

**COMMISSION STATEMENT****February 28, 2018**

JAMES, B153 BREWER
6500 Busch Blvd
Suite 132
Columbus, OH 43229

BROKER #: B153 Terminated 02/20/2018
BRANCH: BREWER & ASSOCIATIES

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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DIRECT TRANSACTIONS**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

02/16/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.07	90.0	0.06	0.00	0.06
03/15/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.13	90.0	0.12	0.00	0.12
03/15/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.42	90.0	0.38	0.00	0.38
04/20/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
04/20/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.48	90.0	0.43	0.00	0.43
05/16/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
05/16/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.48	90.0	0.43	0.00	0.43
06/15/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
06/15/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.49	90.0	0.44	0.00	0.44
07/18/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.16	90.0	0.14	0.00	0.14
07/18/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.48	90.0	0.43	0.00	0.43
08/15/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
08/15/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.51	90.0	0.46	0.00	0.46
09/16/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.18	90.0	0.16	0.00	0.16
09/16/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.52	90.0	0.47	0.00	0.47
10/17/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
10/17/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.50	90.0	0.45	0.00	0.45
11/18/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
11/18/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.52	90.0	0.47	0.00	0.47
12/15/2016	BALE, RICHARD	AM FUNDS AMCAP A	0.00	0.17	90.0	0.15	0.00	0.15
12/15/2016	MYERS, GARY	AM FUNDS AMCAP A	0.00	0.50	90.0	0.45	0.00	0.45
02/16/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	4.83	90.0	4.35	0.00	4.35
02/16/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.22	90.0	2.00	0.00	2.00
02/16/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	7.84	90.0	7.06	0.00	7.06
02/16/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	1.50	90.0	1.35	0.00	1.35
02/16/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.71	90.0	0.64	0.00	0.64

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	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	4.50	90.0	4.05	0.00	4.05
03/15/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.07	90.0	1.86	0.00	1.86
03/15/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	7.31	90.0	6.58	0.00	6.58
03/15/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	1.81	90.0	1.63	0.00	1.63
03/15/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	2.96	90.0	2.66	0.00	2.66
04/20/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	5.00	90.0	4.50	0.00	4.50
04/20/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.30	90.0	2.07	0.00	2.07
04/20/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.14	90.0	7.33	0.00	7.33
04/20/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.02	90.0	1.82	0.00	1.82
04/20/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.29	90.0	2.96	0.00	2.96
05/16/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	4.94	90.0	4.45	0.00	4.45
05/16/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.28	90.0	2.05	0.00	2.05
05/16/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.05	90.0	7.25	0.00	7.25
05/16/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	1.99	90.0	1.79	0.00	1.79
05/16/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.26	90.0	2.93	0.00	2.93
06/15/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	5.11	90.0	4.60	0.00	4.60
06/15/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.36	90.0	2.12	0.00	2.12
06/15/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.33	90.0	7.50	0.00	7.50
06/15/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.06	90.0	1.85	0.00	1.85
06/15/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.30	90.0	1.17	0.00	1.17
06/15/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.37	90.0	3.03	0.00	3.03
07/18/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	4.97	90.0	4.47	0.00	4.47
07/18/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.30	90.0	2.07	0.00	2.07
07/18/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.15	90.0	7.34	0.00	7.34
07/18/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.00	90.0	1.80	0.00	1.80
07/18/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.07	90.0	1.86	0.00	1.86
07/18/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.30	90.0	2.97	0.00	2.97
08/15/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	5.23	90.0	4.71	0.00	4.71
08/15/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.43	90.0	2.19	0.00	2.19
08/15/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.60	90.0	7.74	0.00	7.74
08/15/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.11	90.0	1.90	0.00	1.90
08/15/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.17	90.0	1.95	0.00	1.95
08/15/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.48	90.0	3.13	0.00	3.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/16/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	5.26	90.0	4.73	0.00	4.73
09/16/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.45	90.0	2.21	0.00	2.21
09/16/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.66	90.0	7.79	0.00	7.79
09/16/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.12	90.0	1.91	0.00	1.91
09/16/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.19	90.0	1.97	0.00	1.97
09/16/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.50	90.0	3.15	0.00	3.15
10/17/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	5.04	90.0	4.54	0.00	4.54
10/17/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.35	90.0	2.12	0.00	2.12
10/17/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.32	90.0	7.49	0.00	7.49
10/17/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.03	90.0	1.83	0.00	1.83
10/17/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.10	90.0	1.89	0.00	1.89
10/17/2016	COMPTON, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	3.14	90.0	2.83	0.00	2.83
10/17/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.37	90.0	3.03	0.00	3.03
11/18/2016	VANDERGRIFF, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	2.69	90.0	2.42	0.00	2.42
11/18/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.43	90.0	2.19	0.00	2.19
11/18/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	8.60	90.0	7.74	0.00	7.74
11/18/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.10	90.0	1.89	0.00	1.89
11/18/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.16	90.0	1.94	0.00	1.94
11/18/2016	COMPTON, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	3.35	90.0	3.02	0.00	3.02
11/18/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.48	90.0	3.13	0.00	3.13
12/15/2016	ROWE, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	2.36	90.0	2.12	0.00	2.12
12/15/2016	CROSBY, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	3.59	90.0	3.23	0.00	3.23
12/15/2016	DUNCAN, DONALD	AM FUNDS AMERICAN BALANCED A	0.00	2.03	90.0	1.83	0.00	1.83
12/15/2016	LAWVER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.10	90.0	1.89	0.00	1.89
12/15/2016	COMPTON, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	3.26	90.0	2.93	0.00	2.93
12/15/2016	ALLEN, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	3.38	90.0	3.04	0.00	3.04
02/16/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	90.0	0.02	0.00	0.02
02/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.01	90.0	0.01	0.00	0.01
02/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	90.0	0.05	0.00	0.05
03/15/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.17	90.0	0.15	0.00	0.15
03/15/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	90.0	0.09	0.00	0.09
03/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	90.0	0.09	0.00	0.09
03/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	90.0	0.32	0.00	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	90.0	0.18	0.00	0.18
04/20/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
04/20/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
04/20/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	90.0	0.35	0.00	0.35
05/16/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.19	90.0	0.17	0.00	0.17
05/16/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
05/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
05/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	90.0	0.34	0.00	0.34
06/15/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	90.0	0.18	0.00	0.18
06/15/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
06/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
06/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	90.0	0.36	0.00	0.36
07/18/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.19	90.0	0.17	0.00	0.17
07/18/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
07/18/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
07/18/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	90.0	0.35	0.00	0.35
08/15/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.21	90.0	0.19	0.00	0.19
08/15/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.12	90.0	0.11	0.00	0.11
08/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.12	90.0	0.11	0.00	0.11
08/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	90.0	0.37	0.00	0.37
09/16/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.21	90.0	0.19	0.00	0.19
09/16/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.12	90.0	0.11	0.00	0.11
09/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.12	90.0	0.11	0.00	0.11
09/16/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	90.0	0.37	0.00	0.37
10/17/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	90.0	0.18	0.00	0.18
10/17/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
10/17/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
10/17/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.40	90.0	0.36	0.00	0.36
11/18/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	90.0	0.18	0.00	0.18
11/18/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
11/18/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	90.0	0.10	0.00	0.10
11/18/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	90.0	0.37	0.00	0.37
12/15/2016	FRESHLY, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.19	90.0	0.17	0.00	0.17

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	MYERS, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.09	90.0	0.08	0.00	0.08
12/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.13	90.0	0.12	0.00	0.12
12/15/2016	MYERS, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	90.0	0.34	0.00	0.34
02/16/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	3.27	90.0	2.94	0.00	2.94
02/16/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.62	90.0	2.36	0.00	2.36
03/15/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	18.65	90.0	16.79	0.00	16.79
03/15/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	18.65	90.0	16.79	0.00	16.79
04/20/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.21	90.0	19.09	0.00	19.09
04/20/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.21	90.0	19.09	0.00	19.09
05/16/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.07	90.0	18.96	0.00	18.96
05/16/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.07	90.0	18.96	0.00	18.96
06/15/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.64	90.0	19.48	0.00	19.48
06/15/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.64	90.0	19.48	0.00	19.48
07/18/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.07	90.0	18.96	0.00	18.96
07/18/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	21.06	90.0	18.95	0.00	18.95
08/15/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.35	90.0	20.12	0.00	20.12
08/15/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.35	90.0	20.12	0.00	20.12
09/16/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.91	90.0	20.62	0.00	20.62
09/16/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.91	90.0	20.62	0.00	20.62
10/17/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.18	90.0	19.96	0.00	19.96
10/17/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.18	90.0	19.96	0.00	19.96
11/18/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.69	90.0	20.42	0.00	20.42
11/18/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	22.69	90.0	20.42	0.00	20.42
12/15/2016	MYERS, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	17.29	90.0	15.56	0.00	15.56
12/15/2016	MYERS, GARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	26.00	90.0	23.40	0.00	23.40
02/16/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.01	90.0	2.71	0.00	2.71
03/15/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.77	90.0	2.49	0.00	2.49
04/20/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.13	90.0	2.82	0.00	2.82
05/16/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.10	90.0	2.79	0.00	2.79
06/15/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.19	90.0	2.87	0.00	2.87
07/18/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.08	90.0	2.77	0.00	2.77
08/15/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.20	90.0	2.88	0.00	2.88
09/16/2016	VANDERGRIF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.30	90.0	2.97	0.00	2.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	VANDERGRIFF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.21	90.0	2.89	0.00	2.89
11/18/2016	VANDERGRIFF, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.70	90.0	1.53	0.00	1.53
02/16/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	6.52	90.0	5.87	0.00	5.87
03/15/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	6.80	90.0	6.12	0.00	6.12
04/20/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	7.76	90.0	6.98	0.00	6.98
05/16/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	7.72	90.0	6.95	0.00	6.95
06/15/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	7.77	90.0	6.99	0.00	6.99
07/18/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	7.60	90.0	6.84	0.00	6.84
08/15/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	8.01	90.0	7.21	0.00	7.21
09/16/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	8.32	90.0	7.49	0.00	7.49
10/17/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	8.08	90.0	7.27	0.00	7.27
11/18/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	8.35	90.0	7.52	0.00	7.52
12/15/2016	GOUDY, BEVERLY	AM FUNDS NEW ECONOMY A	0.00	8.01	90.0	7.21	0.00	7.21
02/16/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	5.81	90.0	5.23	0.00	5.23
03/15/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	6.04	90.0	5.44	0.00	5.44
04/20/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	6.93	90.0	6.24	0.00	6.24
05/16/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	6.98	90.0	6.28	0.00	6.28
06/15/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.18	90.0	6.46	0.00	6.46
07/18/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.10	90.0	6.39	0.00	6.39
08/15/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.49	90.0	6.74	0.00	6.74
09/16/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.77	90.0	6.99	0.00	6.99
10/17/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.58	90.0	6.82	0.00	6.82
11/18/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.80	90.0	7.02	0.00	7.02
12/15/2016	GOUDY, BEVERLY	AM FUNDS SMALLCAP WORLD A	0.00	7.42	90.0	6.68	0.00	6.68
02/22/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
03/16/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.03	90.0	0.03	0.00	0.03
04/21/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
05/24/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
06/10/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
07/14/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
08/19/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
09/19/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
10/20/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
12/19/2016	SCHOPPELREI, CLEMENT	AMERICAN CENTURY MID CAP VALUE	0.00	0.04	90.0	0.04	0.00	0.04
02/04/2016	BITONTE, RICHARD	AR CAPITAL BDC INCOME FUND CLASS A	0.00	1.84	90.0	1.66	0.00	1.66
02/05/2016	BITONTE, RICHARD	AR CAPITAL BDC INCOME FUND CLASS A	0.00	-1.84	90.0	-1.66	0.00	-1.66
06/06/2016	BITONTE, RICHARD	AR CAPITAL BDC INCOME FUND CLASS A	0.00	4.30	90.0	3.87	0.00	3.87
07/08/2016	BITONTE, RICHARD	AR CAPITAL BDC INCOME FUND CLASS A	0.00	1.94	90.0	1.75	0.00	1.75
08/10/2016	BITONTE, RICHARD	AR CAPITAL BDC INCOME FUND CLASS A	0.00	2.05	90.0	1.85	0.00	1.85
02/26/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
03/23/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.05	90.0	0.05	0.00	0.05
04/27/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
05/31/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
06/27/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
07/29/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
08/30/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
09/29/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
10/27/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
11/28/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
12/21/2016	SCHOPPELREI, CLEMENT	BLACKROCK STRATEGIC INCOME OPPT	0.00	0.06	90.0	0.05	0.00	0.05
02/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.75	90.0	1.58	0.00	1.58
02/05/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	1.99	90.0	1.79	0.00	1.79
03/07/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.63	90.0	1.47	0.00	1.47
03/07/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	1.85	90.0	1.67	0.00	1.67
03/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	2.53	90.0	2.28	0.00	2.28
04/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.83	90.0	1.65	0.00	1.65
04/06/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.08	90.0	1.87	0.00	1.87
04/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.33	90.0	3.90	0.00	3.90
05/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.83	90.0	1.65	0.00	1.65
05/05/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.08	90.0	1.87	0.00	1.87
05/05/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.32	90.0	3.89	0.00	3.89
06/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.88	90.0	1.69	0.00	1.69
06/06/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.13	90.0	1.92	0.00	1.92
06/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.43	90.0	3.99	0.00	3.99
07/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.81	90.0	1.63	0.00	1.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/05/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.05	90.0	1.85	0.00	1.85
07/05/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.27	90.0	3.84	0.00	3.84
08/04/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.92	90.0	1.73	0.00	1.73
08/04/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.18	90.0	1.96	0.00	1.96
08/04/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.53	90.0	4.08	0.00	4.08
09/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.97	90.0	1.77	0.00	1.77
09/06/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.23	90.0	2.01	0.00	2.01
09/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.65	90.0	4.19	0.00	4.19
10/07/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.89	90.0	1.70	0.00	1.70
10/07/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.15	90.0	1.94	0.00	1.94
10/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.48	90.0	4.03	0.00	4.03
11/16/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL CAPITAL	0.00	1.00	90.0	0.90	0.00	0.90
11/16/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.19	90.0	1.97	0.00	1.97
11/16/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	4.56	90.0	4.10	0.00	4.10
12/07/2016	ROWE, ERNEST	CATALYST/MAP GLOBAL CAPITAL	0.00	2.12	90.0	1.91	0.00	1.91
12/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL CAPITAL	0.00	1.16	90.0	1.04	0.00	1.04
02/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.86	90.0	1.67	0.00	1.67
02/05/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.88	90.0	1.69	0.00	1.69
02/05/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	3.86	90.0	3.47	0.00	3.47
02/05/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.44	90.0	1.30	0.00	1.30
03/07/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.74	90.0	1.57	0.00	1.57
03/07/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.76	90.0	1.58	0.00	1.58
03/07/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	3.61	90.0	3.25	0.00	3.25
03/07/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.74	90.0	1.57	0.00	1.57
03/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	5.05	90.0	4.55	0.00	4.55
03/07/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.50	90.0	1.35	0.00	1.35
04/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.93	90.0	1.74	0.00	1.74
04/06/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.95	90.0	1.76	0.00	1.76
04/06/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	4.00	90.0	3.60	0.00	3.60
04/06/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.93	90.0	1.74	0.00	1.74
04/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.53	90.0	7.68	0.00	7.68
04/06/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.30	90.0	2.07	0.00	2.07
05/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.89	90.0	1.70	0.00	1.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/05/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.91	90.0	1.72	0.00	1.72
05/05/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	3.93	90.0	3.54	0.00	3.54
05/05/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.89	90.0	1.70	0.00	1.70
05/05/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.41	90.0	7.57	0.00	7.57
05/05/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.26	90.0	2.03	0.00	2.03
06/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.96	90.0	1.76	0.00	1.76
06/06/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.98	90.0	1.78	0.00	1.78
06/06/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	4.06	90.0	3.65	0.00	3.65
06/06/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.96	90.0	1.76	0.00	1.76
06/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.69	90.0	7.82	0.00	7.82
06/06/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.34	90.0	2.11	0.00	2.11
07/05/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.89	90.0	1.70	0.00	1.70
07/05/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.90	90.0	1.71	0.00	1.71
07/05/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	3.91	90.0	3.52	0.00	3.52
07/05/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.89	90.0	1.70	0.00	1.70
07/05/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.38	90.0	7.54	0.00	7.54
07/05/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.25	90.0	2.03	0.00	2.03
08/04/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.96	90.0	1.76	0.00	1.76
08/04/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.97	90.0	1.77	0.00	1.77
08/04/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	4.06	90.0	3.65	0.00	3.65
08/04/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.96	90.0	1.76	0.00	1.76
08/04/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.74	90.0	7.87	0.00	7.87
08/04/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.33	90.0	2.10	0.00	2.10
09/06/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.97	90.0	1.77	0.00	1.77
09/06/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.99	90.0	1.79	0.00	1.79
09/06/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	4.09	90.0	3.68	0.00	3.68
09/06/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.97	90.0	1.77	0.00	1.77
09/06/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.81	90.0	7.93	0.00	7.93
09/06/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.35	90.0	2.12	0.00	2.12
10/07/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.90	90.0	1.71	0.00	1.71
10/07/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.92	90.0	1.73	0.00	1.73
10/07/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	3.95	90.0	3.56	0.00	3.56
10/07/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.91	90.0	1.72	0.00	1.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.51	90.0	7.66	0.00	7.66
10/07/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.27	90.0	2.04	0.00	2.04
11/16/2016	VANDERGRIFF, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.01	90.0	0.91	0.00	0.91
11/16/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.97	90.0	1.77	0.00	1.77
11/16/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	4.04	90.0	3.64	0.00	3.64
11/16/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.95	90.0	1.76	0.00	1.76
11/16/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	8.72	90.0	7.85	0.00	7.85
11/16/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.32	90.0	2.09	0.00	2.09
12/07/2016	MOORE, CHARLES	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.89	90.0	1.70	0.00	1.70
12/07/2016	CROSBY, RONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.68	90.0	1.51	0.00	1.51
12/07/2016	DUNCAN, DONALD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	1.87	90.0	1.68	0.00	1.68
12/07/2016	SELCER, RICHARD	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.24	90.0	2.02	0.00	2.02
12/07/2016	LAWVER, DAVID	CATALYST/MAP GLOBAL TOTAL RETURN	0.00	2.24	90.0	2.02	0.00	2.02
07/20/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	2.34	90.0	2.11	0.00	2.11
08/17/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	3.26	90.0	2.93	0.00	2.93
09/16/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	3.28	90.0	2.95	0.00	2.95
10/14/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	3.13	90.0	2.82	0.00	2.82
11/15/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	3.20	90.0	2.88	0.00	2.88
12/15/2016	WESS, DONALD	COLUMBIA DIVIDEND INCOME A	0.00	3.14	90.0	2.83	0.00	2.83
02/12/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.04	90.0	0.04	0.00	0.04
03/14/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.04	90.0	0.04	0.00	0.04
04/15/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.04	90.0	0.04	0.00	0.04
05/24/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.04	90.0	0.04	0.00	0.04
06/14/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
07/20/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.04	90.0	0.04	0.00	0.04
08/17/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
09/16/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
10/14/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
11/15/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
12/15/2016	SCHOPPELREI, CLEMENT	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.05	90.0	0.05	0.00	0.05
03/11/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.13	90.0	0.12	0.00	0.12
04/14/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.31	90.0	0.28	0.00	0.28
05/16/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.30	90.0	0.27	0.00	0.27

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.30	90.0	0.27	0.00	0.27
07/18/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.30	90.0	0.27	0.00	0.27
08/11/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.32	90.0	0.29	0.00	0.29
09/13/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.33	90.0	0.30	0.00	0.30
10/19/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.32	90.0	0.29	0.00	0.29
11/17/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.33	90.0	0.30	0.00	0.30
12/29/2016	STEIN, JANICE	DELAWARE SELECT GROWTH FUND CLASS	0.00	0.31	90.0	0.28	0.00	0.28
04/26/2016	FRESHLY, DAVID	DWS DEUTSCHE EQUITY DIVIDEND	0.00	2.07	90.0	1.86	0.00	1.86
07/25/2016	FRESHLY, DAVID	DWS DEUTSCHE EQUITY DIVIDEND	0.00	3.94	90.0	3.55	0.00	3.55
10/27/2016	FRESHLY, DAVID	DWS DEUTSCHE EQUITY DIVIDEND	0.00	4.23	90.0	3.81	0.00	3.81
04/26/2016	FRESHLY, DAVID	DWS DEUTSCHE LARGE CAP VALUE FUND	0.00	1.37	90.0	1.23	0.00	1.23
07/25/2016	FRESHLY, DAVID	DWS DEUTSCHE LARGE CAP VALUE FUND	0.00	2.56	90.0	2.30	0.00	2.30
10/27/2016	FRESHLY, DAVID	DWS DEUTSCHE LARGE CAP VALUE FUND	0.00	2.65	90.0	2.39	0.00	2.39
04/26/2016	FRESHLY, DAVID	DWS DEUTSCHE SMALL CAP VALUE	0.00	1.29	90.0	1.16	0.00	1.16
07/25/2016	FRESHLY, DAVID	DWS DEUTSCHE SMALL CAP VALUE	0.00	2.47	90.0	2.22	0.00	2.22
10/27/2016	FRESHLY, DAVID	DWS DEUTSCHE SMALL CAP VALUE	0.00	2.60	90.0	2.34	0.00	2.34
04/26/2016	FRESHLY, DAVID	DWS STRATEGIC GOVERNMENT	0.00	2.11	90.0	1.90	0.00	1.90
07/25/2016	FRESHLY, DAVID	DWS STRATEGIC GOVERNMENT	0.00	3.86	90.0	3.47	0.00	3.47
10/27/2016	FRESHLY, DAVID	DWS STRATEGIC GOVERNMENT	0.00	3.93	90.0	3.54	0.00	3.54
02/16/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
03/16/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
04/15/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
05/13/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
06/14/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
07/14/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.04	90.0	0.04	0.00	0.04
08/15/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.05	90.0	0.05	0.00	0.05
09/14/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.05	90.0	0.05	0.00	0.05
10/18/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.05	90.0	0.05	0.00	0.05
11/15/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.05	90.0	0.05	0.00	0.05
12/16/2016	FALTER, THEODORE	FRANKLIN RISING DIVIDENDS A	0.00	0.05	90.0	0.05	0.00	0.05
02/08/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.05	90.0	3.65	0.00	3.65
02/08/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	0.85	90.0	0.77	0.00	0.77
03/11/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.30	90.0	3.87	0.00	3.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/11/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.56	90.0	1.40	0.00	1.40
04/18/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.33	90.0	3.90	0.00	3.90
04/18/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.57	90.0	1.41	0.00	1.41
05/12/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.20	90.0	3.78	0.00	3.78
05/12/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.52	90.0	1.37	0.00	1.37
06/13/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.62	90.0	4.16	0.00	4.16
06/13/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.68	90.0	1.51	0.00	1.51
07/13/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.39	90.0	3.95	0.00	3.95
07/13/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.59	90.0	1.43	0.00	1.43
08/12/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.35	90.0	3.92	0.00	3.92
08/12/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.58	90.0	1.42	0.00	1.42
09/22/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	5.08	90.0	4.57	0.00	4.57
09/22/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	1.84	90.0	1.66	0.00	1.66
10/14/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.61	90.0	4.15	0.00	4.15
10/14/2016	THOMPSON, KEVIN	GOOD HARBOR US TACTICAL CORE FUND	0.00	0.84	90.0	0.76	0.00	0.76
11/21/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.70	90.0	4.23	0.00	4.23
12/14/2016	DUNCAN, JAMES	GOOD HARBOR US TACTICAL CORE FUND	0.00	4.64	90.0	4.18	0.00	4.18
02/19/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	2.91	90.0	2.62	0.00	2.62
02/19/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	4.78	90.0	4.30	0.00	4.30
03/22/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	4.47	90.0	4.02	0.00	4.02
03/22/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	4.79	90.0	4.31	0.00	4.31
04/18/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	4.91	90.0	4.42	0.00	4.42
04/18/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.27	90.0	4.74	0.00	4.74
05/24/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	4.95	90.0	4.46	0.00	4.46
05/24/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.32	90.0	4.79	0.00	4.79
06/21/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.11	90.0	4.60	0.00	4.60
06/21/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.48	90.0	4.93	0.00	4.93
07/18/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.07	90.0	4.56	0.00	4.56
07/18/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.44	90.0	4.90	0.00	4.90
08/16/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.48	90.0	4.93	0.00	4.93
08/16/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.88	90.0	5.29	0.00	5.29
09/19/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.49	90.0	4.94	0.00	4.94
09/19/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.88	90.0	5.29	0.00	5.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.23	90.0	4.71	0.00	4.71
10/17/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.61	90.0	5.05	0.00	5.05
10/17/2016	FALTER, THEODORE	HARTFORD HEALTHCARE A	0.00	2.02	90.0	1.82	0.00	1.82
11/16/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	5.26	90.0	4.73	0.00	4.73
11/16/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.64	90.0	5.08	0.00	5.08
11/16/2016	FALTER, THEODORE	HARTFORD HEALTHCARE A	0.00	2.43	90.0	2.19	0.00	2.19
12/19/2016	SELCER, RICHARD	HARTFORD HEALTHCARE A	0.00	4.84	90.0	4.36	0.00	4.36
12/19/2016	GOUDY, BEVERLY	HARTFORD HEALTHCARE A	0.00	5.37	90.0	4.83	0.00	4.83
12/19/2016	FALTER, THEODORE	HARTFORD HEALTHCARE A	0.00	2.31	90.0	2.08	0.00	2.08
02/18/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	2.98	90.0	2.68	0.00	2.68
03/17/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	4.81	90.0	4.33	0.00	4.33
04/18/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	5.74	90.0	5.17	0.00	5.17
05/25/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	5.79	90.0	5.21	0.00	5.21
06/16/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.10	90.0	5.49	0.00	5.49
07/25/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.03	90.0	5.43	0.00	5.43
08/24/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.24	90.0	5.62	0.00	5.62
09/16/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.31	90.0	5.68	0.00	5.68
10/17/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.09	90.0	5.48	0.00	5.48
11/17/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	6.44	90.0	5.80	0.00	5.80
12/19/2016	SELCER, RICHARD	ICON ENERGY FUND CLASS A	0.00	5.99	90.0	5.39	0.00	5.39
03/17/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.29	90.0	1.16	0.00	1.16
04/18/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.95	90.0	1.76	0.00	1.76
05/25/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.91	90.0	1.72	0.00	1.72
06/16/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.98	90.0	1.78	0.00	1.78
07/25/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.92	90.0	1.73	0.00	1.73
08/24/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	2.06	90.0	1.85	0.00	1.85
09/16/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	2.05	90.0	1.85	0.00	1.85
10/17/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.96	90.0	1.76	0.00	1.76
11/17/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	2.00	90.0	1.80	0.00	1.80
12/19/2016	LAWVER, DAVID	ICON LEISURE AND CONSUMER STAPLES	0.00	1.91	90.0	1.72	0.00	1.72
02/18/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	3.03	90.0	2.73	0.00	2.73
03/17/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	5.18	90.0	4.66	0.00	4.66
04/18/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	5.89	90.0	5.30	0.00	5.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/25/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	5.78	90.0	5.20	0.00	5.20
06/16/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.07	90.0	5.46	0.00	5.46
07/25/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.10	90.0	5.49	0.00	5.49
08/24/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.47	90.0	5.82	0.00	5.82
09/16/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.27	90.0	5.64	0.00	5.64
10/17/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.03	90.0	5.43	0.00	5.43
11/17/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	6.05	90.0	5.45	0.00	5.45
12/19/2016	SELCER, RICHARD	ICON UTILITIES FUND CLASS A	0.00	5.58	90.0	5.02	0.00	5.02
04/14/2016	FRESHLY, DAVID	INVESCO AMERICAN FRANCHISE A	0.00	5.94	90.0	5.35	0.00	5.35
07/19/2016	FRESHLY, DAVID	INVESCO AMERICAN FRANCHISE A	0.00	11.41	90.0	10.27	0.00	10.27
10/17/2016	FRESHLY, DAVID	INVESCO AMERICAN FRANCHISE A	0.00	12.20	90.0	10.98	0.00	10.98
04/14/2016	SELCER, RICHARD	INVESCO BALANCED RISK ALLOCATION A	0.00	8.91	90.0	8.02	0.00	8.02
04/14/2016	NEWSOME, ALVIE	INVESCO BALANCED RISK ALLOCATION A	0.00	7.81	90.0	7.03	0.00	7.03
04/14/2016	BARNETT, ALVA	INVESCO BALANCED RISK ALLOCATION A	0.00	9.23	90.0	8.31	0.00	8.31
04/14/2016	CROSBY, RONALD	INVESCO BALANCED RISK ALLOCATION A	0.00	14.85	90.0	13.37	0.00	13.37
04/14/2016	MILLER, STEPHEN	INVESCO BALANCED RISK ALLOCATION A	0.00	19.92	90.0	17.93	0.00	17.93
07/19/2016	SELCER, RICHARD	INVESCO BALANCED RISK ALLOCATION A	0.00	9.43	90.0	8.49	0.00	8.49
07/19/2016	NEWSOME, ALVIE	INVESCO BALANCED RISK ALLOCATION A	0.00	9.40	90.0	8.46	0.00	8.46
07/19/2016	BARNETT, ALVA	INVESCO BALANCED RISK ALLOCATION A	0.00	9.77	90.0	8.79	0.00	8.79
07/19/2016	CROSBY, RONALD	INVESCO BALANCED RISK ALLOCATION A	0.00	15.73	90.0	14.16	0.00	14.16
07/19/2016	MILLER, STEPHEN	INVESCO BALANCED RISK ALLOCATION A	0.00	10.14	90.0	9.13	0.00	9.13
10/17/2016	SELCER, RICHARD	INVESCO BALANCED RISK ALLOCATION A	0.00	10.07	90.0	9.06	0.00	9.06
10/17/2016	NEWSOME, ALVIE	INVESCO BALANCED RISK ALLOCATION A	0.00	10.04	90.0	9.04	0.00	9.04
10/17/2016	BARNETT, ALVA	INVESCO BALANCED RISK ALLOCATION A	0.00	10.43	90.0	9.39	0.00	9.39
10/17/2016	CROSBY, RONALD	INVESCO BALANCED RISK ALLOCATION A	0.00	16.80	90.0	15.12	0.00	15.12
04/14/2016	MILLER, STEPHEN	INVESCO DIVERSIFIED DIVIDEND A	0.00	17.88	90.0	16.09	0.00	16.09
07/19/2016	MILLER, STEPHEN	INVESCO DIVERSIFIED DIVIDEND A	0.00	9.31	90.0	8.38	0.00	8.38
02/08/2016	MILLER, STEPHEN	JAMES ALPHA GLOBAL REAL ESTATE	0.00	3.70	90.0	3.33	0.00	3.33
03/11/2016	MILLER, STEPHEN	JAMES ALPHA GLOBAL REAL ESTATE	0.00	4.96	90.0	4.46	0.00	4.46
04/18/2016	MILLER, STEPHEN	JAMES ALPHA GLOBAL REAL ESTATE	0.00	5.42	90.0	4.88	0.00	4.88
05/25/2016	MILLER, STEPHEN	JAMES ALPHA GLOBAL REAL ESTATE	0.00	5.17	90.0	4.65	0.00	4.65
06/16/2016	MILLER, STEPHEN	JAMES ALPHA GLOBAL REAL ESTATE	0.00	2.53	90.0	2.28	0.00	2.28
02/19/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/17/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.03	90.0	0.03	0.00	0.03
04/25/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
05/16/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
06/20/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
07/25/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
08/15/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
09/15/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
10/14/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
11/21/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
12/16/2016	SCHOPPELREI, CLEMENT	JP MORGAN LARGE-CAP GROWTH A	0.00	0.04	90.0	0.04	0.00	0.04
02/22/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
03/22/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
04/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
05/23/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
06/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
07/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
08/22/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
09/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
10/20/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
11/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
12/21/2016	SCHOPPELREI, CLEMENT	LORD ABBETT INFLATION FOCUSED FUND	0.00	0.01	90.0	0.01	0.00	0.01
02/25/2016	DUNCAN, JAMES	MAINSTAY MARKETFIELD FUND CL A	0.00	4.70	90.0	4.23	0.00	4.23
03/08/2016	DUNCAN, JAMES	MAINSTAY MARKETFIELD FUND CL A	0.00	4.29	90.0	3.86	0.00	3.86
04/22/2016	DUNCAN, JAMES	MAINSTAY MARKETFIELD FUND CL A	0.00	4.58	90.0	4.12	0.00	4.12
05/17/2016	DUNCAN, JAMES	MAINSTAY MARKETFIELD FUND CL A	0.00	1.03	90.0	0.93	0.00	0.93
11/25/2016	DUNCAN, JAMES	MARKETFIELD FUND CLASS A	0.00	13.73	90.0	12.36	0.00	12.36
02/08/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	5.05	90.0	4.55	0.00	4.55
03/14/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	5.40	90.0	4.86	0.00	4.86
04/15/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.11	90.0	5.50	0.00	5.50
05/17/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.04	90.0	5.44	0.00	5.44
06/16/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.26	90.0	5.63	0.00	5.63
07/20/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.06	90.0	5.45	0.00	5.45
08/16/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.31	90.0	5.68	0.00	5.68

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/15/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.54	90.0	5.89	0.00	5.89
10/20/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.35	90.0	5.72	0.00	5.72
11/14/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.46	90.0	5.81	0.00	5.81
12/19/2016	GOUDY, BEVERLY	MFS INTERNATIONAL DISCOVERY A	0.00	6.01	90.0	5.41	0.00	5.41
02/08/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
03/14/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
04/15/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
05/17/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
06/16/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
07/20/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
08/16/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
09/15/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.03	90.0	0.03	0.00	0.03
10/20/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
11/14/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.03	90.0	0.03	0.00	0.03
12/19/2016	SCHOPPELREI, CLEMENT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.02	90.0	0.02	0.00	0.02
02/08/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.04	90.0	0.04	0.00	0.04
03/14/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.04	90.0	0.04	0.00	0.04
04/15/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
05/17/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
06/16/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
07/20/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
08/16/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
09/15/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
10/20/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
11/14/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
12/19/2016	SCHOPPELREI, CLEMENT	MFS VALUE A	0.00	0.05	90.0	0.05	0.00	0.05
02/08/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	1.99	90.0	1.79	0.00	1.79
02/08/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.89	90.0	2.60	0.00	2.60
02/08/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.64	90.0	4.18	0.00	4.18
02/08/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.60	90.0	0.54	0.00	0.54
03/08/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	1.87	90.0	1.68	0.00	1.68
03/08/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.71	90.0	2.44	0.00	2.44
03/08/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.36	90.0	3.92	0.00	3.92

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/08/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.56	90.0	0.50	0.00	0.50
04/15/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.07	90.0	1.86	0.00	1.86
04/15/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.01	90.0	2.71	0.00	2.71
04/15/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.83	90.0	4.35	0.00	4.35
04/15/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.63	90.0	0.57	0.00	0.57
05/11/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.03	90.0	1.83	0.00	1.83
05/11/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.95	90.0	2.66	0.00	2.66
05/11/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.75	90.0	4.28	0.00	4.28
05/11/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.61	90.0	0.55	0.00	0.55
06/09/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.11	90.0	1.90	0.00	1.90
06/09/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.06	90.0	2.75	0.00	2.75
06/09/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.92	90.0	4.43	0.00	4.43
06/09/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.64	90.0	0.58	0.00	0.58
07/21/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.07	90.0	1.86	0.00	1.86
07/21/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.00	90.0	2.70	0.00	2.70
07/21/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.83	90.0	4.35	0.00	4.35
07/21/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.63	90.0	0.57	0.00	0.57
08/12/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.18	90.0	1.96	0.00	1.96
08/12/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.16	90.0	2.84	0.00	2.84
08/12/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	5.08	90.0	4.57	0.00	4.57
08/12/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.66	90.0	0.59	0.00	0.59
09/15/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.19	90.0	1.97	0.00	1.97
09/15/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.18	90.0	2.86	0.00	2.86
09/15/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	5.10	90.0	4.59	0.00	4.59
09/15/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.66	90.0	0.59	0.00	0.59
10/20/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.11	90.0	1.90	0.00	1.90
10/20/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.06	90.0	2.75	0.00	2.75
10/20/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	4.92	90.0	4.43	0.00	4.43
10/20/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.64	90.0	0.58	0.00	0.58
11/18/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.18	90.0	1.96	0.00	1.96
11/18/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.17	90.0	2.85	0.00	2.85
11/18/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	5.09	90.0	4.58	0.00	4.58
11/18/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.66	90.0	0.59	0.00	0.59

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/16/2016	ROSS, CARL	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.07	90.0	1.86	0.00	1.86
12/16/2016	BARNETT, ALVA	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	3.01	90.0	2.71	0.00	2.71
12/16/2016	CROSBY, RONALD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	2.10	90.0	1.89	0.00	1.89
12/16/2016	BITONTE, RICHARD	NATIONWIDE ALTERNATIVE ALLOCATIONS	0.00	0.63	90.0	0.57	0.00	0.57
02/22/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	3.07	90.0	2.76	0.00	2.76
02/22/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	2.46	90.0	2.21	0.00	2.21
03/17/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	17.25	90.0	15.53	0.00	15.53
03/17/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	17.25	90.0	15.53	0.00	15.53
04/21/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	19.59	90.0	17.63	0.00	17.63
04/21/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	19.59	90.0	17.63	0.00	17.63
05/19/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	19.44	90.0	17.50	0.00	17.50
05/19/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	19.44	90.0	17.50	0.00	17.50
06/30/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	19.89	90.0	17.90	0.00	17.90
06/30/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	19.89	90.0	17.90	0.00	17.90
07/18/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	19.04	90.0	17.14	0.00	17.14
07/18/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	19.04	90.0	17.14	0.00	17.14
08/24/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	20.00	90.0	18.00	0.00	18.00
08/24/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	20.00	90.0	18.00	0.00	18.00
09/22/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	20.93	90.0	18.84	0.00	18.84
09/22/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	20.93	90.0	18.84	0.00	18.84
10/21/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	20.38	90.0	18.34	0.00	18.34
10/21/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	20.38	90.0	18.34	0.00	18.34
11/21/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	21.01	90.0	18.91	0.00	18.91
11/21/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	21.01	90.0	18.91	0.00	18.91
12/19/2016	MYERS, LINDA	OPPENHEIMER GLOBAL A	0.00	16.19	90.0	14.57	0.00	14.57
12/19/2016	MYERS, GARY	OPPENHEIMER GLOBAL A	0.00	24.37	90.0	21.93	0.00	21.93
02/22/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
03/17/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
04/21/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
05/19/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
06/30/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
07/18/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
08/24/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/22/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
10/21/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
11/21/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
12/19/2016	SCHOPPELREI, CLEMENT	OPPENHEIMER INTL GROWTH A	0.00	0.02	90.0	0.02	0.00	0.02
02/22/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.08	90.0	0.07	0.00	0.07
03/18/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.07	90.0	0.06	0.00	0.06
03/18/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.43	90.0	0.39	0.00	0.39
04/20/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.08	90.0	0.07	0.00	0.07
04/20/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.49	90.0	0.44	0.00	0.44
05/24/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.08	90.0	0.07	0.00	0.07
05/24/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.48	90.0	0.43	0.00	0.43
06/16/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
06/16/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.50	90.0	0.45	0.00	0.45
07/19/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.08	90.0	0.07	0.00	0.07
07/19/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.48	90.0	0.43	0.00	0.43
08/18/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
08/18/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.51	90.0	0.46	0.00	0.46
09/22/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
09/22/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.52	90.0	0.47	0.00	0.47
10/20/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
10/20/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.50	90.0	0.45	0.00	0.45
11/25/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
11/25/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.52	90.0	0.47	0.00	0.47
12/21/2016	BALE, RICHARD	PAC LIFE FUNDS PORTFOLIO	0.00	0.09	90.0	0.08	0.00	0.08
12/21/2016	MYERS, GARY	PAC LIFE FUNDS PORTFOLIO	0.00	0.50	90.0	0.45	0.00	0.45
02/11/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	5.37	90.0	4.83	0.00	4.83
03/10/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	5.74	90.0	5.17	0.00	5.17
04/15/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	6.77	90.0	6.09	0.00	6.09
05/11/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	6.69	90.0	6.02	0.00	6.02
06/10/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	6.90	90.0	6.21	0.00	6.21
07/12/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	6.72	90.0	6.05	0.00	6.05
08/10/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	12.98	90.0	11.68	0.00	11.68
09/12/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	17.97	90.0	16.17	0.00	16.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/11/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	17.39	90.0	15.65	0.00	15.65
11/11/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	18.04	90.0	16.24	0.00	16.24
12/12/2016	GOUDY, BEVERLY	PRUDENTIAL QMA MID CAP VALUE FUND	0.00	18.32	90.0	16.49	0.00	16.49
03/22/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	0.77	90.0	0.69	0.00	0.69
04/21/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.19	90.0	1.07	0.00	1.07
05/26/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.17	90.0	1.05	0.00	1.05
06/23/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.22	90.0	1.10	0.00	1.10
07/26/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.20	90.0	1.08	0.00	1.08
08/19/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.27	90.0	1.14	0.00	1.14
09/20/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.31	90.0	1.18	0.00	1.18
10/25/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.27	90.0	1.14	0.00	1.14
11/23/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.32	90.0	1.19	0.00	1.19
12/23/2016	FRESHLY, DAVID	PUTNAM CONV SECURITIES A	0.00	1.27	90.0	1.14	0.00	1.14
02/22/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	2.94	90.0	2.65	0.00	2.65
03/22/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	4.56	90.0	4.10	0.00	4.10
04/21/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	4.96	90.0	4.46	0.00	4.46
05/26/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	4.96	90.0	4.46	0.00	4.46
06/23/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	5.01	90.0	4.51	0.00	4.51
07/26/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	4.91	90.0	4.42	0.00	4.42
08/19/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	5.30	90.0	4.77	0.00	4.77
09/20/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	5.35	90.0	4.82	0.00	4.82
10/25/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	5.10	90.0	4.59	0.00	4.59
11/23/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	5.08	90.0	4.57	0.00	4.57
12/23/2016	SELCER, RICHARD	PUTNAM GLOBAL HEALTH CARE A	0.00	4.66	90.0	4.19	0.00	4.19
05/16/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.89	90.0	2.60	0.00	2.60
06/16/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	0.38	90.0	0.34	0.00	0.34
06/16/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.02	90.0	2.72	0.00	2.72
06/16/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	0.96	90.0	0.86	0.00	0.86
07/18/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	1.94	90.0	1.75	0.00	1.75
07/18/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.96	90.0	2.66	0.00	2.66
07/18/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	4.85	90.0	4.37	0.00	4.37
08/15/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.06	90.0	1.85	0.00	1.85
08/15/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.19	90.0	2.87	0.00	2.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.15	90.0	4.64	0.00	4.64
09/15/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.10	90.0	1.89	0.00	1.89
09/15/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.26	90.0	2.93	0.00	2.93
09/15/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.26	90.0	4.73	0.00	4.73
10/17/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.04	90.0	1.84	0.00	1.84
10/17/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.16	90.0	2.84	0.00	2.84
10/17/2016	VANDERGRIFF, CHARLES	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.54	90.0	4.99	0.00	4.99
10/17/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.10	90.0	4.59	0.00	4.59
10/17/2016	CALABRETTA, SHIRLEY	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.11	90.0	1.90	0.00	1.90
10/17/2016	BEBOUT, ELMA	RESOURCE R E DIVERSIFIED INC FUND	0.00	0.63	90.0	0.57	0.00	0.57
10/17/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.07	90.0	2.76	0.00	2.76
11/17/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.07	90.0	1.86	0.00	1.86
11/17/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.25	90.0	2.93	0.00	2.93
11/17/2016	VANDERGRIFF, CHARLES	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.48	90.0	3.13	0.00	3.13
11/17/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.18	90.0	4.66	0.00	4.66
11/17/2016	CALABRETTA, SHIRLEY	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.97	90.0	2.67	0.00	2.67
11/17/2016	BEBOUT, ELMA	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.16	90.0	1.94	0.00	1.94
11/17/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.85	90.0	5.27	0.00	5.27
11/17/2016	CHAMBERLAIN, LARRY	RESOURCE R E DIVERSIFIED INC FUND	0.00	7.90	90.0	7.11	0.00	7.11
12/14/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	1.98	90.0	1.78	0.00	1.78
12/14/2016	FALTER, THEODORE	RESOURCE R E DIVERSIFIED INC FUND	0.00	3.11	90.0	2.80	0.00	2.80
12/14/2016	WESS, DONALD	RESOURCE R E DIVERSIFIED INC FUND	0.00	4.95	90.0	4.46	0.00	4.46
12/14/2016	CALABRETTA, SHIRLEY	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.84	90.0	2.56	0.00	2.56
12/14/2016	BEBOUT, ELMA	RESOURCE R E DIVERSIFIED INC FUND	0.00	2.06	90.0	1.85	0.00	1.85
12/14/2016	BEBOUT, DARRELL	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.59	90.0	5.03	0.00	5.03
12/14/2016	CHAMBERLAIN, LARRY	RESOURCE R E DIVERSIFIED INC FUND	0.00	7.54	90.0	6.79	0.00	6.79
12/14/2016	COMPTON, WILLIAM	RESOURCE R E DIVERSIFIED INC FUND	0.00	5.70	90.0	5.13	0.00	5.13
02/16/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	1.84	90.0	1.66	0.00	1.66
02/16/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	1.48	90.0	1.33	0.00	1.33
03/16/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	10.47	90.0	9.42	0.00	9.42
03/16/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	10.47	90.0	9.42	0.00	9.42
04/15/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.16	90.0	10.94	0.00	10.94
04/15/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.16	90.0	10.94	0.00	10.94

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/13/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.10	90.0	10.89	0.00	10.89
05/13/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.10	90.0	10.89	0.00	10.89
06/14/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.28	90.0	11.05	0.00	11.05
06/14/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.28	90.0	11.05	0.00	11.05
07/14/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	11.88	90.0	10.69	0.00	10.69
07/14/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	11.88	90.0	10.69	0.00	10.69
08/15/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.42	90.0	11.18	0.00	11.18
08/15/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.42	90.0	11.18	0.00	11.18
09/14/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.86	90.0	11.57	0.00	11.57
09/14/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.86	90.0	11.57	0.00	11.57
10/18/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	12.61	90.0	11.35	0.00	11.35
10/18/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	12.61	90.0	11.35	0.00	11.35
11/15/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	13.07	90.0	11.76	0.00	11.76
11/15/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	13.07	90.0	11.76	0.00	11.76
12/16/2016	MYERS, LINDA	TEMPLETON GROWTH A	0.00	10.09	90.0	9.08	0.00	9.08
12/16/2016	MYERS, GARY	TEMPLETON GROWTH A	0.00	15.20	90.0	13.68	0.00	13.68
02/16/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.03	90.0	0.03	0.00	0.03
02/16/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.02	90.0	0.02	0.00	0.02
03/16/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	1.62	90.0	1.46	0.00	1.46
03/16/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.15	90.0	0.14	0.00	0.14
03/16/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.15	90.0	0.14	0.00	0.14
04/15/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.48	90.0	2.23	0.00	2.23
04/15/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
04/15/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
05/13/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.47	90.0	2.22	0.00	2.22
05/13/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
05/13/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
06/14/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.53	90.0	2.28	0.00	2.28
06/14/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
06/14/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
07/14/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.45	90.0	2.21	0.00	2.21
07/14/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15
07/14/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.17	90.0	0.15	0.00	0.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.56	90.0	2.30	0.00	2.30
08/15/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
08/15/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
09/14/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.64	90.0	2.38	0.00	2.38
09/14/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
09/14/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
10/18/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.59	90.0	2.33	0.00	2.33
10/18/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
10/18/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.18	90.0	0.16	0.00	0.16
11/15/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.72	90.0	2.45	0.00	2.45
11/15/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.19	90.0	0.17	0.00	0.17
11/15/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.19	90.0	0.17	0.00	0.17
12/16/2016	FRESHLY, DAVID	TEMPLETON WORLD A	0.00	2.66	90.0	2.39	0.00	2.39
12/16/2016	MYERS, LINDA	TEMPLETON WORLD A	0.00	0.15	90.0	0.14	0.00	0.14
12/16/2016	MYERS, GARY	TEMPLETON WORLD A	0.00	0.22	90.0	0.20	0.00	0.20
02/09/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.13	90.0	2.82	0.00	2.82
03/08/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.50	90.0	3.15	0.00	3.15
04/13/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.89	90.0	3.50	0.00	3.50
05/26/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.82	90.0	3.44	0.00	3.44
06/24/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.95	90.0	3.56	0.00	3.56
07/22/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.85	90.0	3.47	0.00	3.47
09/13/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	4.07	90.0	3.66	0.00	3.66
09/28/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	4.04	90.0	3.64	0.00	3.64
10/12/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.92	90.0	3.53	0.00	3.53
11/09/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	4.03	90.0	3.63	0.00	3.63
12/12/2016	NIXON, CHARLENE	TIMOTHY PLAN CONSERVATIVE GROWTH	0.00	3.87	90.0	3.48	0.00	3.48
02/09/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.49	90.0	1.34	0.00	1.34
03/08/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.71	90.0	1.54	0.00	1.54
04/13/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.91	90.0	1.72	0.00	1.72
05/26/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.88	90.0	1.69	0.00	1.69
06/24/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.97	90.0	1.77	0.00	1.77
07/22/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.92	90.0	1.73	0.00	1.73
09/13/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	2.04	90.0	1.84	0.00	1.84

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	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/28/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	2.05	90.0	1.85	0.00	1.85
10/12/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.96	90.0	1.76	0.00	1.76
11/09/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	2.00	90.0	1.80	0.00	1.80
12/12/2016	NIXON, CHARLENE	TIMOTHY PLAN DEFENSIVE STRATEGY	0.00	1.91	90.0	1.72	0.00	1.72
02/12/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
03/16/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
04/15/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
05/16/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
06/14/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
07/18/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
08/15/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
09/15/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
10/12/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
11/16/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
12/14/2016	SCHOPPELREI, CLEMENT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.02	90.0	0.02	0.00	0.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,064.48		\$2,758.43	\$0.00	\$2,758.43
*** DIRECT TRANSACTIONS TOTAL ***			\$0.00	\$3,064.48		\$2,758.43	\$0.00	\$2,758.43

BROKER COMMISSION TOTALS

Broker Transactions	\$2,758.43
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,758.43
Year-to-date Gross	\$7,248.29
Year-to-date Earnings	\$6,524.01

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