

Schwab Best Execution Review Schedule 2017

Month	Audit Date	Total Trades	Audited Trades	Date Conducted	Auditors Initials	Compliance
1st Qtr	03/24/17	17	5	3/27/2017	CRS	CRS
2nd Qtr	06/20/17	7	5	7/5/2017	CRS	CRS
3rd Qtr	09/26/17	19	5	10/3/2017	CRS	CRS
4th Qtr						

Random Time and Sales Report (Schwab)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
7329-8229	B	100	SCHP	MKT	9/26/2017 11:51	9/26/2017 11:51	55.6000

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	11:52:16 AM						I	55.59	O	55.6	1 X 20	BBO
9/26/2017	11:52:14 AM	D	O		1	55.6						I
9/26/2017	11:52:00 AM						I	55.59	P	55.6	1 X 22	BBO
9/26/2017	11:51:47 AM	D	O		1	55.6						I
9/26/2017	11:51:43 AM	D	O		2	55.6						I
9/26/2017	11:51:36 AM	D	N		10	55.5968						I
9/26/2017	11:51:29 AM						I	55.59	P	55.6	1 X 22	BBO
9/26/2017	11:51:26 AM	D	N		100	55.5973						
9/26/2017	11:51:15 AM	D	O		1	55.6						I
9/26/2017	11:51:08 AM	D	O		1	55.6						I

Random Time and Sales Report (Schwab)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
7123-9113	B	90	REGL	MKT	9/26/2017 15:24	9/26/2017 15:24	52.430

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:26:59 PM						52.41		52.44	1 X 17		BBO
9/26/2017	3:26:29 PM						52.41		52.44	1 X 17		BBO
9/26/2017	3:26:12 PM	D	O		2	52.431						
9/26/2017	3:25:59 PM						52.41		52.44	1 X 17		BBO
9/26/2017	3:25:29 PM						52.41		52.44	1 X 17		BBO
9/26/2017	3:24:59 PM						52.41		52.44	1 X 17		BBO
9/26/2017	3:24:30 PM	D	O		90	52.4271						

Random Time and Sales Report (Schwab) 26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
1901-0175	S	60	ZBH	MKT	9/26/2017 15:24	9/26/2017 15:24	114.950

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	3:24:44 PM						N	114.95	O	114.96	3 X 2	BBO
9/26/2017	3:24:44 PM	I			45	114.96						I
9/26/2017	3:24:44 PM	N			28	114.96						I
9/26/2017	3:24:44 PM	N			58	114.96					Y	F I
9/26/2017	3:24:44 PM	P			99	114.96						I
9/26/2017	3:24:44 PM						O	114.95	O	114.96	3 X 3	BBO
9/26/2017	3:24:31 PM	D	N		60	114.951						I
9/26/2017	3:24:30 PM						O	114.95	O	114.96	2 X 3	BBO
9/26/2017	3:24:25 PM						O	114.95	O	114.96	2 X 3	BBO

Random Time and Sales Report (Schwab)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
9655-3430	B	230	BOTZ	MKT	9/26/2017 9:56	9/26/2017 9:56	21.3400

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition
9/26/2017	9:57:09 AM	D	O	100	21.33							
9/26/2017	9:56:58 AM	D	O	140	21.33							
9/26/2017	9:56:49 AM					JS	21.33	F	21.34	10 X 1		BBO
9/26/2017	9:56:45 AM	D	O	100	21.33							
9/26/2017	9:56:34 AM	D	O	25	21.33							I
9/26/2017	9:56:32 AM	D	O	400	21.335							
9/26/2017	9:56:23 AM					JS	21.33	J	21.34	10 X 2		BBO
9/26/2017	9:56:22 AM					JS	21.33	O	21.34	10 X 2		BBO
9/26/2017	9:56:21 AM					I	21.33	O	21.34	5 X 2		BBO
9/26/2017	9:56:21 AM	F		30	21.335							I
9/26/2017	9:56:21 AM	I		100	21.335							

Random Time and Sales Report (Schwab)

26-Sep-17

Account	Action	Qty	Symbol	TIF	Time Entered	Time Executed	Fill Price
3137-5554	S	500	RP	MKT	9/26/2017 15:59	9/26/2017 15:59	38.7500

Date	Time	Ex	SMkt	Size	Price	Best	Bid	Best	Ask	B/A Size	TTX	Condition	
9/26/2017	3:59:36 PM						O	38.7	O	38.75	32 X 35		BBO
9/26/2017	3:59:36 PM	O			7	38.75						Y	F I
9/26/2017	3:59:36 PM						O	38.7	O	38.75	32 X 40		BBO
9/26/2017	3:59:36 PM	O			93	38.75						Y	F I
9/26/2017	3:59:36 PM						O	38.7	O	38.75	32 X 41		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	34 X 41		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	35 X 41		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	35 X 40		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	35 X 35		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	37 X 35		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	32 X 35		BBO
9/26/2017	3:59:36 PM						O	38.7	O	38.75	25 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	23 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	30 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	23 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	22 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	29 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	22 X 35		BBO
9/26/2017	3:59:35 PM	J			117	38.75						Y	F
9/26/2017	3:59:35 PM	J			104	38.75						Y	F
9/26/2017	3:59:35 PM	J			179	38.75						Y	F
9/26/2017	3:59:35 PM						O	38.7	O	38.75	21 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	28 X 35		BBO
9/26/2017	3:59:35 PM						O	38.7	O	38.75	21 X 35		BBO
9/26/2017	3:59:35 PM	D	O		200	38.725							
9/26/2017	3:59:35 PM						J	38.7	O	38.75	20 X 35		BBO