

**COMMISSION STATEMENT****February 28, 2018**KEITH, L128 LAYMAN
4321 FlagstaffBROKER #: L128
BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
02/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
* MUTUAL FUNDS SUBTOTAL *			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20
*** CLEARING TRANSACTIONS TOTAL ***			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
02/15/2018	NEWBAUER, CAMERON	AM FUNDS AMERICAN BALANCED 529A	50.00	1.38	0.00	1.38	80.0	1.10
02/15/2018	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	1.38	0.00	1.38	80.0	1.10
02/15/2018	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	80.0	2.20
02/15/2018	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	80.0	2.20
02/15/2018	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	80.0	2.20
02/15/2018	NEWBAUER, CAMERON	AM FUNDS ICA 529A	100.00	2.75	0.00	2.75	80.0	2.20
02/08/2018	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	40.00	1.90	0.00	1.90	80.0	1.52
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	50.00	1.63	0.00	1.63	80.0	1.30
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	50.00	1.63	0.00	1.63	80.0	1.30
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	50.00	1.63	0.00	1.63	80.0	1.30
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	50.00	1.63	0.00	1.63	80.0	1.30
02/14/2018	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	15.00	0.71	0.00	0.71	80.0	0.57
02/16/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
02/16/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
02/16/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
02/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
02/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
02/08/2018	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	160.00	7.60	0.00	7.60	80.0	6.08

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: 529 PLANS								
02/13/2018	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	600.00	24.00	0.00	24.00	80.0	19.20
02/13/2018	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	600.00	24.00	0.00	24.00	80.0	19.20
02/16/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	41.60	1.66	0.00	1.66	80.0	1.33
02/16/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
02/16/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
02/14/2018	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	15.00	0.71	0.00	0.71	80.0	0.57
02/16/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
02/16/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
02/16/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
* 529 PLANS SUBTOTAL *			\$2,479.60	\$93.93	\$0.00	\$93.93		\$75.09
PRODUCT CATEGORY: MUTUAL FUNDS								
02/08/2018	NORRIS, DANAE	AM FUNDS AMERICAN BALANCED A	500.00	25.00	0.00	25.00	80.0	20.00
02/09/2018	IN/TOD	AM FUNDS AMERICAN BALANCED A	1,000.00	50.00	0.00	50.00	80.0	40.00
02/09/2018	SAINSBURY, JAMES	AM FUNDS AMERICAN BALANCED A	1,000.00	50.00	0.00	50.00	80.0	40.00
02/12/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
02/12/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
02/15/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
02/15/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
02/07/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
02/15/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
02/15/2018	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.88	0.00	1.88	80.0	1.50
02/07/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
02/12/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
02/15/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
02/15/2018	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	80.0	1.50
02/12/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
02/15/2018	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	50.00	1.88	0.00	1.88	80.0	1.50
02/15/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
02/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	80.0	1.30
02/07/2018	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	80.0	1.30
02/08/2018	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	40.00	1.30	0.00	1.30	80.0	1.04
02/14/2018	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	15.00	0.49	0.00	0.49	80.0	0.39

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/16/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	80.0	0.36
02/16/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	80.0	0.72
02/08/2018	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	160.00	7.60	0.00	7.60	80.0	6.08
02/13/2018	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	600.00	24.00	0.00	24.00	80.0	19.20
02/13/2018	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	600.00	24.00	0.00	24.00	80.0	19.20
02/16/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	41.60	1.66	0.00	1.66	80.0	1.33
02/16/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	80.0	1.55
02/16/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	80.0	1.11
02/12/2018	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	150.00	7.13	0.00	7.13	80.0	5.70
02/14/2018	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	55.00	2.61	0.00	2.61	80.0	2.09
02/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
02/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
02/15/2018	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
02/15/2018	SEELY, CHARLES	OPPENHEIMER GLOBAL STRATEGIC INC C	60.00	0.60	0.00	0.60	80.0	0.48
02/15/2018	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	200.00	9.50	0.00	9.50	80.0	7.60
02/15/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
02/05/2018	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$6,351.40	\$278.33	\$0.00	\$278.33		\$222.61
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
* VARIABLE ANNUITIES SUBTOTAL *			\$50.00	\$1.00	\$0.00	\$1.00		\$0.80
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.58	0.00	0.58	80.0	0.46
02/16/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	80.0	0.23
02/16/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	80.0	0.23
02/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	80.0	0.16
02/16/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	6.60	0.00	6.60	80.0	5.28
02/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	80.0	0.33
03/15/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	80.0	0.43
03/15/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.27	0.00	0.27	80.0	0.22
03/15/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	80.0	0.23
03/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	80.0	0.27

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	6.64	0.00	6.64	80.0	5.31
03/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	80.0	0.30
04/20/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	80.0	0.48
04/20/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	80.0	0.24
04/20/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	80.0	0.40
04/20/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	80.0	0.30
04/20/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	9.93	0.00	9.93	80.0	7.94
04/20/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	80.0	0.34
05/16/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	80.0	0.48
05/16/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	80.0	0.26
05/16/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	80.0	0.41
05/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	80.0	0.30
05/16/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	9.83	0.00	9.83	80.0	7.86
05/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	80.0	0.34
06/15/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	80.0	0.50
06/15/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.82	0.00	0.82	80.0	0.66
06/15/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	80.0	0.57
06/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	80.0	0.30
06/15/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.17	0.00	10.17	80.0	8.14
06/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	80.0	0.34
07/18/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	80.0	0.49
07/18/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	80.0	0.68
07/18/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	80.0	0.63
07/18/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	80.0	0.30
07/18/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	9.95	0.00	9.95	80.0	7.96
07/18/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	80.0	0.34
08/15/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	80.0	0.51
08/15/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	80.0	0.76
08/15/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	80.0	0.75
08/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	80.0	0.32
08/15/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.51	0.00	10.51	80.0	8.41
08/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	80.0	0.36
09/16/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	80.0	0.51

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	80.0	0.76
09/16/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	80.0	0.75
09/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	80.0	0.32
09/16/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.57	0.00	10.57	80.0	8.46
09/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	80.0	0.36
10/17/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	80.0	0.50
10/17/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	80.0	0.92
10/17/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.91	0.00	0.91	80.0	0.73
10/17/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	80.0	0.30
10/17/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.16	0.00	10.16	80.0	8.13
10/17/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	80.0	0.34
10/17/2016	KING, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	2.66	0.00	2.66	80.0	2.13
11/18/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.64	0.00	0.64	80.0	0.51
11/18/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.27	0.00	1.27	80.0	1.02
11/18/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	80.0	0.75
11/18/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	80.0	0.32
11/18/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.50	0.00	10.50	80.0	8.40
11/18/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	80.0	0.36
11/18/2016	KING, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	3.45	0.00	3.45	80.0	2.76
12/15/2016	BERNDT, TODD	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	80.0	0.50
12/15/2016	KAUFFMAN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	80.0	0.98
12/15/2016	FEDLER, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	0.99	0.00	0.99	80.0	0.79
12/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	0.38	0.00	0.38	80.0	0.30
12/15/2016	ZINN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	10.19	0.00	10.19	80.0	8.15
12/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	80.0	0.35
12/15/2016	KING, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	80.0	1.63
02/16/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.49	0.00	2.49	80.0	1.99
03/15/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.32	0.00	2.32	80.0	1.86
04/20/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.58	0.00	2.58	80.0	2.06
05/16/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.55	0.00	2.55	80.0	2.04
06/15/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.64	0.00	2.64	80.0	2.11
07/18/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.58	0.00	2.58	80.0	2.06
08/15/2016	WALLS, ELENA	AM FUNDS AMERICAN BALANCED C	0.00	2.19	0.00	2.19	80.0	1.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.20	0.00	0.20	80.0	0.16
02/16/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.14	0.00	0.14	80.0	0.11
02/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.62	0.00	0.62	80.0	0.50
03/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.34	0.00	0.34	80.0	0.27
03/15/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.13	0.00	0.13	80.0	0.10
03/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.57	0.00	0.57	80.0	0.46
04/20/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.39	0.00	0.39	80.0	0.31
04/20/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
04/20/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.64	0.00	0.64	80.0	0.51
05/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.38	0.00	0.38	80.0	0.30
05/16/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
05/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.64	0.00	0.64	80.0	0.51
06/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	80.0	0.32
06/15/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
06/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.67	0.00	0.67	80.0	0.54
07/18/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	80.0	0.32
07/18/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
07/18/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.66	0.00	0.66	80.0	0.53
08/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.42	0.00	0.42	80.0	0.34
08/15/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
08/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.69	0.00	0.69	80.0	0.55
09/16/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.42	0.00	0.42	80.0	0.34
09/16/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
09/16/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.70	0.00	0.70	80.0	0.56
10/17/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.41	0.00	0.41	80.0	0.33
10/17/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
10/17/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.69	0.00	0.69	80.0	0.55
11/18/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.43	0.00	0.43	80.0	0.34
11/18/2016	NICHOLS, MARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.05	0.00	0.05	80.0	0.04
11/18/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.72	0.00	0.72	80.0	0.58
11/18/2016	NICHOLS, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.05	0.00	0.05	80.0	0.04
11/18/2016	VAN AUKEN, KAREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.07	0.00	0.07	80.0	0.06
12/15/2016	ARCHBOLD, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.42	0.00	0.42	80.0	0.34

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	WILLIAMS, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.69	0.00	0.69	80.0	0.55
12/15/2016	NICHOLS, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.08	0.00	0.08	80.0	0.06
12/15/2016	VAN AUKEN, KAREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.08	0.00	0.08	80.0	0.06
02/16/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
03/15/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.18	0.00	0.18	80.0	0.14
04/20/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
05/16/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
06/15/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
07/18/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
08/15/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.20	0.00	0.20	80.0	0.16
09/16/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.20	0.00	0.20	80.0	0.16
10/17/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
11/18/2016	NICHOLS, MARY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.05	0.00	0.05	80.0	0.04
11/18/2016	NICHOLS, ALAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
11/18/2016	VAN AUKEN, KAREN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
12/15/2016	NICHOLS, ALAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.09	0.00	0.09	80.0	0.07
12/15/2016	VAN AUKEN, KAREN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.09	0.00	0.09	80.0	0.07
02/16/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	80.0	0.19
02/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.53	0.00	5.53	80.0	4.42
03/15/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	80.0	0.18
03/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.03	0.00	0.03	80.0	0.02
03/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.52	0.00	5.52	80.0	4.42
04/20/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	80.0	0.21
04/20/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	80.0	0.21
04/20/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.82	0.00	7.82	80.0	6.26
05/16/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	80.0	0.20
05/16/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	80.0	0.21
05/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.72	0.00	7.72	80.0	6.18
06/15/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	80.0	0.21
06/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	80.0	0.22
06/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.98	0.00	7.98	80.0	6.38
06/15/2016	PEPPLE, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	80.0	0.41
07/18/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.50	0.00	0.50	80.0	0.40

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	80.0	0.26
07/18/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.79	0.00	7.79	80.0	6.23
08/15/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	80.0	0.66
08/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	80.0	0.34
08/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.28	0.00	8.28	80.0	6.62
09/16/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	80.0	0.66
09/16/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	80.0	0.34
09/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.31	0.00	8.31	80.0	6.65
10/17/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	80.0	0.81
10/17/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	0.00	0.40	80.0	0.32
10/17/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.00	0.00	8.00	80.0	6.40
10/17/2016	KING, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.55	0.00	2.55	80.0	2.04
11/18/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.09	0.00	1.09	80.0	0.87
11/18/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	80.0	0.33
11/18/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.14	0.00	8.14	80.0	6.51
11/18/2016	KING, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.25	0.00	3.25	80.0	2.60
12/15/2016	KAUFFMAN, JAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.03	0.00	1.03	80.0	0.82
12/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	80.0	0.31
12/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.72	0.00	7.72	80.0	6.18
12/15/2016	KING, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.95	0.00	1.95	80.0	1.56
02/16/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	80.0	0.14
03/15/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.16	0.00	0.16	80.0	0.13
04/20/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	80.0	0.14
05/16/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	80.0	0.14
06/15/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	80.0	0.14
07/18/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	80.0	0.14
08/15/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	80.0	0.14
09/16/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	80.0	0.14
10/17/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.18	0.00	0.18	80.0	0.14
11/18/2016	NICHOLS, MARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	80.0	0.04
11/18/2016	NICHOLS, ALAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	80.0	0.05
11/18/2016	VAN AUKEN, KAREN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.08	0.00	0.08	80.0	0.06
12/15/2016	NICHOLS, ALAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.09	0.00	0.09	80.0	0.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	VAN AUKEN, KAREN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.08	0.00	0.08	80.0	0.06
02/16/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	80.0	0.19
02/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	80.0	2.40
02/16/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	80.0	0.14
03/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	80.0	0.18
03/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.05	0.00	3.05	80.0	2.44
03/15/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	80.0	0.14
04/20/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	80.0	0.20
04/20/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.03	0.00	5.03	80.0	4.02
04/20/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	80.0	0.15
05/16/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	80.0	0.20
05/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.00	0.00	5.00	80.0	4.00
05/16/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	80.0	0.15
06/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	80.0	0.20
06/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.13	0.00	5.13	80.0	4.10
06/15/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	80.0	0.15
07/18/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	80.0	0.24
07/18/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.00	0.00	5.00	80.0	4.00
07/18/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	80.0	0.15
08/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	80.0	0.30
08/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.30	0.00	5.30	80.0	4.24
08/15/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	80.0	0.16
09/16/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	80.0	0.31
09/16/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.43	0.00	5.43	80.0	4.34
09/16/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	80.0	0.16
10/17/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	80.0	0.47
10/17/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.26	0.00	5.26	80.0	4.21
10/17/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	80.0	0.16
11/18/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	80.0	0.54
11/18/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.38	0.00	5.38	80.0	4.30
11/18/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	80.0	0.16
12/15/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	80.0	0.51
12/15/2016	ZINN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.13	0.00	5.13	80.0	4.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	WILLIAMS, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	80.0	0.15
10/17/2016	KING, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	80.0	0.58
11/18/2016	KING, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.92	0.00	0.92	80.0	0.74
12/15/2016	KING, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	80.0	0.14
02/16/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.73	0.00	3.73	80.0	2.98
03/15/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.43	0.00	3.43	80.0	2.74
04/20/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.92	0.00	3.92	80.0	3.14
05/16/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.90	0.00	3.90	80.0	3.12
06/15/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.04	0.00	4.04	80.0	3.23
07/18/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.95	0.00	3.95	80.0	3.16
08/15/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.20	0.00	4.20	80.0	3.36
09/16/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.27	0.00	4.27	80.0	3.42
10/17/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.10	0.00	4.10	80.0	3.28
11/18/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.26	0.00	4.26	80.0	3.41
12/15/2016	ZINN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.18	0.00	4.18	80.0	3.34
02/16/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	80.0	0.34
02/16/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.87	0.00	1.87	80.0	1.50
02/16/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	80.0	0.04
02/16/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	80.0	0.17
03/15/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	80.0	0.31
03/15/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.15	0.00	2.15	80.0	1.72
03/15/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	80.0	0.04
03/15/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	80.0	0.15
04/20/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.44	0.00	0.44	80.0	0.35
04/20/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.91	0.00	4.91	80.0	3.93
04/20/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
04/20/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	80.0	0.17
05/16/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.44	0.00	0.44	80.0	0.35
05/16/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.91	0.00	4.91	80.0	3.93
05/16/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
05/16/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	80.0	0.17
06/15/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	80.0	0.37
06/15/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.08	0.00	5.08	80.0	4.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
06/15/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	80.0	0.18
07/18/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	80.0	0.36
07/18/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.98	0.00	4.98	80.0	3.98
07/18/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
07/18/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	80.0	0.18
08/15/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	80.0	0.38
08/15/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.28	0.00	5.28	80.0	4.22
08/15/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
08/15/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	80.0	0.18
09/16/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	80.0	0.39
09/16/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.42	0.00	5.42	80.0	4.34
09/16/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
09/16/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	80.0	0.19
10/17/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	80.0	0.38
10/17/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.23	0.00	5.23	80.0	4.18
10/17/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
10/17/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	80.0	0.18
11/18/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	80.0	0.39
11/18/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.44	0.00	5.44	80.0	4.35
11/18/2016	NICHOLS, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	80.0	0.02
11/18/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	80.0	0.19
11/18/2016	NICHOLS, ALAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	80.0	0.02
11/18/2016	VAN AUKEN, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	80.0	0.02
12/15/2016	BERNDT, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	80.0	0.38
12/15/2016	ZINN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.27	0.00	5.27	80.0	4.22
12/15/2016	WILLIAMS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	80.0	0.18
12/15/2016	NICHOLS, ALAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	80.0	0.02
12/15/2016	VAN AUKEN, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	80.0	0.02
02/16/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.43	0.00	3.43	80.0	2.74
03/15/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.21	0.00	3.21	80.0	2.57
04/20/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.66	0.00	3.66	80.0	2.93
05/16/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.66	0.00	3.66	80.0	2.93

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.78	0.00	3.78	80.0	3.02
07/18/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.71	0.00	3.71	80.0	2.97
08/15/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.95	0.00	3.95	80.0	3.16
09/16/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	4.02	0.00	4.02	80.0	3.22
10/17/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.85	0.00	3.85	80.0	3.08
10/17/2016	KING, PATRICIA	AM FUNDS ICA A	0.00	1.70	0.00	1.70	80.0	1.36
11/18/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.98	0.00	3.98	80.0	3.18
11/18/2016	KING, PATRICIA	AM FUNDS ICA A	0.00	2.20	0.00	2.20	80.0	1.76
12/15/2016	ZINN, ROBERT	AM FUNDS ICA A	0.00	3.88	0.00	3.88	80.0	3.10
12/15/2016	KING, PATRICIA	AM FUNDS ICA A	0.00	1.14	0.00	1.14	80.0	0.91
02/16/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.43	0.00	0.43	80.0	0.34
02/16/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.72	0.00	4.72	80.0	3.78
03/15/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.40	0.00	0.40	80.0	0.32
03/15/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.43	0.00	4.43	80.0	3.54
04/20/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.45	0.00	0.45	80.0	0.36
04/20/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.96	0.00	4.96	80.0	3.97
05/16/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	80.0	0.35
05/16/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	80.0	3.93
06/15/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.46	0.00	0.46	80.0	0.37
06/15/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.08	0.00	5.08	80.0	4.06
07/18/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.45	0.00	0.45	80.0	0.36
07/18/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.97	0.00	4.97	80.0	3.98
08/15/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	80.0	0.38
08/15/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.30	0.00	5.30	80.0	4.24
09/16/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	80.0	0.38
09/16/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.34	0.00	5.34	80.0	4.27
10/17/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.46	0.00	0.46	80.0	0.37
10/17/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.14	0.00	5.14	80.0	4.11
10/17/2016	KING, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.64	0.00	2.64	80.0	2.11
11/18/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.48	0.00	0.48	80.0	0.38
11/18/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.28	0.00	5.28	80.0	4.22
11/18/2016	KING, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.40	0.00	3.40	80.0	2.72
12/15/2016	BERNDT, TODD	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.46	0.00	0.46	80.0	0.37

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	ZINN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.10	0.00	5.10	80.0	4.08
12/15/2016	KING, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.13	0.00	2.13	80.0	1.70
02/16/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
02/16/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.52	0.00	0.52	80.0	0.42
03/15/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	80.0	0.14
03/15/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.48	0.00	0.48	80.0	0.38
04/20/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
04/20/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.52	0.00	0.52	80.0	0.42
05/16/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	80.0	0.14
05/16/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.50	0.00	0.50	80.0	0.40
06/15/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
06/15/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.52	0.00	0.52	80.0	0.42
07/18/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
07/18/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.51	0.00	0.51	80.0	0.41
08/15/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
08/15/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.53	0.00	0.53	80.0	0.42
09/16/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
09/16/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.52	0.00	0.52	80.0	0.42
10/17/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
10/17/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.51	0.00	0.51	80.0	0.41
11/18/2016	NICHOLS, MARY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	80.0	0.06
11/18/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.53	0.00	0.53	80.0	0.42
11/18/2016	NICHOLS, ALAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.04	0.00	0.04	80.0	0.03
11/18/2016	VAN AUKEN, KAREN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.08	0.00	0.08	80.0	0.06
12/15/2016	WILLIAMS, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.50	0.00	0.50	80.0	0.40
12/15/2016	NICHOLS, ALAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.09	0.00	0.09	80.0	0.07
12/15/2016	VAN AUKEN, KAREN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.09	0.00	0.09	80.0	0.07
02/16/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	1.75	0.00	1.75	80.0	1.40
03/15/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	2.04	0.00	2.04	80.0	1.63
04/20/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.78	0.00	4.78	80.0	3.82
05/16/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.75	0.00	4.75	80.0	3.80
06/15/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.87	0.00	4.87	80.0	3.90
06/15/2016	PEPPLE, GLEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.81	0.00	0.81	80.0	0.65

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.73	0.00	4.73	80.0	3.78
08/15/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	5.02	0.00	5.02	80.0	4.02
09/16/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	5.14	0.00	5.14	80.0	4.11
10/17/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.98	0.00	4.98	80.0	3.98
11/18/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	5.11	0.00	5.11	80.0	4.09
12/15/2016	ZINN, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	4.85	0.00	4.85	80.0	3.88
02/16/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	1.33	0.00	1.33	80.0	1.06
03/15/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	1.64	0.00	1.64	80.0	1.31
04/20/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.13	0.00	4.13	80.0	3.30
05/16/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.14	0.00	4.14	80.0	3.31
06/15/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.22	0.00	4.22	80.0	3.38
07/18/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.14	0.00	4.14	80.0	3.31
08/15/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.42	0.00	4.42	80.0	3.54
09/16/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.57	0.00	4.57	80.0	3.66
10/17/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.43	0.00	4.43	80.0	3.54
11/18/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.58	0.00	4.58	80.0	3.66
12/15/2016	ZINN, ROBERT	AM FUNDS NEW WORLD A	0.00	4.24	0.00	4.24	80.0	3.39
02/16/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
03/15/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
04/20/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
05/16/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
06/15/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
07/18/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
08/15/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
09/16/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
10/17/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.10	0.00	0.10	80.0	0.08
11/18/2016	NICHOLS, MARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.03	0.00	0.03	80.0	0.02
11/18/2016	NICHOLS, ALAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.03	0.00	0.03	80.0	0.02
11/18/2016	VAN AUKEN, KAREN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.04	0.00	0.04	80.0	0.03
12/15/2016	KING, PATRICIA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.36	0.00	1.36	80.0	1.09
12/15/2016	NICHOLS, ALAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.05	0.00	0.05	80.0	0.04
12/15/2016	VAN AUKEN, KAREN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.05	0.00	0.05	80.0	0.04
12/15/2016	KING, PATRICIA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.13	0.00	1.13	80.0	0.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	PEPPLE, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	80.0	0.12
10/17/2016	KING, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.35	0.00	2.35	80.0	1.88
11/18/2016	KING, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.10	0.00	3.10	80.0	2.48
12/15/2016	KING, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.42	0.00	1.42	80.0	1.14
12/15/2016	KING, PATRICIA	AMERICAN FUNDS STRATEGIC BOND FUND	0.00	1.13	0.00	1.13	80.0	0.90
03/15/2016	MILLER, DANIEL	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.30	0.00	0.30	80.0	0.24
03/15/2016	MILLER, DANIEL	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.56	0.00	0.56	80.0	0.45
04/20/2016	MILLER, DANIEL	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.75	0.00	0.75	80.0	0.60
04/20/2016	MILLER, DANIEL	AMERICAN FUNDS US GOV'T SECURITIES	0.00	1.20	0.00	1.20	80.0	0.96
04/20/2016	HARMEYER, SHARYN	AMERICAN FUNDS US GOV'T SECURITIES	0.00	3.78	0.00	3.78	80.0	3.02
05/16/2016	HARMEYER, SHARYN	AMERICAN FUNDS US GOV'T SECURITIES	0.00	2.59	0.00	2.59	80.0	2.07
05/16/2016	DAILEY, RITA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.40	0.00	0.40	80.0	0.32
06/15/2016	DAILEY, RITA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.59	0.00	0.59	80.0	0.47
06/15/2016	DIETSCH, DANIEL	AMERICAN FUNDS US GOV'T SECURITIES	0.00	0.16	0.00	0.16	80.0	0.13
01/31/2018	LAYMAN, VARIOUS	DREYFUS	44,638.11	9.48	0.00	9.48	80.0	7.58
03/15/2016	MILLER, DANIEL	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.49	0.00	0.49	80.0	0.39
03/15/2016	MILLER, DANIEL	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.73	0.00	0.73	80.0	0.58
04/20/2016	MILLER, DANIEL	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	1.26	0.00	1.26	80.0	1.01
04/20/2016	MILLER, DANIEL	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	1.61	0.00	1.61	80.0	1.29
04/20/2016	HARMEYER, SHARYN	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	2.17	0.00	2.17	80.0	1.74
05/16/2016	DAILEY, RITA	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.69	0.00	0.69	80.0	0.55
06/15/2016	DAILEY, RITA	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	1.02	0.00	1.02	80.0	0.82
06/15/2016	DIETSCH, DANIEL	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.47	0.00	0.47	80.0	0.38
02/16/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.48	0.00	0.48	80.0	0.38
02/16/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.48	0.00	0.48	80.0	0.38
03/16/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.45	0.00	0.45	80.0	0.36
03/16/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.44	0.00	0.44	80.0	0.35
04/15/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.51	0.00	0.51	80.0	0.41
04/15/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
05/13/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
05/13/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
06/14/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
06/14/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.51	0.00	0.51	80.0	0.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/14/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
07/14/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
08/15/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
08/15/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
09/14/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.55	0.00	0.55	80.0	0.44
09/14/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
10/18/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
10/18/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
11/15/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
11/15/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
12/16/2016	FEDLER, KIMBERLY	FRANKLIN EQUITY INCOME A	0.00	0.53	0.00	0.53	80.0	0.42
12/16/2016	FEDLER, CHARLES	FRANKLIN EQUITY INCOME A	0.00	0.53	0.00	0.53	80.0	0.42
02/16/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.46	0.00	0.46	80.0	0.37
02/16/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.46	0.00	0.46	80.0	0.37
03/16/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.43	0.00	0.43	80.0	0.34
03/16/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.43	0.00	0.43	80.0	0.34
04/15/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.49	0.00	0.49	80.0	0.39
04/15/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.49	0.00	0.49	80.0	0.39
05/13/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.49	0.00	0.49	80.0	0.39
05/13/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.49	0.00	0.49	80.0	0.39
06/14/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.51	0.00	0.51	80.0	0.41
06/14/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.51	0.00	0.51	80.0	0.41
07/14/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
07/14/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.50	0.00	0.50	80.0	0.40
08/15/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.53	0.00	0.53	80.0	0.42
08/15/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.53	0.00	0.53	80.0	0.42
09/14/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
09/14/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
10/18/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
10/18/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
11/15/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
11/15/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.54	0.00	0.54	80.0	0.43
12/16/2016	FEDLER, KIMBERLY	FRANKLIN INCOME A	0.00	0.52	0.00	0.52	80.0	0.42

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/16/2016	FEDLER, CHARLES	FRANKLIN INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
07/14/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	1.81	0.00	1.81	80.0	1.45
08/15/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.07	0.00	2.07	80.0	1.66
09/14/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.10	0.00	2.10	80.0	1.68
10/18/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.00	0.00	2.00	80.0	1.60
11/15/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.05	0.00	2.05	80.0	1.64
12/16/2016	RANEY, GLEN	FRANKLIN RISING DIVIDENDS C	0.00	2.01	0.00	2.01	80.0	1.61
12/15/2016	KING, PATRICIA	INFLATION LINKED BOND FUND A	0.00	1.41	0.00	1.41	80.0	1.13
04/14/2016	FEDLER, KIMBERLY	INVESCO EQUITY AND INCOME A	0.00	0.38	0.00	0.38	80.0	0.30
07/19/2016	FEDLER, KIMBERLY	INVESCO EQUITY AND INCOME A	0.00	0.40	0.00	0.40	80.0	0.32
10/17/2016	FEDLER, KIMBERLY	INVESCO EQUITY AND INCOME A	0.00	0.42	0.00	0.42	80.0	0.34
07/13/2016	RANEY, GLEN	IVY ASSET STRATEGY FUND CLASS C	0.00	1.45	0.00	1.45	80.0	1.16
10/14/2016	RANEY, GLEN	IVY ASSET STRATEGY FUND CLASS C	0.00	4.83	0.00	4.83	80.0	3.86
04/15/2016	MARTIN, GARY	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.88	0.00	1.88	80.0	1.50
04/15/2016	MARTIN, DEBERAH	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.88	0.00	1.88	80.0	1.50
07/13/2016	MARTIN, GARY	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.87	0.00	1.87	80.0	1.50
07/13/2016	MARTIN, DEBERAH	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.87	0.00	1.87	80.0	1.50
10/14/2016	MARTIN, GARY	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.92	0.00	1.92	80.0	1.54
10/14/2016	MARTIN, DEBERAH	IVY FDS INC ASSET STRATEGY FD CL B	0.00	1.92	0.00	1.92	80.0	1.54
02/22/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.68	0.00	0.68	80.0	0.54
02/22/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.37	0.00	4.37	80.0	3.50
03/22/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.63	0.00	0.63	80.0	0.50
03/22/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.01	0.00	4.01	80.0	3.21
04/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.70	0.00	0.70	80.0	0.56
04/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.47	0.00	4.47	80.0	3.58
05/23/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.69	0.00	0.69	80.0	0.55
05/23/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.43	0.00	4.43	80.0	3.54
06/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.72	0.00	0.72	80.0	0.58
06/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.63	0.00	4.63	80.0	3.70
07/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.71	0.00	0.71	80.0	0.57
07/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.54	0.00	4.54	80.0	3.63
08/22/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.75	0.00	0.75	80.0	0.60
08/22/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.81	0.00	4.81	80.0	3.85

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.76	0.00	0.76	80.0	0.61
09/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.89	0.00	4.89	80.0	3.91
10/20/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.74	0.00	0.74	80.0	0.59
10/20/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.76	0.00	4.76	80.0	3.81
11/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.77	0.00	0.77	80.0	0.62
11/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.95	0.00	4.95	80.0	3.96
12/21/2016	FEDLER, CHARLES	LORD ABBETT BOND DEBENTURE A	0.00	0.74	0.00	0.74	80.0	0.59
12/21/2016	ZINN, ROBERT	LORD ABBETT BOND DEBENTURE A	0.00	4.75	0.00	4.75	80.0	3.80
02/22/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.70	0.00	1.70	80.0	1.36
03/22/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.58	0.00	1.58	80.0	1.26
04/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.73	0.00	1.73	80.0	1.38
05/23/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.72	0.00	1.72	80.0	1.38
06/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.80	0.00	1.80	80.0	1.44
07/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.77	0.00	1.77	80.0	1.42
08/22/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.86	0.00	1.86	80.0	1.49
09/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.88	0.00	1.88	80.0	1.50
10/20/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.82	0.00	1.82	80.0	1.46
11/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.89	0.00	1.89	80.0	1.51
12/21/2016	ZINN, ROBERT	LORD ABBETT INCOME A	0.00	1.80	0.00	1.80	80.0	1.44
04/21/2016	TYGER, CATHIE	LORD ABBETT SHORT DURATION INCOME A	0.00	0.25	0.00	0.25	80.0	0.20
05/23/2016	TYGER, CATHIE	LORD ABBETT SHORT DURATION INCOME A	0.00	1.98	0.00	1.98	80.0	1.58
02/22/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.09	0.00	2.09	80.0	1.67
03/17/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	1.92	0.00	1.92	80.0	1.54
04/21/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.10	0.00	2.10	80.0	1.68
05/19/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.08	0.00	2.08	80.0	1.66
06/30/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.18	0.00	2.18	80.0	1.74
07/18/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.13	0.00	2.13	80.0	1.70
08/24/2016	WALLS, ELENA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	1.79	0.00	1.79	80.0	1.43
02/22/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.12	0.00	1.12	80.0	0.90
03/11/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.05	0.00	1.05	80.0	0.84
04/20/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.14	0.00	1.14	80.0	0.91
05/18/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.12	0.00	1.12	80.0	0.90
06/16/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.16	0.00	1.16	80.0	0.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/15/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	1.13	0.00	1.13	80.0	0.90
08/12/2016	WALLS, ELENA	PIMCO REAL RETURN C	0.00	0.96	0.00	0.96	80.0	0.77
02/22/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.94	0.00	1.94	80.0	1.55
03/11/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.82	0.00	1.82	80.0	1.46
04/20/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.95	0.00	1.95	80.0	1.56
05/18/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.91	0.00	1.91	80.0	1.53
06/16/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.98	0.00	1.98	80.0	1.58
07/15/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.92	0.00	1.92	80.0	1.54
08/12/2016	WALLS, ELENA	PIMCO TOTAL RETURN C	0.00	1.62	0.00	1.62	80.0	1.30
03/23/2016	MILLER, DANIEL	TCW TOTAL RETURN BOND FUND CLASS N	0.00	0.12	0.00	0.12	80.0	0.10
03/23/2016	MILLER, DANIEL	TCW TOTAL RETURN BOND FUND CLASS N	0.00	0.25	0.00	0.25	80.0	0.20
04/27/2016	HARMEYER, SHARYN	TCW TOTAL RETURN BOND FUND CLASS N	0.00	0.87	0.00	0.87	80.0	0.70
05/18/2016	DAILEY, RITA	TCW TOTAL RETURN BOND FUND CLASS N	0.00	0.08	0.00	0.08	80.0	0.06
06/23/2016	DIETSCH, DANIEL	TCW TOTAL RETURN BOND FUND CLASS N	0.00	0.35	0.00	0.35	80.0	0.28
02/16/2016	ELLIOTT, RANDALL	TEMPLETON GLOBAL SMALL CO A	0.00	4.47	0.00	4.47	80.0	3.58
03/16/2016	ELLIOTT, RANDALL	TEMPLETON GLOBAL SMALL CO A	0.00	4.14	0.00	4.14	80.0	3.31
04/15/2016	ELLIOTT, RANDALL	TEMPLETON GLOBAL SMALL CO A	0.00	4.82	0.00	4.82	80.0	3.86
05/13/2016	ELLIOTT, RANDALL	TEMPLETON GLOBAL SMALL CO A	0.00	3.78	0.00	3.78	80.0	3.02
02/16/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	12.60	0.00	12.60	80.0	10.08
03/16/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	11.32	0.00	11.32	80.0	9.06
04/15/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	13.07	0.00	13.07	80.0	10.46
05/13/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	13.01	0.00	13.01	80.0	10.41
06/14/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	13.30	0.00	13.30	80.0	10.64
07/14/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	12.88	0.00	12.88	80.0	10.30
08/15/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	13.48	0.00	13.48	80.0	10.78
09/14/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	11.64	0.00	11.64	80.0	9.31
10/18/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	10.51	0.00	10.51	80.0	8.41
11/15/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	11.05	0.00	11.05	80.0	8.84
12/16/2016	ELLIOTT, RANDALL	TEMPLETON WORLD A	0.00	10.80	0.00	10.80	80.0	8.64
02/18/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	6.97	0.00	6.97	80.0	5.58
03/14/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	6.47	0.00	6.47	80.0	5.18
04/15/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.01	0.00	7.01	80.0	5.61
05/16/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	6.87	0.00	6.87	80.0	5.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/16/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.16	0.00	7.16	80.0	5.73
07/18/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	6.99	0.00	6.99	80.0	5.59
08/17/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.31	0.00	7.31	80.0	5.85
09/15/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.37	0.00	7.37	80.0	5.90
10/20/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.16	0.00	7.16	80.0	5.73
11/16/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.42	0.00	7.42	80.0	5.94
12/16/2016	ZINN, ROBERT	TRANSAMERICA FLEXIBLE INCOME A	0.00	7.10	0.00	7.10	80.0	5.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$44,638.11	\$1,096.72	\$0.00	\$1,096.72		\$877.27
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/08/2018	HEES, CHRISTEY	ING ESII	112,956.69	70.60	0.00	70.60	80.0	56.48
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$112,956.69	\$70.60	\$0.00	\$70.60		\$56.48
*** DIRECT TRANSACTIONS TOTAL ***			\$166,475.80	\$1,540.58	\$0.00	\$1,540.58		\$1,232.25

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

02/14/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	50.00	0.84	0.00	0.84	80.0	0.67
02/09/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
02/09/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
02/09/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	0.41	0.00	0.41	80.0	0.33
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$175.00	\$1.59	\$0.00	\$1.59		\$1.28

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

02/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	80.0	0.06
02/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
02/16/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	80.0	0.02
02/16/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	80.0	0.02
03/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	80.0	0.05
03/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	80.0	0.13
03/15/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	80.0	0.02
03/15/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	80.0	0.02
04/20/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	80.0	0.06
04/20/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	80.0	0.17

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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>								
04/20/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
04/20/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
05/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	80.0	0.06
05/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
05/16/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
05/16/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
06/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	80.0	0.10
06/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
06/15/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
06/15/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
07/18/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.14	0.00	0.14	80.0	0.11
07/18/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
07/18/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
07/18/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	80.0	0.03
08/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
08/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	80.0	0.14
08/15/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
08/15/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
08/15/2016	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	80.0	0.17
09/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	80.0	0.14
09/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	80.0	0.14
09/16/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
09/16/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
09/16/2016	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	80.0	0.30
10/17/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	80.0	0.15
10/17/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
10/17/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
10/17/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	80.0	0.04
10/17/2016	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	80.0	0.28
11/18/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	80.0	0.17
11/18/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	80.0	0.14
11/18/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	80.0	0.05
11/18/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	80.0	0.05

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
11/18/2016	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	80.0	0.30
12/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	80.0	0.17
12/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	80.0	0.14
12/15/2016	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	80.0	0.05
12/15/2016	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	80.0	0.05
12/15/2016	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.36	0.00	0.36	80.0	0.29
12/15/2016	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	80.0	0.02
02/05/2018	SITES, AMY	AM FUNDS AMERICAN BALANCED A	125.00	2.18	0.00	2.18	80.0	1.74
02/15/2018	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.75	0.00	1.75	80.0	1.40
02/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
02/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
03/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.14	0.00	0.14	80.0	0.11
03/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.14	0.00	0.14	80.0	0.11
04/20/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
04/20/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
05/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
05/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.15	0.00	0.15	80.0	0.12
06/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.17	0.00	0.17	80.0	0.14
06/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	80.0	0.14
07/18/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.16	0.00	0.16	80.0	0.13
07/18/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	80.0	0.15
08/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.17	0.00	0.17	80.0	0.14
08/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.23	0.00	0.23	80.0	0.18
09/16/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.17	0.00	0.17	80.0	0.14
09/16/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.22	0.00	0.22	80.0	0.18
10/17/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	80.0	0.15
10/17/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.22	0.00	0.22	80.0	0.18
11/18/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.21	0.00	0.21	80.0	0.17
11/18/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.23	0.00	0.23	80.0	0.18
12/15/2016	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	80.0	0.15
12/15/2016	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.23	0.00	0.23	80.0	0.18
02/16/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	80.0	0.05
03/15/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	80.0	0.06

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
04/20/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	80.0	0.06
05/16/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	80.0	0.06
06/15/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.08	0.00	0.08	80.0	0.06
07/18/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	80.0	0.06
08/15/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.08	0.00	0.08	80.0	0.06
09/16/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	80.0	0.06
10/17/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	80.0	0.08
11/18/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	80.0	0.09
12/15/2016	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	80.0	0.09
02/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.07	0.00	0.07	80.0	0.06
03/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.05	0.00	0.05	80.0	0.04
04/20/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.07	0.00	0.07	80.0	0.06
05/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.07	0.00	0.07	80.0	0.06
06/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.06	0.00	0.06	80.0	0.05
07/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.10	0.00	0.10	80.0	0.08
08/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	80.0	0.13
09/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	80.0	0.13
10/17/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	80.0	0.12
11/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	80.0	0.13
12/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	80.0	0.12
02/16/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
03/15/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
04/20/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
05/16/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
06/15/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
07/18/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
08/15/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
09/16/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	80.0	0.07
10/17/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
10/17/2016	FLECK, KATHIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	80.0	0.42
11/18/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	80.0	0.07
11/18/2016	FLECK, KATHIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.56	0.00	0.56	80.0	0.45
12/15/2016	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06

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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>								
02/15/2018	CLINE, DAVIS	AM FUNDS GROWTH FUND OF AMERICA A	670.00	11.72	7.70	4.02	80.0	3.22
02/15/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
02/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
03/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.06	0.00	0.06	80.0	0.05
04/20/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
05/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.08	0.00	0.08	80.0	0.06
06/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.07	0.00	0.07	80.0	0.06
07/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.11	0.00	0.11	80.0	0.09
08/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	80.0	0.13
09/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	80.0	0.13
10/17/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	80.0	0.12
11/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	80.0	0.14
12/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	80.0	0.13
02/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	80.0	0.14
03/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	80.0	0.14
04/20/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
05/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.17	0.00	0.17	80.0	0.14
06/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.18	0.00	0.18	80.0	0.14
07/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	80.0	0.16
08/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	80.0	0.20
09/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	80.0	0.20
10/17/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.24	0.00	0.24	80.0	0.19
11/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	80.0	0.20
12/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.24	0.00	0.24	80.0	0.19
02/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.07	0.00	0.07	80.0	0.06
03/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.06	0.00	0.06	80.0	0.05
04/20/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.08	0.00	0.08	80.0	0.06
05/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.08	0.00	0.08	80.0	0.06
06/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.07	0.00	0.07	80.0	0.06
07/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.11	0.00	0.11	80.0	0.09
08/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	80.0	0.13
09/16/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	80.0	0.13
10/17/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.14	0.00	0.14	80.0	0.11

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
11/18/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	80.0	0.13
12/15/2016	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	80.0	0.12
02/09/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	80.0	0.08
10/21/2016	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.70	0.00	0.70	80.0	0.56
11/21/2016	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.91	0.00	0.91	80.0	0.73
12/16/2016	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.88	0.00	0.88	80.0	0.70
05/16/2016	SORG, DAWN	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.40	0.00	0.40	80.0	0.32
06/15/2016	SORG, DAWN	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.78	0.00	0.78	80.0	0.62
07/19/2016	SORG, DAWN	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	0.68	0.00	0.68	80.0	0.54
10/19/2016	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	0.03	0.00	0.03	80.0	0.02
11/18/2016	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	0.04	0.00	0.04	80.0	0.03
12/16/2016	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	0.04	0.00	0.04	80.0	0.03
10/21/2016	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.12	0.00	0.12	80.0	0.10
11/30/2016	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.17	0.00	0.17	80.0	0.14
12/21/2016	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.16	0.00	0.16	80.0	0.13
05/13/2016	SORG, RICHARD	FRANKLIN BALANCED A	0.00	0.57	0.00	0.57	80.0	0.46
06/14/2016	SORG, RICHARD	FRANKLIN BALANCED A	0.00	1.57	0.00	1.57	80.0	1.26
07/14/2016	SORG, RICHARD	FRANKLIN BALANCED A	0.00	0.25	0.00	0.25	80.0	0.20
02/23/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	0.92	0.00	0.92	80.0	0.74
03/21/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	0.86	0.00	0.86	80.0	0.69
04/28/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	1.05	0.00	1.05	80.0	0.84
05/24/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	1.04	0.00	1.04	80.0	0.83
06/22/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	1.09	0.00	1.09	80.0	0.87
07/22/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	1.07	0.00	1.07	80.0	0.86
08/19/2016	WALLS, THOMAS	GABELLI VALUE 25 FUND CLASS C	0.00	0.91	0.00	0.91	80.0	0.73
10/17/2016	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.44	0.00	0.44	80.0	0.35
11/21/2016	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.55	0.00	0.55	80.0	0.44
12/15/2016	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.57	0.00	0.57	80.0	0.46
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
02/14/2018	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	50.00	0.57	0.00	0.57	80.0	0.46
02/09/2018	LINN, JASON	INA INTER EQTY INDEX PORTF A	8.25	0.13	0.00	0.13	80.0	0.10
02/09/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
02/09/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
02/09/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
10/17/2016	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.03	0.00	0.03	80.0	0.02
11/18/2016	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.04	0.00	0.04	80.0	0.03
12/15/2016	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.07	0.00	0.07	80.0	0.06
04/15/2016	WALLS, THOMAS	IVY HIGH INCOME FUND CLASS C	0.00	2.49	0.00	2.49	80.0	1.99
07/13/2016	WALLS, THOMAS	IVY HIGH INCOME FUND CLASS C	0.00	2.67	0.00	2.67	80.0	2.14
10/14/2016	WALLS, THOMAS	IVY HIGH INCOME FUND CLASS C	0.00	0.75	0.00	0.75	80.0	0.60
05/16/2016	SORG, DAWN	JP MORGAN INCOME BUILDER FUND CLASS	0.00	0.61	0.00	0.61	80.0	0.49
06/20/2016	SORG, DAWN	JP MORGAN INCOME BUILDER FUND CLASS	0.00	1.19	0.00	1.19	80.0	0.95
07/25/2016	SORG, DAWN	JP MORGAN INCOME BUILDER FUND CLASS	0.00	1.04	0.00	1.04	80.0	0.83
02/14/2018	SITES, TEGAN	LORD ABBETT SHORT DURATION INCOME A	0.00	0.14	0.00	0.14	80.0	0.11
02/22/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.60	0.00	0.60	80.0	0.48
03/17/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.56	0.00	0.56	80.0	0.45
04/21/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.63	0.00	0.63	80.0	0.50
05/19/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.63	0.00	0.63	80.0	0.50
06/30/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.64	0.00	0.64	80.0	0.51
07/18/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.61	0.00	0.61	80.0	0.49
08/24/2016	WALLS, THOMAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.52	0.00	0.52	80.0	0.42
02/22/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	0.06	0.00	0.06	80.0	0.05
03/11/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	0.06	0.00	0.06	80.0	0.05
04/20/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	0.06	0.00	0.06	80.0	0.05
05/18/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	0.14	0.00	0.14	80.0	0.11
06/16/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.26	0.00	1.26	80.0	1.01
07/15/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.22	0.00	1.22	80.0	0.98
08/12/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.27	0.00	1.27	80.0	1.02
09/15/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.28	0.00	1.28	80.0	1.02
10/21/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.23	0.00	1.23	80.0	0.98
11/18/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.28	0.00	1.28	80.0	1.02
12/14/2016	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.23	0.00	1.23	80.0	0.98
02/22/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.06	0.00	1.06	80.0	0.85
03/11/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.01	0.00	1.01	80.0	0.81
04/20/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.09	0.00	1.09	80.0	0.87
05/18/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.07	0.00	1.07	80.0	0.86

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
06/16/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.11	0.00	1.11	80.0	0.89
07/15/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	1.08	0.00	1.08	80.0	0.86
08/12/2016	WALLS, THOMAS	PIMCO REAL RETURN C	0.00	0.92	0.00	0.92	80.0	0.74
05/13/2016	SORG, DAWN	TEMPLETON GLOBAL BOND A	0.00	0.50	0.00	0.50	80.0	0.40
06/14/2016	SORG, DAWN	TEMPLETON GLOBAL BOND A	0.00	0.94	0.00	0.94	80.0	0.75
07/14/2016	SORG, DAWN	TEMPLETON GLOBAL BOND A	0.00	0.81	0.00	0.81	80.0	0.65
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$1,250.00	\$88.55	\$7.70	\$80.85		\$64.78
*** SPLIT TRANSACTIONS TOTAL ***			\$1,425.00	\$90.14	\$7.70	\$82.44		\$66.06

<u> OVERRIDE TRANSACTIONS</u>								
<u>BROKER: WILLIAM, L129 LAYMAN #207</u>								
02/15/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
* WILLIAM, L129 LAYMAN SUBTOTAL *			\$300.00	\$15.00	\$0.00	\$15.00		\$6.75
*** OVERRIDE TRANSACTIONS TOTAL ***			\$300.00	\$15.00	\$0.00	\$15.00		\$6.75

<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions	\$1,213.05
Split Transactions	\$66.06
Override Transactions	\$6.75
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-109.72
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,176.14
Year-to-date Gross	\$6,997.41
Year-to-date Earnings	\$5,741.61

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