

**COMMISSION STATEMENT****March 15, 2018**

STAN, W121 WEBB
300 N. Main Street
Suite 309
Wichita, KS 67202

BROKER #: W121
BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
03/01/2018	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
03/01/2018	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
* 529 PLANS SUBTOTAL *			\$100.00	\$5.00	\$0.00	\$5.00		\$4.60
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/20/2018	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	150.00	5.63	0.00	5.63	92.0	5.18
02/28/2018	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	92.0	2.53
02/20/2018	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	150.00	5.63	0.00	5.63	92.0	5.18
02/21/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
02/21/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
02/26/2018	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	100.00	2.75	0.00	2.75	92.0	2.53
02/26/2018	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	2.75	0.00	2.75	92.0	2.53
02/20/2018	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	25.00	0.94	0.00	0.94	92.0	0.86
02/20/2018	HILGER, GERALD	AM FUNDS ICA A	50.00	1.88	0.00	1.88	92.0	1.73
02/20/2018	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	25.00	0.94	0.00	0.94	92.0	0.86
02/26/2018	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	2.75	0.00	2.75	92.0	2.53
03/01/2018	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	100.00	2.75	0.00	2.75	92.0	2.53
03/01/2018	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	100.00	2.75	0.00	2.75	92.0	2.53
03/01/2018	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	100.00	2.75	0.00	2.75	92.0	2.53
02/20/2018	THOMAS, DAVID	FT FOUNDING FUNDS ALLOC A	150.00	7.50	0.00	7.50	92.0	6.90
02/20/2018	NELSON, JIM	INVESCO AMERICAN FRANCHISE A	100.00	3.00	0.00	3.00	92.0	2.76
02/20/2018	NELSON, DENE	INVESCO CHARTER FUND A	200.00	6.00	0.00	6.00	92.0	5.52
02/20/2018	NELSON, JIM	INVESCO CHARTER FUND A	250.00	7.50	0.00	7.50	92.0	6.90
02/20/2018	NELSON, JIM	INVESCO DEVELOPING MARKETS A	50.00	1.50	0.00	1.50	92.0	1.38
02/20/2018	NELSON, DENE	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
02/20/2018	NELSON, JIM	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
02/20/2018	NELSON, DENE	INVESCO MODERATE ALLOCATION A	200.00	6.00	0.00	6.00	92.0	5.52

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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>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/28/2018	NELSON, ARIKA	INVESCO VALUE OPP A	200.00	6.00	0.00	6.00	92.0	5.52
* MUTUAL FUNDS SUBTOTAL *			\$2,500.00	\$79.65	\$0.00	\$79.65		\$73.26
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2018	SCHMIDT, ALAN	ADV CENTURY	37,547.17	7.82	0.00	7.82	92.0	7.19
02/28/2018	SCHMIDT, ALAN	ADV CENTURY	985.33	0.21	0.00	0.21	92.0	0.19
02/28/2018	SCHMIDT, SYLVIA	ADV CENTURY	300.00	12.00	0.00	12.00	92.0	11.04
02/28/2018	SCHMIDT, SYLVIA	ADV CENTURY	43,381.33	9.04	0.00	9.04	92.0	8.32
02/28/2018	SCHMIDT, SYLVIA	ADV CENTURY	977.98	0.20	0.00	0.20	92.0	0.18
02/28/2018	SCHMITT, SUSAN	ADV CENTURY	200.00	8.00	0.00	8.00	92.0	7.36
02/28/2018	SCHMITT, SUSAN	ADV CENTURY	29,321.92	6.11	0.00	6.11	92.0	5.62
03/02/2018	ERKER, LAWRENCE	AM GEN POLARIS FLEX PYMT DEF ANNUIT	59,179.35	59.18	0.00	59.18	92.0	54.45
02/25/2018	BAZIL, RALPH	AM GEN POLARIS PLATINUM III	121,285.87	75.80	0.00	75.80	92.0	69.74
02/28/2018	SPRAGUE, KRISTY	JNL ELITE ACCESS	32,896.92	13.71	0.00	13.71	92.0	12.61
02/28/2018	BAZIL, RALPH	JNL ELITE ACCESS	56,528.63	23.55	0.00	23.55	92.0	21.67
02/28/2018	CLEARY, MICHAEL	JNL ELITE ACCESS	65,257.16	13.60	0.00	13.60	92.0	12.51
02/28/2018	STOCKHAM, THOMAS	JNL PERSPECTIVE II 05/05	13,903.06	5.79	0.00	5.79	92.0	5.33
02/28/2018	KELLEY, JAMES	JNL PERSPECTIVE II 05/05	149,477.54	62.28	0.00	62.28	92.0	57.30
02/28/2018	CARPENTER JR, ROBERT	JNL PERSPECTIVE II 05/05	41,418.91	17.26	0.00	17.26	92.0	15.88
02/28/2018	HOFFMAN, FRANCIS	JNL PERSPECTIVE II 05/05	127,223.82	53.01	0.00	53.01	92.0	48.77
02/28/2018	EVERETT, TRAVIS	JNL PERSPECTIVE II 05/05	107,585.67	44.83	0.00	44.83	92.0	41.24
02/28/2018	BRIMER JR, ALBERT	JNL PERSPECTIVE II 05/05	76,758.27	31.98	0.00	31.98	92.0	29.42
02/28/2018	GREENING, CHRISTOPHER	JNL PERSPECTIVE II 05/05	53,203.15	22.17	0.00	22.17	92.0	20.40
02/28/2018	RHEA, JONNIE	JNL PERSPECTIVE II 05/05	80,948.92	33.73	0.00	33.73	92.0	31.03
02/28/2018	PRACHT, MARK	JNL PERSPECTIVE II 05/05	117,806.75	49.09	0.00	49.09	92.0	45.16
02/28/2018	ENGEL, CALVIN	JNL PERSPECTIVE II 05/05	167,233.01	69.68	0.00	69.68	92.0	64.11
02/28/2018	HESSE, RICHARD	JNL PERSPECTIVE II 05/05	44,152.47	18.40	0.00	18.40	92.0	16.93
02/28/2018	BROWN, MARY	JNL PERSPECTIVE L	9,119.68	9.88	0.00	9.88	92.0	9.09
02/28/2018	CRANE, BEVERLY	JNL PERSPECTIVE L	155,365.57	168.31	0.00	168.31	92.0	154.85
02/28/2018	DANDURAND, BEVERLY	JNL PERSPECTIVE L	163,913.54	177.57	0.00	177.57	92.0	163.36
02/28/2018	ROBINSON, DENNIS	JOHN HANCOCK VANTAGE	71,565.02	14.91	0.00	14.91	92.0	13.72
02/28/2018	KENNEDY, ROBERT	JOHN HANCOCK VENTURE	36,778.43	22.99	0.00	22.99	92.0	21.15
02/28/2018	HEARD, DAVID	JOHN HANCOCK VENTURE	16,026.49	10.02	0.00	10.02	92.0	9.22
02/28/2018	HEIMERMAN, JANET	JOHN HANCOCK VENTURE 2006	42,980.36	8.95	0.00	8.95	92.0	8.23

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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: VARIABLE ANNUITIES</u>								
02/28/2018	ROBINSON, DENNIS	JOHN HANCOCK VENTURE III	121,789.75	101.49	0.00	101.49	92.0	93.37
02/27/2018	ROBINSON, VIRGINIA	SBL ADVISOR PROGRAM	65,579.59	13.66	0.00	13.66	92.0	12.57
02/27/2018	CRANE, JEANNE	SBL ADVISOR PROGRAM	216.74	0.14	0.00	0.14	92.0	0.13
02/27/2018	BLUMENTHAL, JAY	SBL ADVISOR PROGRAM	56,394.01	37.60	0.00	37.60	92.0	34.59
02/27/2018	PERICA, NICK	SBL ADVISOR PROGRAM	20,351.37	13.57	0.00	13.57	92.0	12.48
02/27/2018	PERICA, NICK	SBL ADVISOR PROGRAM	20,642.47	4.30	0.00	4.30	92.0	3.96
02/27/2018	PRATT, DAN	SBL ADVISOR PROGRAM	76,734.41	51.16	0.00	51.16	92.0	47.07
02/27/2018	PRATT, DAN	SBL ADVISOR PROGRAM	9,593.38	6.39	0.00	6.39	92.0	5.88
02/27/2018	NOWAK, LINDA	SBL ADVISOR PROGRAM	17,944.27	11.96	0.00	11.96	92.0	11.00
02/27/2018	WILSON, MICHAEL	SBL ADVISOR PROGRAM	10,141.10	2.11	0.00	2.11	92.0	1.94
02/27/2018	SCOTT, MELANIE	SBL ADVISOR PROGRAM	54,897.45	36.60	0.00	36.60	92.0	33.67
02/27/2018	KIMBROUGH, MICHAEL	SBL ADVISOR PROGRAM	33,110.37	22.07	0.00	22.07	92.0	20.30
02/27/2018	SPARTAN, STEPHEN	SBL ADVISOR PROGRAM	17,141.45	11.43	0.00	11.43	92.0	10.52
02/27/2018	HUGGINS, LINDA	SBL ADVISOR PROGRAM	6,250.80	4.17	0.00	4.17	92.0	3.84
02/27/2018	GREENFIELD, CHARLES	SBL ADVISOR PROGRAM	42.02	0.03	0.00	0.03	92.0	0.03
02/27/2018	ALEXANDER, DEBORAH	SBL ADVISOR PROGRAM	4,988.80	3.33	0.00	3.33	92.0	3.06
02/27/2018	SEGRIST, LLOYD	SBL ADVISOR PROGRAM	12,532.97	8.36	0.00	8.36	92.0	7.69
02/27/2018	SCHILLING, BARBARA	SBL ADVISOR PROGRAM	12,590.65	8.39	0.00	8.39	92.0	7.72
02/27/2018	SMITH, MAURICE	SBL ADVISOR PROGRAM	29.38	0.02	0.00	0.02	92.0	0.02
02/27/2018	HAYNES, VICKIE	SBL ADVISOR PROGRAM	9,965.21	6.64	0.00	6.64	92.0	6.11
02/27/2018	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	33,921.05	22.61	0.00	22.61	92.0	20.80
02/27/2018	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	8,533.98	5.69	0.00	5.69	92.0	5.23
02/27/2018	LEIGHTON, CAROL	SBL ADVISOR PROGRAM	13,603.75	9.07	0.00	9.07	92.0	8.34
02/27/2018	NOVAK, JAY	SBL ADVISOR PROGRAM	42,091.16	28.06	0.00	28.06	92.0	25.82
02/27/2018	LAHMANN, CYNTHIA	SBL ADVISOR PROGRAM	51,925.00	34.62	0.00	34.62	92.0	31.85
02/27/2018	HILL, MICHAEL	SBL ADVISOR PROGRAM	20,016.18	13.34	0.00	13.34	92.0	12.27
02/27/2018	MOREHOUSE, MARIA	SBL ADVISOR PROGRAM	5,010.77	3.34	0.00	3.34	92.0	3.07
02/27/2018	LAHMANN, JAMES	SBL ADVISOR PROGRAM	40,380.36	33.65	0.00	33.65	92.0	30.96
02/27/2018	NEFF, SHERRILL	SBL ADVISOR PROGRAM	23,612.17	15.74	0.00	15.74	92.0	14.48
02/27/2018	CHASTAIN, ANDREA	SBL ADVISOR PROGRAM	60,721.55	40.48	0.00	40.48	92.0	37.24
02/27/2018	JOHNSON, JUDY	SBL ADVISOR PROGRAM	56,322.07	37.55	0.00	37.55	92.0	34.55
02/27/2018	DARR, YVONNE	SBL ADVISOR PROGRAM	24,494.81	16.33	0.00	16.33	92.0	15.02
02/27/2018	TUNG, CHAN	SBL ADVISOR PROGRAM	23,700.61	15.80	0.00	15.80	92.0	14.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/27/2018	COOPER, KATHERINE	SBL ADVISOR PROGRAM	11,022.92	7.35	0.00	7.35	92.0	6.76
02/27/2018	DAVIS, JOANNE	SBL ADVISOR PROGRAM	8,260.02	5.51	0.00	5.51	92.0	5.07
02/27/2018	YEAZEL, JOHN	SBL ADVISOR PROGRAM	63,659.83	42.44	0.00	42.44	92.0	39.04
02/27/2018	SAUNDERS, TONI	SBL ADVISOR PROGRAM	4,180.61	2.79	0.00	2.79	92.0	2.57
02/27/2018	POWELL, MATTHEW	SBL ADVISOR PROGRAM	27,171.09	18.11	0.00	18.11	92.0	16.66
02/27/2018	MCDOWELL, DENISE	SBL ADVISOR PROGRAM	64,606.13	43.07	0.00	43.07	92.0	39.62
02/27/2018	SUTTON, LINDA	SBL ADVISOR PROGRAM	475.98	0.32	0.00	0.32	92.0	0.29
02/27/2018	BENNETT, CARA	SBL SECUREDESIGNS VA	12,081.04	2.51	0.00	2.51	92.0	2.31
02/27/2018	RHEA, JONNIE	SBL SECUREDESIGNS VA	104,748.18	21.78	0.00	21.78	92.0	20.04
02/27/2018	MCADAM, DANIEL	SBL SECUREDESIGNS VA	104,179.47	21.67	0.00	21.67	92.0	19.94
02/27/2018	DUFFENDACK, PAULA	SBL SECUREDESIGNS VA	25,811.12	9.68	0.00	9.68	92.0	8.91
02/21/2018	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
02/21/2018	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
03/01/2018	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
03/01/2018	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
02/03/2018	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	2,024.56	1.69	0.00	1.69	92.0	1.55
02/04/2018	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	7,345.18	6.12	0.00	6.12	92.0	5.63
02/24/2018	HOSS, JODENE	TRANSAMERICA PRINCIPIUM	273,977.63	114.16	0.00	114.16	92.0	105.03
* VARIABLE ANNUITIES SUBTOTAL *			\$3,588,515.73	\$1,985.97	\$0.00	\$1,985.97		\$1,827.09
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2018	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	4.48	0.00	4.48	92.0	4.12
02/12/2018	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.99	0.00	2.99	92.0	2.75
02/12/2018	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.37	0.00	0.37	92.0	0.34
02/12/2018	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.53	0.00	0.53	92.0	0.49
02/22/2018	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	7.73	0.00	7.73	92.0	7.11
02/22/2018	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.68	0.00	2.68	92.0	2.47
03/01/2018	MILLER, WARREN	AM FUNDS AMCAP A	0.00	25.11	0.00	25.11	92.0	23.10
03/01/2018	SCHMIDT, SYLVIA	AM FUNDS AMCAP A	0.00	51.43	0.00	51.43	92.0	47.32
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS AMCAP A	0.00	10.24	0.00	10.24	92.0	9.42
03/01/2018	BOWMAN, DANIEL	AM FUNDS AMCAP A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2018	JENKINS, MARTY	AM FUNDS AMCAP A	0.00	11.71	0.00	11.71	92.0	10.77
03/01/2018	BOWMAN, JAMES	AM FUNDS AMCAP A	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2018	BOWMAN, ROBIN	AM FUNDS AMCAP A	0.00	0.76	0.00	0.76	92.0	0.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HEIMERMAN, DOYLE	AM FUNDS AMCAP A	0.00	5.43	0.00	5.43	92.0	5.00
03/01/2018	STROOT, SANDRA	AM FUNDS AMCAP A	0.00	5.21	0.00	5.21	92.0	4.79
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS AMCAP A	0.00	8.09	0.00	8.09	92.0	7.44
03/01/2018	HAMPTON, ANNDRE	AM FUNDS AMCAP A	0.00	2.98	0.00	2.98	92.0	2.74
03/01/2018	GALLARDO, KAREN	AM FUNDS AMCAP A	0.00	9.78	0.00	9.78	92.0	9.00
03/01/2018	REED TRUST, MARK	AM FUNDS AMCAP A	0.00	134.44	0.00	134.44	92.0	123.68
02/21/2018	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.94	0.00	4.94	92.0	4.54
03/01/2018	RACER, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	1.32	0.00	1.32	92.0	1.21
03/01/2018	RHEA, JONNIE	AM FUNDS AMERICAN BALANCED A	0.00	176.57	0.00	176.57	92.0	162.44
03/01/2018	SCHMIDT, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	58.63	0.00	58.63	92.0	53.94
03/01/2018	MILLER, ELAINE	AM FUNDS AMERICAN BALANCED A	0.00	30.21	0.00	30.21	92.0	27.79
03/01/2018	WERNER TRUST, WANDA	AM FUNDS AMERICAN BALANCED A	0.00	35.52	0.00	35.52	92.0	32.68
03/01/2018	BOWMAN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.87	0.00	0.87	92.0	0.80
03/01/2018	DANDURAND, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	38.94	0.00	38.94	92.0	35.82
03/01/2018	PETERSEN, RAYMOND	AM FUNDS AMERICAN BALANCED A	0.00	14.28	0.00	14.28	92.0	13.14
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	76.68	0.00	76.68	92.0	70.55
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS AMERICAN BALANCED A	0.00	13.82	0.00	13.82	92.0	12.71
03/01/2018	PRACHT, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	3.23	0.00	3.23	92.0	2.97
03/01/2018	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	91.53	0.00	91.53	92.0	84.21
03/01/2018	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	0.00	3.84	0.00	3.84	92.0	3.53
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	8.58	0.00	8.58	92.0	7.89
03/01/2018	LAWSON, SYLVIA	AM FUNDS AMERICAN BALANCED A	0.00	12.10	0.00	12.10	92.0	11.13
03/01/2018	DELPH TRUST, NORMA	AM FUNDS AMERICAN BALANCED A	0.00	138.36	0.00	138.36	92.0	127.29
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	92.0	0.20
03/01/2018	CLEMENS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	7.67	0.00	7.67	92.0	7.06
03/01/2018	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2018	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	4.06	0.00	4.06	92.0	3.74
03/01/2018	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2018	SNELLENBERGER, ELFRIEDA	AM FUNDS AMERICAN BALANCED A	0.00	1.88	0.00	1.88	92.0	1.73
03/01/2018	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	1.12	0.00	1.12	92.0	1.03
03/01/2018	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	80.47	0.00	80.47	92.0	74.03
03/01/2018	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS AMERICAN BALANCED A	0.00	16.55	0.00	16.55	92.0	15.23
03/01/2018	HESSE KS/TOD, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	132.49	0.00	132.49	92.0	121.89

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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>								
03/01/2018	HIEGER, KIM	AM FUNDS AMERICAN BALANCED A	0.00	4.86	0.00	4.86	92.0	4.47
03/01/2018	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	4.40	0.00	4.40	92.0	4.05
03/01/2018	SMITH, SHARRILYN	AM FUNDS AMERICAN BALANCED A	0.00	10.78	0.00	10.78	92.0	9.92
03/01/2018	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	2.50	0.00	2.50	92.0	2.30
03/01/2018	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	10.56	0.00	10.56	92.0	9.72
03/01/2018	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.90	0.00	1.90	92.0	1.75
03/01/2018	GOODMAN, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	22.17	0.00	22.17	92.0	20.40
03/01/2018	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	2.53	0.00	2.53	92.0	2.33
03/01/2018	JENKINS, MARTY	AM FUNDS AMERICAN BALANCED A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2018	HIEGER, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	11.99	0.00	11.99	92.0	11.03
03/01/2018	HEIMERMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.82	0.00	4.82	92.0	4.43
03/01/2018	BROWN, MERRI	AM FUNDS AMERICAN BALANCED A	0.00	9.91	0.00	9.91	92.0	9.12
03/01/2018	KELLEY, RUTH	AM FUNDS AMERICAN BALANCED A	0.00	20.60	0.00	20.60	92.0	18.95
03/01/2018	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	6.11	0.00	6.11	92.0	5.62
03/01/2018	KELLEY, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	62.81	0.00	62.81	92.0	57.79
03/01/2018	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	3.13	0.00	3.13	92.0	2.88
03/01/2018	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.88	0.00	1.88	92.0	1.73
03/01/2018	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	12.54	0.00	12.54	92.0	11.54
03/01/2018	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	1.65	0.00	1.65	92.0	1.52
03/01/2018	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	4.23	0.00	4.23	92.0	3.89
03/01/2018	IORIO, NATASHA AUSDERA	AM FUNDS AMERICAN BALANCED A	0.00	7.27	0.00	7.27	92.0	6.69
03/01/2018	BOHANNON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	6.40	0.00	6.40	92.0	5.89
03/01/2018	CRANE, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	36.48	0.00	36.48	92.0	33.56
03/01/2018	MCADAM, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	5.33	0.00	5.33	92.0	4.90
03/01/2018	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	3.81	0.00	3.81	92.0	3.51
03/01/2018	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	29.71	0.00	29.71	92.0	27.33
03/01/2018	MULLINIX, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	22.31	0.00	22.31	92.0	20.53
03/01/2018	HEIMERMAN, DOYLE	AM FUNDS AMERICAN BALANCED A	0.00	5.96	0.00	5.96	92.0	5.48
03/01/2018	HAVERFIELD, KARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.49	0.00	3.49	92.0	3.21
03/01/2018	STROOT, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	5.82	0.00	5.82	92.0	5.35
03/01/2018	GOULD, HILARY	AM FUNDS AMERICAN BALANCED A	0.00	2.02	0.00	2.02	92.0	1.86
03/01/2018	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2018	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	92.0	0.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	5.11	0.00	5.11	92.0	4.70
03/01/2018	SMITH, PHILLIP	AM FUNDS AMERICAN BALANCED A	0.00	10.00	0.00	10.00	92.0	9.20
03/01/2018	FLATTERY, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	32.70	0.00	32.70	92.0	30.08
03/01/2018	OTTAWAY, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	32.14	0.00	32.14	92.0	29.57
03/01/2018	OTTAWAY, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	31.74	0.00	31.74	92.0	29.20
03/01/2018	SANDERS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.05	0.00	0.05	92.0	0.05
03/01/2018	HAMPTON, ANNDRE	AM FUNDS AMERICAN BALANCED A	0.00	11.34	0.00	11.34	92.0	10.43
03/01/2018	SPONSEL, VICKY	AM FUNDS AMERICAN BALANCED A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2018	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	23.15	0.00	23.15	92.0	21.30
03/01/2018	KS/TOD	AM FUNDS AMERICAN BALANCED A	0.00	1.90	0.00	1.90	92.0	1.75
03/01/2018	HAINES, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	51.99	0.00	51.99	92.0	47.83
03/01/2018	STEWART, SUE	AM FUNDS AMERICAN BALANCED A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2018	SCHMITT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2018	JONES-CLARK, DORETHEA	AM FUNDS AMERICAN BALANCED A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2018	BOHANNON, DONNA	AM FUNDS AMERICAN BALANCED A	0.00	9.20	0.00	9.20	92.0	8.46
03/01/2018	JONES-CLARK, DOROTHEA	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	92.0	1.35
03/01/2018	MULLINIX, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2018	VALDIVIA, HOLLY	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2018	MULLINIX, JONATHAN	AM FUNDS AMERICAN BALANCED A	0.00	0.68	0.00	0.68	92.0	0.63
03/01/2018	WELCH, COLLEEN	AM FUNDS AMERICAN BALANCED A	0.00	12.20	0.00	12.20	92.0	11.22
03/01/2018	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2018	KS/TOD	AM FUNDS AMERICAN BALANCED A	0.00	3.87	0.00	3.87	92.0	3.56
03/01/2018	WILLIAMS, JAIMIE	AM FUNDS AMERICAN BALANCED C	0.00	19.42	0.00	19.42	92.0	17.87
03/01/2018	KS/TOD	AM FUNDS AMERICAN BALANCED C	0.00	62.74	0.00	62.74	92.0	57.72
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.79	0.00	13.79	92.0	12.69
03/01/2018	SCHMIDT, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.78	0.00	4.78	92.0	4.40
03/01/2018	WERNER TRUST, WANDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	25.24	0.00	25.24	92.0	23.22
03/01/2018	WIRTH, MARJORIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	36.70	0.00	36.70	92.0	33.76
03/01/2018	MULLINIX, JANICE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.52	0.00	7.52	92.0	6.92
03/01/2018	FLATTERY, VICKI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.21	0.00	23.21	92.0	21.35
03/01/2018	OTTAWAY, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	19.82	0.00	19.82	92.0	18.23
03/01/2018	OTTAWAY, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.56	0.00	22.56	92.0	20.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	SCHMITT, SUSAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2018	REED TRUST, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	51.28	0.00	51.28	92.0	47.18
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	131.29	0.00	131.29	92.0	120.79
03/01/2018	THOMPSON, JESSICA	AM FUNDS AMERICAN MUTUAL A	0.00	3.09	0.00	3.09	92.0	2.84
03/01/2018	KELLEY, RUTH	AM FUNDS AMERICAN MUTUAL A	0.00	49.11	0.00	49.11	92.0	45.18
03/01/2018	BAZIL, RALPH	AM FUNDS AMERICAN MUTUAL A	0.00	7.88	0.00	7.88	92.0	7.25
03/01/2018	BAZIL, REBECCA	AM FUNDS AMERICAN MUTUAL A	0.00	9.79	0.00	9.79	92.0	9.01
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.33	0.00	9.33	92.0	8.58
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS BOND FUND OF AMERICA A	0.00	6.94	0.00	6.94	92.0	6.38
03/01/2018	KELLEY, RUTH	AM FUNDS BOND FUND OF AMERICA A	0.00	20.63	0.00	20.63	92.0	18.98
03/01/2018	HART, WALLACE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.66	0.00	2.66	92.0	2.45
03/01/2018	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.24	0.00	2.24	92.0	2.06
03/01/2018	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.24	0.00	2.24	92.0	2.06
02/21/2018	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.80	0.00	4.80	92.0	4.42
02/21/2018	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.05	0.00	6.05	92.0	5.57
02/21/2018	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	92.0	1.76
02/21/2018	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2018	SCHMIDT, ALAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.85	0.00	9.85	92.0	9.06
03/01/2018	WERNER TRUST, WANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.12	0.00	19.12	92.0	17.59
03/01/2018	DANDURAND, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.49	0.00	13.49	92.0	12.41
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.31	0.00	11.31	92.0	10.41
03/01/2018	PRACHT, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.20	0.00	5.20	92.0	4.78
03/01/2018	LAWSON, SYLVIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2018	IORIO, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.99	0.00	1.99	92.0	1.83
03/01/2018	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2018	IORIO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	92.0	0.74
03/01/2018	CLEMENS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.49	0.00	14.49	92.0	13.33
03/01/2018	STOCKHAM, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2018	SPRAGUE, KRISTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	83.92	0.00	83.92	92.0	77.21
03/01/2018	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.10	0.00	25.10	92.0	23.09
03/01/2018	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2018	BELL, GRIFFIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2018	DUSH, THERESA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.69	0.00	9.69	92.0	8.91

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	HOFFMAN, FRANCIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.25	0.00	22.25	92.0	20.47
03/01/2018	HOFFMAN, VERLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	41.58	0.00	41.58	92.0	38.25
03/01/2018	WIRTH, MARJORIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.61	0.00	8.61	92.0	7.92
03/01/2018	SMITH, SHARRILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.92	0.00	22.92	92.0	21.09
03/01/2018	LANDGREN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	92.0	1.42
03/01/2018	GOODMAN, KEITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.01	0.00	20.01	92.0	18.41
03/01/2018	GOODMAN, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.84	0.00	11.84	92.0	10.89
03/01/2018	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2018	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.03	0.00	5.03	92.0	4.63
03/01/2018	HIEGER, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.26	0.00	21.26	92.0	19.56
03/01/2018	HEIMERMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.64	0.00	4.64	92.0	4.27
03/01/2018	IORIO, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2018	BROWN, MERRI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.55	0.00	5.55	92.0	5.11
03/01/2018	KELLEY, RUTH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	37.04	0.00	37.04	92.0	34.08
03/01/2018	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.29	0.00	12.29	92.0	11.31
03/01/2018	KELLEY, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.65	0.00	17.65	92.0	16.24
03/01/2018	DAVIS, ELISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2018	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2018	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.10	0.00	2.10	92.0	1.93
03/01/2018	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	92.0	1.26
03/01/2018	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.68	0.00	10.68	92.0	9.83
03/01/2018	GAUNA, DOMINIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.64	0.00	8.64	92.0	7.95
03/01/2018	LANDGREN, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	92.0	0.43
03/01/2018	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.69	0.00	21.69	92.0	19.95
03/01/2018	BOHANNON, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.98	0.00	5.98	92.0	5.50
03/01/2018	CRANE, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.05	0.00	15.05	92.0	13.85
03/01/2018	LOTT TRUST, EDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.16	0.00	8.16	92.0	7.51
03/01/2018	HOUSTON, CAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.11	0.00	13.11	92.0	12.06
03/01/2018	THOMAS, IAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	92.0	1.34
03/01/2018	MCADAM, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.15	0.00	3.15	92.0	2.90
03/01/2018	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2018	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.64	0.00	19.64	92.0	18.07
03/01/2018	MULLINIX, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.54	0.00	22.54	92.0	20.74

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	CROSBY, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2018	LAWSON, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2018	GOULD, HILARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	92.0	1.55
03/01/2018	HOUSTON, JACOB	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	92.0	1.06
03/01/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.38	0.00	3.38	92.0	3.11
03/01/2018	SMITH, PHILLIP	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2018	FLATTERY, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.30	0.00	16.30	92.0	15.00
03/01/2018	OTTAWAY, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.11	0.00	9.11	92.0	8.38
03/01/2018	OTTAWAY, DANNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.41	0.00	8.41	92.0	7.74
03/01/2018	SANDERS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	92.0	0.06
03/01/2018	HEARD, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2018	HAMPTON, ANNDRE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.10	0.00	5.10	92.0	4.69
03/01/2018	SPONSEL, ERNEST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2018	SPONSEL, VICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2018	KERSTING, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.39	0.00	3.39	92.0	3.12
03/01/2018	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.18	0.00	13.18	92.0	12.13
03/01/2018	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	92.0	0.06
03/01/2018	HAINES, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.34	0.00	25.34	92.0	23.31
03/01/2018	STEWART, SUE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.01	0.00	22.01	92.0	20.25
03/01/2018	STUPASKY, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2018	JONES-CLARK, DORETHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.08	0.00	1.08	92.0	0.99
03/01/2018	BOHANNON, DONNA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.86	0.00	3.86	92.0	3.55
03/01/2018	JONES-CLARK, DOROTHEA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	92.0	0.88
03/01/2018	MULLINIX, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	92.0	0.77
03/01/2018	VALDIVIA, HOLLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2018	MULLINIX, JONATHAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2018	WELCH, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.02	0.00	10.02	92.0	9.22
03/01/2018	REED TRUST, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	46.20	0.00	46.20	92.0	42.50
03/01/2018	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.92	0.00	1.92	92.0	1.77
03/01/2018	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.29	0.00	3.29	92.0	3.03
03/01/2018	PYRON, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	80.68	0.00	80.68	92.0	74.23

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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>								
03/01/2018	WILLIAMS, JAIMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	16.22	0.00	16.22	92.0	14.92
03/01/2018	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	39.90	0.00	39.90	92.0	36.71
03/01/2018	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2018	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD BOND A	0.00	8.95	0.00	8.95	92.0	8.23
02/21/2018	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.34	0.00	4.34	92.0	3.99
03/01/2018	DANDURAND, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.01	0.00	4.01	92.0	3.69
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.75	0.00	29.75	92.0	27.37
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	92.0	0.98
03/01/2018	ROGERS, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.78	0.00	6.78	92.0	6.24
03/01/2018	CLEMENS, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.65	0.00	10.65	92.0	9.80
03/01/2018	SPRAGUE, KRISTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	61.59	0.00	61.59	92.0	56.66
03/01/2018	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.66	0.00	30.66	92.0	28.21
03/01/2018	DUSH, THERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.51	0.00	8.51	92.0	7.83
03/01/2018	HOFFMAN, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.50	0.00	12.50	92.0	11.50
03/01/2018	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.28	0.00	15.28	92.0	14.06
03/01/2018	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.93	0.00	22.93	92.0	21.10
03/01/2018	WIRTH, MARJORIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	40.71	0.00	40.71	92.0	37.45
03/01/2018	SMITH, SHARRILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.71	0.00	18.71	92.0	17.21
03/01/2018	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2018	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	92.0	0.85
03/01/2018	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2018	GOODMAN, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.45	0.00	11.45	92.0	10.53
03/01/2018	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	92.0	0.97
03/01/2018	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.27	0.00	4.27	92.0	3.93
03/01/2018	HIEGER, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.66	0.00	6.66	92.0	6.13
03/01/2018	HEIMERMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.10	0.00	2.10	92.0	1.93
03/01/2018	BROWN, MERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.84	0.00	2.84	92.0	2.61
03/01/2018	DAVIS, ELISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2018	CARPENTER JR, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.56	0.00	1.56	92.0	1.44
03/01/2018	ROTHS, GLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2018	GAUNA, DOMINIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2018	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.71	0.00	1.71	92.0	1.57
03/01/2018	JENDEL, TERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	92.0	0.91

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	BAZIL, RALPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.42	0.00	3.42	92.0	3.15
03/01/2018	BAZIL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2018	IORIO, NATASHA AUSDERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.60	0.00	6.60	92.0	6.07
03/01/2018	BOHANNON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.84	0.00	2.84	92.0	2.61
03/01/2018	LOTT TRUST, EDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.14	0.00	6.14	92.0	5.65
03/01/2018	HOUSTON, CAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.65	0.00	3.65	92.0	3.36
03/01/2018	MCADAM, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.42	0.00	1.42	92.0	1.31
03/01/2018	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2018	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	92.0	2.28
03/01/2018	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.39	0.00	10.39	92.0	9.56
03/01/2018	CROSBY, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2018	LAWSON, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.36	0.00	0.36	92.0	0.33
03/01/2018	THOMAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	92.0	0.25
03/01/2018	HEARD, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2018	HAMPTON, ANNDRE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.79	0.00	2.79	92.0	2.57
03/01/2018	SPONSEL, ERNEST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2018	SPONSEL, VICKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	92.0	0.32
03/01/2018	KERSTING, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.51	0.00	1.51	92.0	1.39
03/01/2018	GALLARDO, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.73	0.00	3.73	92.0	3.43
03/01/2018	BOHANNON, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.72	0.00	2.72	92.0	2.50
03/01/2018	VALDIVIA, HOLLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	92.0	0.49
03/01/2018	MULLINIX, JONATHAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2018	REED TRUST, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	36.93	0.00	36.93	92.0	33.98
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	38.89	0.00	38.89	92.0	35.78
03/01/2018	CLEMENS, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.83	0.00	3.83	92.0	3.52
03/01/2018	DUSH, THERESA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.97	0.00	11.97	92.0	11.01
03/01/2018	HOFFMAN, FRANCIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.45	0.00	9.45	92.0	8.69
03/01/2018	LANDGREN, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2018	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2018	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2018	RAYMER, DEBRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.73	0.00	2.73	92.0	2.51
03/01/2018	KOSANKE, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.18	0.00	0.18	92.0	0.17
03/01/2018	HIEGER, STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.76	0.00	8.76	92.0	8.06

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	CARPENTER, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2018	BAZIL, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2018	BAZIL, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.41	0.00	1.41	92.0	1.30
03/01/2018	CRANE, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.82	0.00	3.82	92.0	3.51
02/21/2018	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	92.0	2.33
03/01/2018	SCHMIDT, ALAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.55	0.00	13.55	92.0	12.47
03/01/2018	SCHMIDT, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	47.63	0.00	47.63	92.0	43.82
03/01/2018	DANDURAND, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.58	0.00	12.58	92.0	11.57
03/01/2018	LAWSON, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.86	0.00	3.86	92.0	3.55
03/01/2018	ROGERS, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.30	0.00	8.30	92.0	7.64
03/01/2018	STOCKHAM, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.60	0.00	0.60	92.0	0.55
03/01/2018	SPRAGUE, KRISTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	28.31	0.00	28.31	92.0	26.05
03/01/2018	DUSH, THERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.49	0.00	6.49	92.0	5.97
03/01/2018	SMITH, SHARRILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.58	0.00	15.58	92.0	14.33
03/01/2018	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.81	0.00	1.81	92.0	1.67
03/01/2018	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.35	0.00	15.35	92.0	14.12
03/01/2018	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	0.00	1.20	92.0	1.10
03/01/2018	GOODMAN, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.93	0.00	3.93	92.0	3.62
03/01/2018	BROWN, MERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.03	0.00	6.03	92.0	5.55
03/01/2018	KELLEY, LUCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.09	0.00	9.09	92.0	8.36
03/01/2018	DAVIS, ELISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2018	CARPENTER JR, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.26	0.00	5.26	92.0	4.84
03/01/2018	CARPENTER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.14	0.00	3.14	92.0	2.89
03/01/2018	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.71	0.00	15.71	92.0	14.45
03/01/2018	GAUNA, DOMINIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.45	0.00	7.45	92.0	6.85
03/01/2018	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2018	JENDEL, TERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	92.0	1.19
03/01/2018	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	40.42	0.00	40.42	92.0	37.19
03/01/2018	IORIO, NATASHA AUSDERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.36	0.00	14.36	92.0	13.21
03/01/2018	RACER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.04	0.00	3.04	92.0	2.80
03/01/2018	CRANE, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	15.87	0.00	15.87	92.0	14.60
03/01/2018	LOTT TRUST, EDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.40	0.00	9.40	92.0	8.65
03/01/2018	HOUSTON, CAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	19.93	0.00	19.93	92.0	18.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.72	0.00	1.72	92.0	1.58
03/01/2018	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.43	0.00	8.43	92.0	7.76
03/01/2018	HEIMERMAN, DOYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.88	0.00	7.88	92.0	7.25
03/01/2018	HAVERFIELD, KARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.81	0.00	7.81	92.0	7.19
03/01/2018	STROOT, SANDRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.88	0.00	7.88	92.0	7.25
03/01/2018	GOULD, HILARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.57	0.00	1.57	92.0	1.44
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.65	0.00	9.65	92.0	8.88
03/01/2018	OTTAWAY, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.58	0.00	10.58	92.0	9.73
03/01/2018	HAMPTON, ANNDRE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.41	0.00	6.41	92.0	5.90
03/01/2018	SPONSEL, ERNEST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2018	KERSTING, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.80	0.00	14.80	92.0	13.62
03/01/2018	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.52	0.00	13.52	92.0	12.44
03/01/2018	KS/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.91	0.00	1.91	92.0	1.76
03/01/2018	HAINES, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	21.34	0.00	21.34	92.0	19.63
03/01/2018	STEWART, SUE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2018	SCHMITT, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2018	STUPASKY, BRIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.04	0.00	0.04	92.0	0.04
03/01/2018	JONES-CLARK, DORETHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.16	0.00	1.16	92.0	1.07
03/01/2018	BOHANNON, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.50	0.00	5.50	92.0	5.06
03/01/2018	JONES-CLARK, DOROTHEA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2018	MULLINIX, JAMES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2018	VALDIVIA, HOLLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2018	MULLINIX, JONATHAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2018	WELCH, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.39	0.00	10.39	92.0	9.56
03/01/2018	REED TRUST, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	58.18	0.00	58.18	92.0	53.53
03/01/2018	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2018	KS/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.96	0.00	1.96	92.0	1.80
03/01/2018	MULLINIX, JONATHAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.53	0.00	1.53	92.0	1.41
03/01/2018	WILLIAMS, JAIMIE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	17.36	0.00	17.36	92.0	15.97
03/01/2018	STOCKHAM, JOYCE	AM FUNDS GROWTH AND INCOME A	0.00	6.05	0.00	6.05	92.0	5.57
03/01/2018	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.36	0.00	0.36	92.0	0.33
02/21/2018	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.10	0.00	4.10	92.0	3.77
02/21/2018	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.10	0.00	10.10	92.0	9.29

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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>								
03/01/2018	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	92.0	0.77
03/01/2018	SCHMIDT, SYLVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	58.25	0.00	58.25	92.0	53.59
03/01/2018	BOWMAN, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2018	REED, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.93	0.00	18.93	92.0	17.42
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.44	0.00	7.44	92.0	6.84
03/01/2018	PRACHT, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.74	0.00	9.74	92.0	8.96
03/01/2018	THOMPSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.03	0.00	4.03	92.0	3.71
03/01/2018	SMITH, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	0.00	1.14	92.0	1.05
03/01/2018	IORIO, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	92.0	5.07
03/01/2018	THOMAS, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.10	0.00	2.10	92.0	1.93
03/01/2018	CLEMENS, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.20	0.00	11.20	92.0	10.30
03/01/2018	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.20	0.00	2.20	92.0	2.02
03/01/2018	STOCKHAM, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.40	0.00	5.40	92.0	4.97
03/01/2018	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	92.0	1.57
03/01/2018	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS GROWTH FUND OF AMERICA A	0.00	15.21	0.00	15.21	92.0	13.99
03/01/2018	SMITH, BAILEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2018	SMITH, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2018	HIEGER, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.86	0.00	5.86	92.0	5.39
03/01/2018	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2018	BELL, GRIFFIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	92.0	0.61
03/01/2018	DUSH, THERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.11	0.00	5.11	92.0	4.70
03/01/2018	HOFFMAN, FRANCIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.32	0.00	17.32	92.0	15.93
03/01/2018	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.34	0.00	13.34	92.0	12.27
03/01/2018	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	26.03	0.00	26.03	92.0	23.95
03/01/2018	WIRTH, MARJORIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	51.65	0.00	51.65	92.0	47.52
03/01/2018	SMITH, SHARRILYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.65	0.00	16.65	92.0	15.32
03/01/2018	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2018	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.24	0.00	7.24	92.0	6.66
03/01/2018	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2018	GOODMAN, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.70	0.00	6.70	92.0	6.16
03/01/2018	JENKINS, MARTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.67	0.00	5.67	92.0	5.22
03/01/2018	HIEGER, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.91	0.00	8.91	92.0	8.20
03/01/2018	HEIMERMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.95	0.00	1.95	92.0	1.79

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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>								
03/01/2018	KELLEY, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.31	0.00	4.31	92.0	3.97
03/01/2018	DAVIS, ELISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2018	CARPENTER JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	92.0	1.91
03/01/2018	CARPENTER, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	92.0	1.82
03/01/2018	ROTHS, GLEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.27	0.00	5.27	92.0	4.85
03/01/2018	GAUNA, DOMINIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.43	0.00	2.43	92.0	2.24
03/01/2018	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.13	0.00	1.13	92.0	1.04
03/01/2018	BAZIL, RALPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.89	0.00	6.89	92.0	6.34
03/01/2018	BAZIL, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.14	0.00	4.14	92.0	3.81
03/01/2018	IORIO, NATASHA AUSDERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.67	0.00	6.67	92.0	6.14
03/01/2018	CRANE, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.01	0.00	14.01	92.0	12.89
03/01/2018	HOUSTON, CAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	92.0	4.56
03/01/2018	MCADAM, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.52	0.00	6.52	92.0	6.00
03/01/2018	CROSBY, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	92.0	0.42
03/01/2018	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.80	0.00	3.80	92.0	3.50
03/01/2018	HOUSTON, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.04	0.00	4.04	92.0	3.72
03/01/2018	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2018	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.07	0.00	7.07	92.0	6.50
03/01/2018	WILLIAMS, JAIMIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	92.0	0.39
03/01/2018	KERSTING, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	92.0	1.57
03/01/2018	GALLARDO, KAREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.13	0.00	3.13	92.0	2.88
03/01/2018	SCHMITT, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2018	JONES-CLARK, DORETHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2018	JONES-CLARK, DOROTHEA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2018	DUSH, THERESA	AM FUNDS GROWTH PORT A	0.00	10.12	0.00	10.12	92.0	9.31
03/01/2018	HEIMERMAN, DOYLE	AM FUNDS GROWTH PORT A	0.00	5.28	0.00	5.28	92.0	4.86
03/01/2018	HAVERFIELD, KARLA	AM FUNDS GROWTH PORT A	0.00	5.25	0.00	5.25	92.0	4.83
03/01/2018	STROOT, SANDRA	AM FUNDS GROWTH PORT A	0.00	5.20	0.00	5.20	92.0	4.78
02/21/2018	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	4.32	0.00	4.32	92.0	3.97
02/21/2018	KONECNY, MARK	AM FUNDS ICA A	0.00	7.11	0.00	7.11	92.0	6.54
02/21/2018	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.94	0.00	0.94	92.0	0.86
02/21/2018	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.70	0.00	0.70	92.0	0.64

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS ICA A	0.00	148.26	0.00	148.26	92.0	136.40
03/01/2018	SCHMIDT, ALAN	AM FUNDS ICA A	0.00	6.86	0.00	6.86	92.0	6.31
03/01/2018	CLEMENS, SUSAN	AM FUNDS ICA A	0.00	18.99	0.00	18.99	92.0	17.47
03/01/2018	HESSE KS/TOD, RICHARD	AM FUNDS ICA A	0.00	32.16	0.00	32.16	92.0	29.59
03/01/2018	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	28.05	0.00	28.05	92.0	25.81
03/01/2018	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	31.21	0.00	31.21	92.0	28.71
03/01/2018	WIRTH, MARJORIE	AM FUNDS ICA A	0.00	91.96	0.00	91.96	92.0	84.60
03/01/2018	SMITH, SHARRILYN	AM FUNDS ICA A	0.00	12.90	0.00	12.90	92.0	11.87
03/01/2018	HIEGER, STEVEN	AM FUNDS ICA A	0.00	11.97	0.00	11.97	92.0	11.01
03/01/2018	HEIMERMAN, JANET	AM FUNDS ICA A	0.00	8.59	0.00	8.59	92.0	7.90
03/01/2018	IORIO, ISABELLA	AM FUNDS ICA A	0.00	1.82	0.00	1.82	92.0	1.67
03/01/2018	BROWN, MERRI	AM FUNDS ICA A	0.00	7.40	0.00	7.40	92.0	6.81
03/01/2018	KELLEY, RUTH	AM FUNDS ICA A	0.00	60.14	0.00	60.14	92.0	55.33
03/01/2018	GALLARDO, KAREN	AM FUNDS ICA A	0.00	9.02	0.00	9.02	92.0	8.30
03/01/2018	BOHANNON, RONALD	AM FUNDS ICA A	0.00	4.07	0.00	4.07	92.0	3.74
03/01/2018	MCADAM, DANIEL	AM FUNDS ICA A	0.00	5.07	0.00	5.07	92.0	4.66
03/01/2018	MCADAM, JEANNETTE	AM FUNDS ICA A	0.00	12.06	0.00	12.06	92.0	11.10
03/01/2018	HEIMERMAN, DOYLE	AM FUNDS ICA A	0.00	8.56	0.00	8.56	92.0	7.88
03/01/2018	HAVERFIELD, KARLA	AM FUNDS ICA A	0.00	4.01	0.00	4.01	92.0	3.69
03/01/2018	STROOT, SANDRA	AM FUNDS ICA A	0.00	8.34	0.00	8.34	92.0	7.67
03/01/2018	LAWSON, THOMAS	AM FUNDS ICA A	0.00	0.69	0.00	0.69	92.0	0.63
03/01/2018	HILGER, GERALD	AM FUNDS ICA A	0.00	5.77	0.00	5.77	92.0	5.31
03/01/2018	SMITH, PHILLIP	AM FUNDS ICA A	0.00	10.06	0.00	10.06	92.0	9.26
03/01/2018	STUPASKY, BRIAN	AM FUNDS ICA A	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2018	REED TRUST, MARK	AM FUNDS ICA A	0.00	12.49	0.00	12.49	92.0	11.49
03/01/2018	RAYMER, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	49.73	0.00	49.73	92.0	45.75
03/01/2018	SALISBURY, CLEOTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	40.51	0.00	40.51	92.0	37.27
03/01/2018	WERNER TRUST, WANDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.98	0.00	25.98	92.0	23.90
03/01/2018	SPRAGUE, KRISTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	92.46	0.00	92.46	92.0	85.06
03/01/2018	HIEGER, KIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.70	0.00	3.70	92.0	3.40
03/01/2018	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.03	0.00	1.03	92.0	0.95
03/01/2018	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	MCADAM, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.45	0.00	10.45	92.0	9.61
03/01/2018	MULLINIX, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.97	0.00	19.97	92.0	18.37
03/01/2018	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.10	0.00	3.10	92.0	2.85
03/01/2018	HOUSTON, GARRETT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.29	0.00	1.29	92.0	1.19
03/01/2018	REED TRUST, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	24.86	0.00	24.86	92.0	22.87
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS NEW ECONOMY A	0.00	45.57	0.00	45.57	92.0	41.92
03/01/2018	GOODMAN, KEITH	AM FUNDS NEW ECONOMY A	0.00	10.40	0.00	10.40	92.0	9.57
02/21/2018	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	8.79	0.00	8.79	92.0	8.09
03/01/2018	SCHMIDT, SYLVIA	AM FUNDS NEW PERSPECTIVE A	0.00	44.70	0.00	44.70	92.0	41.12
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	45.11	0.00	45.11	92.0	41.50
03/01/2018	PRACHT, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.05	0.00	2.05	92.0	1.89
03/01/2018	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS NEW PERSPECTIVE A	0.00	20.14	0.00	20.14	92.0	18.53
03/01/2018	HIEGER, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2018	HOFFMAN, VERLA	AM FUNDS NEW PERSPECTIVE A	0.00	13.91	0.00	13.91	92.0	12.80
03/01/2018	SMITH, SHARRILYN	AM FUNDS NEW PERSPECTIVE A	0.00	10.46	0.00	10.46	92.0	9.62
03/01/2018	LANDGREN, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2018	BUCKO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	6.64	0.00	6.64	92.0	6.11
03/01/2018	BUCKO, ETHAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.59	0.00	2.59	92.0	2.38
03/01/2018	REED TRUST, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	140.94	0.00	140.94	92.0	129.66
03/01/2018	THOMAS, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.67	0.00	0.67	92.0	0.62
03/01/2018	CLEMENS, SUSAN	AM FUNDS NEW WORLD A	0.00	4.79	0.00	4.79	92.0	4.41
03/01/2018	BELL, BRAYDEN	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	92.0	0.51
03/01/2018	BELL, GRIFFIN	AM FUNDS NEW WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2018	DUSH, THERESA	AM FUNDS NEW WORLD A	0.00	4.06	0.00	4.06	92.0	3.74
03/01/2018	GOODMAN, KEITH	AM FUNDS NEW WORLD A	0.00	6.21	0.00	6.21	92.0	5.71
03/01/2018	LOTT TRUST, EDITH	AM FUNDS NEW WORLD A	0.00	4.04	0.00	4.04	92.0	3.72
03/01/2018	MULLINIX, JANICE	AM FUNDS NEW WORLD A	0.00	3.97	0.00	3.97	92.0	3.65
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS NEW WORLD A	0.00	3.13	0.00	3.13	92.0	2.88
02/21/2018	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	5.89	0.00	5.89	92.0	5.42
02/21/2018	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.78	0.00	6.78	92.0	6.24
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	79.58	0.00	79.58	92.0	73.21
03/01/2018	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	179.99	0.00	179.99	92.0	165.59
03/01/2018	SCHMIDT, ALAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	58.68	0.00	58.68	92.0	53.99

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	REED, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	59.88	0.00	59.88	92.0	55.09
03/01/2018	BOWMAN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.95	0.00	0.95	92.0	0.87
03/01/2018	DANDURAND, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.70	0.00	20.70	92.0	19.04
03/01/2018	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	74.39	0.00	74.39	92.0	68.44
03/01/2018	SPRAGUE, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	60.83	0.00	60.83	92.0	55.96
03/01/2018	PRACHT, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.56	0.00	16.56	92.0	15.24
03/01/2018	PRACHT, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.82	0.00	6.82	92.0	6.27
03/01/2018	THOMPSON, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.34	0.00	3.34	92.0	3.07
03/01/2018	BELL, CONNOR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.46	0.00	14.46	92.0	13.30
03/01/2018	SMITH, KATELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.12	0.00	1.12	92.0	1.03
03/01/2018	IORIO, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.53	0.00	4.53	92.0	4.17
03/01/2018	IORIO, NICHOLAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.38	0.00	3.38	92.0	3.11
03/01/2018	ROGERS, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.90	0.00	28.90	92.0	26.59
03/01/2018	CLEMENS, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.89	0.00	23.89	92.0	21.98
03/01/2018	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.27	0.00	2.27	92.0	2.09
03/01/2018	STOCKHAM, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.84	0.00	5.84	92.0	5.37
03/01/2018	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.25	0.00	1.25	92.0	1.15
03/01/2018	MCGUIRE, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.80	0.00	11.80	92.0	10.86
03/01/2018	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.04	0.00	1.04	92.0	0.96
03/01/2018	HIEGER REV TRUST, STEVEN & KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.30	0.00	20.30	92.0	18.68
03/01/2018	HIEGER, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.15	0.00	4.15	92.0	3.82
03/01/2018	MCLEAN, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2018	MCLEAN, GAVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	92.0	1.50
03/01/2018	DUSH, THERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.83	0.00	8.83	92.0	8.12
03/01/2018	SMITH, SHARRILYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.56	0.00	5.56	92.0	5.12
03/01/2018	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.52	0.00	2.52	92.0	2.32
03/01/2018	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.28	0.00	11.28	92.0	10.38
03/01/2018	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	92.0	1.22
03/01/2018	JENKINS, MARTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.65	0.00	6.65	92.0	6.12
03/01/2018	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.98	0.00	13.98	92.0	12.86
03/01/2018	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	92.0	0.97
03/01/2018	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.51	0.00	12.51	92.0	11.51
03/01/2018	CROSBY, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.59	0.00	0.59	92.0	0.54

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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>								
03/01/2018	GOULD, HILARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	92.0	1.41
03/01/2018	WILLIAMS, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.23	0.00	4.23	92.0	3.89
03/01/2018	SMITH, PHILLIP	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.08	0.00	10.08	92.0	9.27
03/01/2018	FLATTERY, VICKI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.02	0.00	17.02	92.0	15.66
03/01/2018	OTTAWAY, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.30	0.00	20.30	92.0	18.68
03/01/2018	OTTAWAY, DANNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.48	0.00	12.48	92.0	11.48
03/01/2018	SPONSEL, ERNEST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.50	0.00	1.50	92.0	1.38
03/01/2018	SPONSEL, VICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2018	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.10	0.00	3.10	92.0	2.85
03/01/2018	HAINES, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.04	0.00	21.04	92.0	19.36
03/01/2018	JONES-CLARK, DORETHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	92.0	1.06
03/01/2018	BOHANNON, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.49	0.00	5.49	92.0	5.05
03/01/2018	JONES-CLARK, DOROTHEA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2018	MULLINIX, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2018	VALDIVIA, HOLLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2018	MULLINIX, JONATHAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2018	WELCH, COLLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.30	0.00	8.30	92.0	7.64
03/01/2018	REED TRUST, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.65	0.00	40.65	92.0	37.40
03/01/2018	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2018	KS/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.96	0.00	1.96	92.0	1.80
/ /	RAYMER, CHRISTOPHER	FIDELITY ADV HEALTH CARE T	0.00	1.44	0.00	1.44	92.0	1.32
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV HEALTH CARE T	0.00	9.71	0.00	9.71	92.0	8.93
/ /	EVERETT, TRAVIS	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.92	0.00	1.92	92.0	1.77
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	2.84	0.00	2.84	92.0	2.61
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	1.77	0.00	1.77	92.0	1.63
/ /	LOTT TRUST, EDITH	FIDELITY ADV OVERSEAS	0.00	2.54	0.00	2.54	92.0	2.34
/ /	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	0.00	1.91	0.00	1.91	92.0	1.76
/ /	EVERETT, TRAVIS	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.89	0.00	1.89	92.0	1.74
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV STRATEGIC INCOME	0.00	3.45	0.00	3.45	92.0	3.17
/ /	KENNEDY, ROBERT	FIDELITY ADV VALUE STRATEGIES A	0.00	8.02	0.00	8.02	92.0	7.38
02/20/2018	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	14.85	0.00	14.85	92.0	13.66
/ /	RIEMANN TRUST, ARVELLA	FIDELITY ADVISOR VALUE	0.00	8.78	0.00	8.78	92.0	8.08
/ /	RIEMANN TRUST, ARVELLA	FIDELITY BALANCED T	0.00	9.05	0.00	9.05	92.0	8.33

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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>								
/ /	CROSS TRUST, ALLEN & CHARLA	FIDELITY BALANCED T	0.00	9.77	0.00	9.77	92.0	8.99
/ /	RIEMANN TRUST, ARVELLA	FIDELITY DIV GROWTH T	0.00	13.72	0.00	13.72	92.0	12.62
/ /	CHRISTIAN TOD, ROBERT	FIDELITY DIV GROWTH T	0.00	9.77	0.00	9.77	92.0	8.99
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED INTL A	0.00	0.54	0.00	0.54	92.0	0.50
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED STOCK A	0.00	1.67	0.00	1.67	92.0	1.54
/ /	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	0.00	2.16	0.00	2.16	92.0	1.99
/ /	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	0.00	4.08	0.00	4.08	92.0	3.75
/ /	KENNEDY, ROBERT	FIDELITY EMERGING MARKET A	0.00	0.64	0.00	0.64	92.0	0.59
/ /	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	0.00	0.43	0.00	0.43	92.0	0.40
/ /	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	0.00	3.60	0.00	3.60	92.0	3.31
/ /	RANCILIO, KENNETH	FIDELITY EQUITY GROWTH A	0.00	0.86	0.00	0.86	92.0	0.79
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	8.63	0.00	8.63	92.0	7.94
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	5.79	0.00	5.79	92.0	5.33
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY GROWTH T	0.00	27.60	0.00	27.60	92.0	25.39
/ /	HAYES, BEN	FIDELITY EQUITY GROWTH T	0.00	31.72	0.00	31.72	92.0	29.18
/ /	HEARD, DAVID	FIDELITY EQUITY GROWTH T	0.00	1.02	0.00	1.02	92.0	0.94
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY GROWTH T	0.00	23.46	0.00	23.46	92.0	21.58
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	7.90	0.00	7.90	92.0	7.27
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	7.94	0.00	7.94	92.0	7.30
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY INCOME	0.00	30.15	0.00	30.15	92.0	27.74
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY INCOME	0.00	34.80	0.00	34.80	92.0	32.02
/ /	HAYES, MARTHA	FIDELITY EQUITY INCOME A	0.00	0.50	0.00	0.50	92.0	0.46
/ /	HAYES, BEN	FIDELITY EQUITY INCOME A	0.00	0.51	0.00	0.51	92.0	0.47
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	0.72	0.00	0.72	92.0	0.66
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	3.34	0.00	3.34	92.0	3.07
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	2.81	0.00	2.81	92.0	2.59
/ /	LOTT TRUST, EDITH	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	0.72	0.00	0.72	92.0	0.66
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	2.91	0.00	2.91	92.0	2.68
/ /	CHRISTIAN TOD, ROBERT	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	2.72	0.00	2.72	92.0	2.50
/ /	KENNEDY, ROBERT	FIDELITY GROWTH & INCOME A	0.00	3.62	0.00	3.62	92.0	3.33
/ /	EVERETT, TRAVIS	FIDELITY GROWTH & INCOME A	0.00	1.60	0.00	1.60	92.0	1.47
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME A	0.00	0.48	0.00	0.48	92.0	0.44
/ /	KENNEDY, ROBERT	FIDELITY HIGH INCOME ADVANTAGE A	0.00	0.94	0.00	0.94	92.0	0.86

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME ADVANTAGE A	0.00	1.76	0.00	1.76	92.0	1.62
/ /	RIEMANN TRUST, ARVELLA	FIDELITY HIGH INCOME T	0.00	3.35	0.00	3.35	92.0	3.08
/ /	LOTT TRUST, EDITH	FIDELITY HIGH INCOME T	0.00	2.84	0.00	2.84	92.0	2.61
/ /	RIEMANN TRUST, ARVELLA	FIDELITY MIDCAP T	0.00	4.86	0.00	4.86	92.0	4.47
/ /	RAYMER, CHRISTOPHER	FIDELITY MIDCAP T	0.00	1.21	0.00	1.21	92.0	1.11
/ /	EVERETT, TRAVIS	FIDELITY TECHNOLOGY A	0.00	0.60	0.00	0.60	92.0	0.55
/ /	HAYES, BEN	FIDELITY TECHNOLOGY T	0.00	1.65	0.00	1.65	92.0	1.52
/ /	CHRISTIAN TOD, ROBERT	FIDELITY TECHNOLOGY T	0.00	6.16	0.00	6.16	92.0	5.67
02/22/2018	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.11	0.00	0.11	92.0	0.10
02/22/2018	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	5.55	0.00	5.55	92.0	5.11
02/22/2018	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.73	0.00	0.73	92.0	0.67
02/22/2018	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.46	0.00	4.46	92.0	4.10
/ /	RANCILIO, KENNETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	5.58	0.00	5.58	92.0	5.13
/ /	FAIRLEY, MIKE	GUGGENHEIM TOTAL RETURN BOND - A	0.00	3.69	0.00	3.69	92.0	3.39
/ /	WALMANN, JEFFREY	GUGGENHEIM US LONG SHORT MOMENTUM A	0.00	0.52	0.00	0.52	92.0	0.48
02/21/2018	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	25.82	0.00	25.82	92.0	23.75
02/22/2018	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.47	0.00	2.47	92.0	2.27
02/13/2018	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.48	0.00	0.48	92.0	0.44
02/27/2018	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.58	0.00	6.58	92.0	6.05
02/12/2018	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.04	0.00	1.04	92.0	0.96
02/12/2018	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.28	0.00	1.28	92.0	1.18
/ /	FRANZ, PJ	RYDEX ALPHA OPPORTUNITY A	0.00	0.49	0.00	0.49	92.0	0.45
/ /	THOMAS, MARY	RYDEX GUGG COMMODITIES STRATEGY A	0.00	0.21	0.00	0.21	92.0	0.19
/ /	LAWRENCE POLICE	RYDEX GUGG INVESTMENT GRADE BOND A	0.00	5.08	0.00	5.08	92.0	4.67
/ /	RANCILIO, KENNETH	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	1.20	0.00	1.20	92.0	1.10
/ /	THOMAS, MARY	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	0.11	0.00	0.11	92.0	0.10
/ /	RANCILIO, KENNETH	RYDEX GUGG S&P 500 PURE GROWTH A	0.00	2.97	0.00	2.97	92.0	2.73
/ /	LAWRENCE POLICE	RYDEX GUGG STYLEPLUS LARGE CORE A	0.00	8.91	0.00	8.91	92.0	8.20
/ /	ROGERS, D	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	23.20	0.00	23.20	92.0	21.34
/ /	WALMANN, JEFFREY	RYDEX MULTI HEDGE STRATEGIES A	0.00	0.40	0.00	0.40	92.0	0.37
02/22/2018	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	6.85	0.00	6.85	92.0	6.30
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$7,290.69	\$0.00	\$7,290.69		\$6,707.44
*** DIRECT TRANSACTIONS TOTAL ***			\$3,591,115.73	\$9,361.31	\$0.00	\$9,361.31		\$8,612.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
03/15/2018		*ALBRIDGE: LIGHT USER	0.00					-76.00
03/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2018		*GLOBAL RELAY: FACEBOOK	0.00					-5.00
03/15/2018		*GLOBAL RELAY: WEBSITE	0.00					-15.00
03/15/2018		*GLOBAL RELAY: YOUTUBE	0.00					-25.00
03/15/2018		*MARKETING PRO: PRO USER	0.00					-45.00
03/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-653.00

BROKER COMMISSION TOTALS

Broker Transactions	\$8,612.39
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-653.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,959.39
Year-to-date Gross	\$24,134.35
Year-to-date Earnings	\$22,203.64

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