/01/2017 | NEWBAUER, CAMERON | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.55 | 0.00 | 4.55 | 90.0 | 4.10 |
| 09/01/2017 | MURPHY, LOU | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.02 | 0.00 | 8.02 | 90.0 | 7.22 |
| 09/01/2017 | MURPHY, WILLIAM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 13.29 | 0.00 | 13.29 | 90.0 | 11.96 |
| 09/01/2017 | BRUNTON, ZACHARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| 09/01/2017 | ZINN, JEFFREY | AMERICAN FUNDS BALANCED FUNDS F-1 | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| 09/01/2017 | MESEKE, GILBERT | AMERICAN FUNDS BALANCED FUNDS F-1 | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 1.85 |
| 09/01/2017 | LAYMAN, VICKI | AMERICAN FUNDS BALANCED FUNDS F-1 | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 2.18 |
| 09/01/2017 | WILKIN, CYNTHIA | AMERICAN FUNDS CORPORATE BOND FD A | 0.00 | 7.17 | 0.00 | 7.17 | 90.0 | 6.45 |
| 09/01/2017 | RAMEY, MELISSA | AMERICAN FUNDS CORPORATE BOND FD A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.40 |
| / / | GEVERINK, ANN | ASCENSUS COLLEGE SAV 194524518 | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 09/14/2017 | FREEZE, CORTNEY | ASCENSUS COLLEGE SAV 194524518 | 15.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/14/2017 | FREEZE, CORTNEY | ASCENSUS INA AMERICAN FUNDS EUROPAC | 15.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/22/2017 | GEVERINK, ANN | ASCENSUS INA AMERICAN FUNDS EUROPAC | 30.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 09/14/2017 | MULLINS, CYNTHIA | ASCENSUS INA COLLEGE PORTFOLIO CL C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/14/2017 | FREEZE, CORTNEY | ASCENSUS INA PIMCO TOTAL RETURN POR | 15.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |

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|---------------------------------------|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA PIMCO TOTAL RETURN POR | 13.87 | 0.45 | 0.00 | 0.45 | 90.0 | 0.41 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA PIMCO TOTAL RETURN POR | 27.73 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 09/22/2017 | GEVERINK, ANN | ASCENSUS INA PIMCO TOTAL RETURN POR | 40.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 41.60 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 48.53 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 34.67 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 09/22/2017 | GEVERINK, ANN | ASCENSUS INA T ROWE PRICE LG CAP GR | 50.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 41.60 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 48.53 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 09/19/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 34.67 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 09/22/2017 | GEVERINK, ANN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 50.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/14/2017 | FREEZE, CORTNEY | ASCENSUS-INA LG CAP INDEX PF CL A | 55.00 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |
| 09/14/2017 | SCHUCH, AUTUMN | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 09/14/2017 | SCHUCH, AUTUMN | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 09/22/2017 | JACKSON, BRENDA | ASCENSUS-INA LG CAP INDEX PF CL A | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 09/01/2017 | EAGLESON, MARTHA | INFLATION LINKED BOND FUND A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.56 |
| 09/01/2017 | NICOLET, CHERYL | INFLATION LINKED BOND FUND A | 0.00 | 14.23 | 0.00 | 14.23 | 90.0 | 12.81 |
| 09/01/2017 | WILKIN, CYNTHIA | INFLATION LINKED BOND FUND A | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 6.28 |
| 09/01/2017 | HELLER, ADAM | INFLATION LINKED BOND FUND A | 0.00 | 7.53 | 0.00 | 7.53 | 90.0 | 6.78 |
| 09/01/2017 | PER, ADAM | INFLATION LINKED BOND FUND A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 09/01/2017 | LINSKY, MARCIA | INFLATION LINKED BOND FUND A | 0.00 | 13.09 | 0.00 | 13.09 | 90.0 | 11.78 |
| 09/01/2017 | CACCAMO, MICHAEL | INFLATION LINKED BOND FUND A | 0.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 09/01/2017 | LYTLE, KEAN | INFLATION LINKED BOND FUND A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 09/01/2017 | HELLER, ADAM | INFLATION LINKED BOND FUND A | 0.00 | 2.77 | 0.00 | 2.77 | 90.0 | 2.49 |
| 09/01/2017 | WEIDES, LISA | INFLATION LINKED BOND FUND A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/01/2017 | SULLIVAN, DIAN | INFLATION LINKED BOND FUND A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.80 |
| 09/01/2017 | SULLIVAN, DIAN | INFLATION LINKED BOND FUND A | 0.00 | 3.18 | 0.00 | 3.18 | 90.0 | 2.86 |
| 09/01/2017 | RAMEY, MELISSA | INFLATION LINKED BOND FUND A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 09/01/2017 | RAMEY, MELISSA | INFLATION LINKED BOND FUND A | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.72 |
| 09/01/2017 | IN/TOD | INFLATION LINKED BOND FUND A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 09/15/2017 | SCHUCH, AUTUMN | OPPENHEIMER CAPITAL APPRECIATION A | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 09/15/2017 | SEELY, CHARLES | OPPENHEIMER GLOBAL STRATEGIC INC C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/15/2017 | GALENTINE, JUSTIN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 200.00 | 9.50 | 0.00 | 9.50 | 90.0 | 8.55 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/15/2017 | URICK, DANIEL | TRANSAMERICA CAPITAL GROWTH A | 100.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 09/05/2017 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 100.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 09/15/2017 | DELANEY, DIANA | VANGUARD 500 INDEX FUND INVESTOR SH | 150.00 | 0.00 | 12.00 | -12.00 | 90.0 | -10.80 |
| 09/15/2017 | DELANEY, MATTHEW | VANGUARD 500 INDEX FUND INVESTOR SH | 25.00 | 0.00 | 12.00 | -12.00 | 90.0 | -10.80 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$4,966.00 | \$6,184.02 | \$24.00 | \$6,160.02 | | \$5,544.47 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 09/25/2017 | VAN AUKEN, KAREN | SPDR SER TR S&P BIOTECH ETF | -8,163.77 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 09/25/2017 | VAN AUKEN, KAREN | SPDR SER TR S&P PHARMACEUTICALS ETF | -8,332.70 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 09/25/2017 | VAN AUKEN, KAREN | VANGUARD SCOTTSDALE FDS VANGUARD SH | -8,492.03 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| * STOCKS SUBTOTAL * | | | \$-24,988.50 | \$0.00 | \$67.50 | \$-67.50 | | \$-60.75 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 09/15/2017 | KAUFMAN, KATRINA | NWL BOA NG FP VUL | 50.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$50.00 | \$1.00 | \$0.00 | \$1.00 | | \$0.90 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$-19,972.50 | \$6,508.22 | \$91.50 | \$6,416.72 | | \$5,775.50 |

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209**

| | | | | | | | | |
|------------|------------------|------------------------------|------|------|------|------|------|------|
| 09/01/2017 | ROEBEL, DAVID | AM FUNDS 2020 TARGET DATE-A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 1.16 |
| 09/01/2017 | RICE, SCOTT | AM FUNDS 2025 TARGET DATE-A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.79 |
| 09/01/2017 | SCOTT, JAMES | AM FUNDS 2040 TARGET DATE-A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 1.50 |
| 09/01/2017 | DREW, KEVIN | AM FUNDS 2050 TARGET DATE-A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| 09/01/2017 | ROOS, DEBORAH | AM FUNDS AMCAP A | 0.00 | 4.86 | 0.00 | 4.86 | 90.0 | 4.37 |
| 09/01/2017 | TOURNEY, JOSEPH | AM FUNDS AMCAP A | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 09/01/2017 | VICKREY, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.39 |
| 09/01/2017 | FITCH, JAMES | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 1.60 |
| 09/01/2017 | SITES, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 09/01/2017 | DORSETT, LARA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 09/01/2017 | LITWINKO, TERI | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.49 |
| 09/01/2017 | STRACK, AMANDA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 09/01/2017 | SCHENKEL, HUNTER | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 1.23 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u> | | | | | | | | |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| 09/01/2017 | BROWN, KAY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 09/15/2017 | DORSETT, LARA | AM FUNDS AMERICAN BALANCED A | 100.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 09/01/2017 | HABESHY, MAGDY | AM FUNDS AMERICAN BALANCED C | 0.00 | 5.06 | 0.00 | 5.06 | 90.0 | 4.55 |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.54 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 09/01/2017 | ROOS, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 1.09 |
| 09/01/2017 | KLINE, NANCY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 09/01/2017 | VICKREY, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.78 |
| 09/01/2017 | FITCH, JAMES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 09/01/2017 | ERVIN, DERRICK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| 09/18/2017 | KLINE, NANCY | AM FUNDS CAPITAL WORLD GRTH & INC A | 500.00 | 8.75 | 0.00 | 8.75 | 90.0 | 7.88 |
| 09/01/2017 | SHERWOOD, JULIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 09/01/2017 | KLINE, NANCY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 09/01/2017 | GATER-BITTING, DEVIN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 09/01/2017 | VICKREY, JOHN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.94 |
| 09/01/2017 | ROBERTSON, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 09/01/2017 | FITCH, JAMES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.35 |
| 09/01/2017 | ERVIN, DERRICK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.01 | 0.00 | 0.01 | 90.0 | 0.01 |
| 09/01/2017 | STRACK, ARTHUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 09/01/2017 | STANLEY, JOHN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.49 |
| 09/15/2017 | ROBERTSON, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A | 200.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| 09/18/2017 | KLINE, NANCY | AM FUNDS GROWTH FUND OF AMERICA A | 500.00 | 8.75 | 0.00 | 8.75 | 90.0 | 7.88 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| 09/01/2017 | STANLEY, LAURA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 09/14/2017 | SHERWOOD, JULIE | ASCENSUS INA 2019 ENROLLMENT PORT C | 50.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/14/2017 | MULLINS, JAMES | ASCENSUS INA 2022 ENROLLMENT PTF A | 50.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 09/22/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u> | | | | | | | | |
| 09/22/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| / / | SHERWOOD, JULIE | ASCENSUS INA COLLEGE PORTFOLIO CL A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 09/22/2017 | LINN, JASON | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 09/22/2017 | LINN, JASON | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 09/22/2017 | EGLY, KEITH | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 09/22/2017 | LINN, JASON | ASCENSUS-INA LG CAP INDEX PF CL A | 38.50 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 09/22/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 09/22/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 09/13/2017 | BURTNETTE, PATRICIA | BR TOTAL INC & REAL ESTATE FUND C | 0.00 | 15.64 | 0.00 | 15.64 | 90.0 | 14.08 |
| 09/01/2017 | STANLEY, JOHN | INFLATION LINKED BOND FUND A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 09/01/2017 | STANLEY, LAURA | INFLATION LINKED BOND FUND A | 0.00 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL * | | | \$1,630.00 | \$79.99 | \$0.00 | \$79.99 | | \$72.02 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$1,630.00 | \$79.99 | \$0.00 | \$79.99 | | \$72.02 |

| | | | | | | | | |
|--|------------------|-----------------------------------|-----------------|----------------|---------------|----------------|------|----------------|
| <u> OVERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: WILLIAM LAYMAN #207</u> | | | | | | | | |
| 09/01/2017 | LAYMAN, GEOFFREY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.42 | 0.00 | 1.42 | 45.0 | 0.64 |
| 09/01/2017 | DIRIG, SARAH | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.23 | 0.00 | 0.23 | 45.0 | 0.10 |
| 09/01/2017 | RABER, AMY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.03 | 0.00 | 0.03 | 45.0 | 0.01 |
| 09/15/2017 | RABER, AMY | AM FUNDS AMERICAN MUTUAL A | 300.00 | 15.00 | 0.00 | 15.00 | 45.0 | 6.75 |
| 09/01/2017 | BOUTWELL, SHANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 37.63 | 0.00 | 37.63 | 45.0 | 16.93 |
| * WILLIAM LAYMAN SUBTOTAL * | | | \$300.00 | \$54.31 | \$0.00 | \$54.31 | | \$24.43 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$300.00 | \$54.31 | \$0.00 | \$54.31 | | \$24.43 |

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|---------------------------|--------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 09/30/2017 | | *FINRA: CRD REG APP JAMIE | 0.00 | | | | | -100.00 |
| 09/30/2017 | | *FINRA: FIRM ELEMENT CONTIN ED JAMI | 0.00 | | | | | -125.00 |
| 09/30/2017 | | *FINRA: SERIES 7 EXAM WINDOW JAMIE | 0.00 | | | | | -305.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-530.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$5,775.50 |
| Split Transactions | \$72.02 |
| Override Transactions | \$24.43 |
| Adjustments | \$-530.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-2,004.51 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$3,337.44 |
| Year-to-date Gross | \$44,820.09 |
| Year-to-date Earnings | \$39,149.50 |

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