



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**April 30, 2017**

04/27/2017  
 Page No. 1

KEITH LAYMAN  
 4321 Flagstaff

BROKER #: L128  
 BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
04/10/2017	DERBYSHIRE TRUST, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.53	0.00	22.53	90.0	20.28
04/10/2017	DERBYSHIRE, JAMES	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	7.79	0.00	7.79	90.0	7.01
04/10/2017	HARMEYER, SHARYN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.92	0.00	0.92	90.0	0.83
04/10/2017	BYRUM, GERALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.03	0.00	1.03	90.0	0.93
04/10/2017	BUSH, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.80	0.00	0.80	90.0	0.72
04/10/2017	DIETSCH, RHONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.68	0.00	0.68	90.0	0.61
04/10/2017	PEPPLE, GLEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.33	0.00	0.33	90.0	0.30
04/10/2017	WILLING, LEONARD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.43	0.00	0.43	90.0	0.39
04/10/2017	MURPHY, SUSAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.55	0.00	0.55	90.0	0.50
04/10/2017	LOWDEN TRUST, KATHERINE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.47	0.00	0.47	90.0	0.42
04/10/2017	ZINN, JEANETTE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.80	0.00	0.80	90.0	0.72
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$36.33	\$0.00	\$36.33		\$32.71
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/17/2017	NEWBAUER, CAMERON	AM FUNDS AMERICAN BALANCED 529A	50.00	1.38	0.00	1.38	90.0	1.24
04/10/2017	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	90.0	3.38
04/10/2017	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	90.0	1.92
04/10/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	550.00	6.60	0.00	6.60	90.0	5.94
04/17/2017	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	90.0	0.68
04/17/2017	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	90.0	20.66
04/17/2017	WHITE, IAN	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
04/17/2017	RATLIFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	75.00	3.75	0.00	3.75	90.0	3.38
04/17/2017	WEIMER, RITA	AM FUNDS AMERICAN BALANCED A	300.00	15.00	0.00	15.00	90.0	13.50
04/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	550.00	6.60	0.00	6.60	90.0	5.94
04/21/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	100.00	4.25	0.00	4.25	90.0	3.83
04/11/2017	O'CONNELL, KATHLEEN	AM FUNDS BOND FUND OF AMERICA A	2,000.00	60.00	0.00	60.00	90.0	54.00
04/17/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	1.38	0.00	1.38	90.0	1.24

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
 \*\* - Indicates adjustment is not included in Totals or Commissions  
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/10/2017	WEAVER, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.13	0.00	2.13	90.0	1.92
04/10/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	550.00	6.60	0.00	6.60	90.0	5.94
04/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	550.00	6.60	0.00	6.60	90.0	5.94
04/17/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	90.0	2.48
04/17/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	90.0	2.48
04/10/2017	WEAVER, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	4.25	0.00	4.25	90.0	3.83
04/17/2017	MOSURE, MONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	109.00	3.00	0.00	3.00	90.0	2.70
04/17/2017	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.88	0.00	1.88	90.0	1.69
04/17/2017	EAGLESON, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	10.00	0.28	0.00	0.28	90.0	0.25
04/17/2017	EAGLESON, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	8.10	0.22	0.00	0.22	90.0	0.20
04/17/2017	EAGLESON, SAMUEL	AM FUNDS CAPITAL WORLD GRTH & INC A	20.00	0.55	0.00	0.55	90.0	0.50
04/17/2017	EAGLESON, SAMUEL	AM FUNDS CAPITAL WORLD GRTH & INC A	13.44	0.37	0.00	0.37	90.0	0.33
04/20/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
04/20/2017	WILBANKS, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	175.00	7.44	0.00	7.44	90.0	6.70
04/17/2017	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	75.13	1.50	0.00	1.50	90.0	1.35
04/17/2017	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	75.13	1.50	0.00	1.50	90.0	1.35
04/17/2017	EAGLESON, ROSS	AM FUNDS EUROPACIFIC GROWTH FUND A	15.00	0.41	0.00	0.41	90.0	0.37
04/17/2017	EAGLESON, ROSS	AM FUNDS EUROPACIFIC GROWTH FUND A	12.15	0.33	0.00	0.33	90.0	0.30
04/17/2017	EAGLESON, SAMUEL	AM FUNDS EUROPACIFIC GROWTH FUND A	30.00	0.83	0.00	0.83	90.0	0.75
04/17/2017	EAGLESON, SAMUEL	AM FUNDS EUROPACIFIC GROWTH FUND A	20.16	0.55	0.00	0.55	90.0	0.50
04/10/2017	WEAVER, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MOSURE, MONICA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
04/17/2017	EAGLESON, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	10.00	0.28	0.00	0.28	90.0	0.25
04/17/2017	EAGLESON, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	8.10	0.22	0.00	0.22	90.0	0.20
04/17/2017	EAGLESON, SAMUEL	AM FUNDS FUNDAMENTAL INVESTORS A	20.00	0.55	0.00	0.55	90.0	0.50
04/17/2017	EAGLESON, SAMUEL	AM FUNDS FUNDAMENTAL INVESTORS A	13.44	0.37	0.00	0.37	90.0	0.33
04/17/2017	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
04/10/2017	WEAVER, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	90.0	3.83
04/10/2017	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	3.75	0.00	3.75	90.0	3.38
04/17/2017	MOSURE, MONICA	AM FUNDS GROWTH FUND OF AMERICA A	89.00	2.45	0.00	2.45	90.0	2.21
04/17/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	300.50	6.01	0.00	6.01	90.0	5.41
04/17/2017	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	300.50	6.01	0.00	6.01	90.0	5.41

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/17/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
04/17/2017	EAGLESON, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	15.00	0.41	0.00	0.41	90.0	0.37
04/17/2017	EAGLESON, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	12.15	0.33	0.00	0.33	90.0	0.30
04/17/2017	EAGLESON, SAMUEL	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.83	0.00	0.83	90.0	0.75
04/17/2017	EAGLESON, SAMUEL	AM FUNDS GROWTH FUND OF AMERICA A	20.16	0.55	0.00	0.55	90.0	0.50
04/20/2017	WILBANKS, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	175.00	7.44	0.00	7.44	90.0	6.70
04/21/2017	MCFEETERS, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	90.0	3.83
04/17/2017	NEWBAUER, CAMERON	AM FUNDS ICA 529A	100.00	2.75	0.00	2.75	90.0	2.48
04/10/2017	GRIME, STEPHEN	AM FUNDS ICA A	100.00	3.75	0.00	3.75	90.0	3.38
04/10/2017	WEAVER, JEFFREY	AM FUNDS INCOME FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
04/10/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	550.00	6.60	0.00	6.60	90.0	5.94
04/17/2017	MOSURE, MONICA	AM FUNDS INCOME FUND OF AMERICA A	60.00	1.65	0.00	1.65	90.0	1.49
04/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	550.00	6.60	0.00	6.60	90.0	5.94
04/11/2017	LYTLE, KEAN	AM FUNDS INTERMEDIATE BOND FUND OF	2,000.00	40.00	0.00	40.00	90.0	36.00
04/17/2017	SLIGER, RUSTY	AM FUNDS INTERMEDIATE BOND FUND OF	150.00	3.00	0.00	3.00	90.0	2.70
04/17/2017	SLIGER, RUSTY	AM FUNDS INTERMEDIATE BOND FUND OF	122.25	2.45	0.00	2.45	90.0	2.21
04/11/2017	O'CONNELL, KATHLEEN	AM FUNDS MORTGAGE A	2,000.00	60.00	0.00	60.00	90.0	54.00
04/10/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	550.00	6.60	0.00	6.60	90.0	5.94
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW ECONOMY A	10.00	0.28	0.00	0.28	90.0	0.25
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW ECONOMY A	8.10	0.22	0.00	0.22	90.0	0.20
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW ECONOMY A	20.00	0.55	0.00	0.55	90.0	0.50
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW ECONOMY A	13.44	0.37	0.00	0.37	90.0	0.33
04/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	550.00	6.60	0.00	6.60	90.0	5.94
04/10/2017	WEAVER, JEFFREY	AM FUNDS NEW PERSPECTIVE A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MOSURE, MONICA	AM FUNDS NEW PERSPECTIVE A	50.00	1.38	0.00	1.38	90.0	1.24
04/17/2017	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	50.00	1.88	0.00	1.88	90.0	1.69
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW PERSPECTIVE A	15.00	0.41	0.00	0.41	90.0	0.37
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW PERSPECTIVE A	12.15	0.33	0.00	0.33	90.0	0.30
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW PERSPECTIVE A	30.00	0.83	0.00	0.83	90.0	0.75
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW PERSPECTIVE A	20.16	0.55	0.00	0.55	90.0	0.50
04/10/2017	WEAVER, JEFFREY	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	90.0	2.25

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/17/2017	MOSURE, MONICA	AM FUNDS NEW WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
04/17/2017	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW WORLD A	15.00	0.41	0.00	0.41	90.0	0.37
04/17/2017	EAGLESON, ROSS	AM FUNDS NEW WORLD A	12.15	0.33	0.00	0.33	90.0	0.30
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW WORLD A	30.00	0.83	0.00	0.83	90.0	0.75
04/17/2017	EAGLESON, SAMUEL	AM FUNDS NEW WORLD A	20.16	0.55	0.00	0.55	90.0	0.50
04/11/2017	LYTLE, KEAN	AM FUNDS SHORT TERM BND FUND OF AM	1,500.00	30.00	0.00	30.00	90.0	27.00
04/11/2017	O'CONNELL, KATHLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	2,500.00	75.00	0.00	75.00	90.0	67.50
04/10/2017	WEAVER, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	90.0	1.92
04/17/2017	MOSURE, MONICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.38	0.00	1.38	90.0	1.24
04/17/2017	EAGLESON, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	10.00	0.28	0.00	0.28	90.0	0.25
04/17/2017	EAGLESON, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.10	0.22	0.00	0.22	90.0	0.20
04/17/2017	EAGLESON, SAMUEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	20.00	0.55	0.00	0.55	90.0	0.50
04/17/2017	EAGLESON, SAMUEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	13.44	0.37	0.00	0.37	90.0	0.33
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.75	0.00	1.75	90.0	1.58
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.57	0.00	1.57	90.0	1.41
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	1.72	0.00	1.72	90.0	1.55
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	2.52	0.00	2.52	90.0	2.27
/ /	PEPPLE, GLEN	ASCENSUS COLLEGE SAV 194524518	0.00	1.48	0.00	1.48	90.0	1.33
/ /	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	0.00	0.52	0.00	0.52	90.0	0.47
/ /	GEVERINK, ANN	ASCENSUS COLLEGE SAV 194524518	0.00	4.53	0.00	4.53	90.0	4.08
/ /	HOEFFEL, MARCIA	ASCENSUS COLLEGE SAV 194524518	0.00	0.08	0.00	0.08	90.0	0.07
/ /	HELLER, ADAM	ASCENSUS COLLEGE SAV 194524518	0.00	0.55	0.00	0.55	90.0	0.50
/ /	BERNDT, JAMIE	ASCENSUS COLLEGE SAV 194524518	0.00	0.14	0.00	0.14	90.0	0.13
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	1.88	0.00	1.88	90.0	1.69
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	1.33	0.00	1.33	90.0	1.20
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	2.23	0.00	2.23	90.0	2.01
/ /	SLATER, JUSTIN	ASCENSUS COLLEGE SAV 194524518	0.00	3.58	0.00	3.58	90.0	3.22
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.12	0.00	1.12	90.0	1.01
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.62	0.00	1.62	90.0	1.46
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	0.69	0.00	0.69	90.0	0.62

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	DAVID, SCOTT	ASCENSUS COLLEGE SAV 194524518	0.00	3.14	0.00	3.14	90.0	2.83
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.70	0.00	0.70	90.0	0.63
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.71	0.00	0.71	90.0	0.64
04/13/2017	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	15.00	0.71	0.00	0.71	90.0	0.64
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	20.80	0.83	0.00	0.83	90.0	0.75
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	20.80	0.83	0.00	0.83	90.0	0.75
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	20.80	0.83	0.00	0.83	90.0	0.75
/ /	DRUHOT, SCOTT	ASCENSUS INA 2022 ENROLLMENT PTF C	0.00	32.69	0.00	32.69	90.0	29.42
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.30	0.00	1.30	90.0	1.17
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.27	0.00	1.27	90.0	1.14
/ /	FREEZE, CORTNEY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.41	0.00	1.41	90.0	1.27
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	3.07	0.00	3.07	90.0	2.76
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.72	0.00	2.72	90.0	2.45
/ /	LINNEMEIER, JAY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.36	0.00	1.36	90.0	1.22
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	8.11	0.00	8.11	90.0	7.30
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	7.96	0.00	7.96	90.0	7.16
/ /	PEPPLE, GLEN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.31	0.00	1.31	90.0	1.18
/ /	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.69	0.00	0.69	90.0	0.62
/ /	GEVERINK, ANN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	3.07	0.00	3.07	90.0	2.76
/ /	HOEFFEL, MARCIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.14	0.00	0.14	90.0	0.13
/ /	HELLER, ADAM	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.00	0.00	2.00	90.0	1.80
/ /	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.14	0.00	0.14	90.0	0.13
/ /	ARCHBOLD, PAMELA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.91	0.00	0.91	90.0	0.82
/ /	BERNDT, JAMIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.11	0.00	0.11	90.0	0.10
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.42	0.00	1.42	90.0	1.28
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.04	0.00	1.04	90.0	0.94
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.65	0.00	1.65	90.0	1.49
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.95	0.00	1.95	90.0	1.76
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.93	0.00	1.93	90.0	1.74
/ /	DAVID, SCOTT	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.36	0.00	2.36	90.0	2.12
04/13/2017	FREEZE, CORTNEY	ASCENSUS INA AMERICAN FUNDS EUROPAC	15.00	0.71	0.00	0.71	90.0	0.64
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75

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

\*\* - Indicates adjustment is not included in Totals or Commissions

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	4.43	0.00	4.43	90.0	3.99
/ /	PATTERSON, JANITA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	2.81	0.00	2.81	90.0	2.53
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	2.89	0.00	2.89	90.0	2.60
/ /	PEPPLE, GLEN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	3.37	0.00	3.37	90.0	3.03
/ /	ROSS, AARON	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	4.91	0.00	4.91	90.0	4.42
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.49	0.00	0.49	90.0	0.44
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	2.56	0.00	2.56	90.0	2.30
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	0.96	0.00	0.96	90.0	0.86
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	0.50	0.00	0.50	90.0	0.45
/ /	GOULET, LETTA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.38	0.00	1.38	90.0	1.24
/ /	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	2.43	0.00	2.43	90.0	2.19
/ /	PEE, MICHAEL	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	3.82	0.00	3.82	90.0	3.44
/ /	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.45	0.00	0.45	90.0	0.41
/ /	HOEFFEL, MARCIA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.07	0.00	0.07	90.0	0.06
/ /	HELLER, ADAM	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.63	0.00	0.63	90.0	0.57
/ /	SLATER, JUSTIN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.29	0.00	0.29	90.0	0.26
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.98	0.00	0.98	90.0	0.88
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.14	0.00	1.14	90.0	1.03
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.64	0.00	0.64	90.0	0.58
/ /	LAYMAN, KEITH	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.23	0.00	0.23	90.0	0.21
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	10.40	0.00	10.40	90.0	9.36
/ /	PATTERSON, JANITA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	20.79	0.00	20.79	90.0	18.71
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	21.40	0.00	21.40	90.0	19.26
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.26	0.00	1.26	90.0	1.13
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.77	0.00	0.77	90.0	0.69
/ /	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.50	0.00	1.50	90.0	1.35
/ /	PEE, MICHAEL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	12.14	0.00	12.14	90.0	10.93
/ /	WILLIAMS, BEVERLY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.03	0.00	3.03	90.0	2.73
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.37	0.00	5.37	90.0	4.83
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.33	0.00	5.33	90.0	4.80
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.94	0.00	3.94	90.0	3.55
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.49	0.00	1.49	90.0	1.34

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	PEPPLE, GLEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.09	0.00	5.09	90.0	4.58
/ /	DERBYSHIRE, KAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.05	0.00	3.05	90.0	2.75
/ /	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.37	0.00	1.37	90.0	1.23
/ /	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.21	0.00	1.21	90.0	1.09
/ /	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.11	0.00	4.11	90.0	3.70
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.12	0.00	0.12	90.0	0.11
/ /	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.14	0.00	0.14	90.0	0.13
/ /	FEDLER, CHARLES	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.14	0.00	3.14	90.0	2.83
/ /	BERNDT, JAMIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.37	0.00	0.37	90.0	0.33
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.94	0.00	0.94	90.0	0.85
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	2.21	0.00	2.21	90.0	1.99
/ /	SHADY, HARRY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.02	0.00	0.02	90.0	0.02
/ /	LINSKY, MARCIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.09	0.00	1.09	90.0	0.98
/ /	RUSK, RANDALL F	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.16	0.00	0.16	90.0	0.14
04/13/2017	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	15.00	0.49	0.00	0.49	90.0	0.44
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	90.0	0.41
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	90.0	0.81
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA SHORT ERM TREASURY IND	0.00	5.77	0.00	5.77	90.0	5.19
/ /	PATTERSON, JANITA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	8.19	0.00	8.19	90.0	7.37
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	8.41	0.00	8.41	90.0	7.57
/ /	PEPPLE, GLEN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	1.92	0.00	1.92	90.0	1.73
/ /	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.42	0.00	0.42	90.0	0.38
/ /	FEDLER, CHARLES	ASCENSUS INA SHORT TERM TREASURY IN	0.00	3.06	0.00	3.06	90.0	2.75
/ /	LINSKY, MARCIA	ASCENSUS INA SHORT TERM TREASURY IN	0.00	2.03	0.00	2.03	90.0	1.83
/ /	RUSK, RANDALL F	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.07	0.00	0.07	90.0	0.06
/ /	GOULET, LETTA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.28	0.00	2.28	90.0	2.05
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.96	0.00	3.96	90.0	3.56
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.49	0.00	3.49	90.0	3.14
/ /	PEE, MICHAEL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	9.60	0.00	9.60	90.0	8.64
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.83	0.00	3.83	90.0	3.45
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.33	0.00	4.33	90.0	3.90
/ /	LINNEMEIER, JAY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.43	0.00	2.43	90.0	2.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	PEPPLE, GLEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.95	0.00	1.95	90.0	1.76
/ /	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.51	0.00	3.51	90.0	3.16
/ /	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.81	0.00	0.81	90.0	0.73
/ /	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	8.56	0.00	8.56	90.0	7.70
/ /	SHERBURNE, STEVEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.07	0.00	0.07	90.0	0.06
/ /	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.58	0.00	0.58	90.0	0.52
/ /	BERNDT, JAMIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.22	0.00	0.22	90.0	0.20
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.36	0.00	4.36	90.0	3.92
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.51	0.00	3.51	90.0	3.16
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.34	0.00	4.34	90.0	3.91
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.08	0.00	1.08	90.0	0.97
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.49	0.00	0.49	90.0	0.44
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.11	0.00	0.11	90.0	0.10
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.11	0.00	0.11	90.0	0.10
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.43	0.00	2.43	90.0	2.19
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.43	0.00	2.43	90.0	2.19
/ /	DAVID, SCOTT	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.08	0.00	4.08	90.0	3.67
/ /	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.90	0.00	3.90	90.0	3.51
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	41.60	1.66	0.00	1.66	90.0	1.49
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	90.0	1.75
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	90.0	1.25
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	3.60	0.00	3.60	90.0	3.24
/ /	PATTERSON, JANITA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	19.77	0.00	19.77	90.0	17.79
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	20.14	0.00	20.14	90.0	18.13
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	4.20	0.00	4.20	90.0	3.78
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	3.04	0.00	3.04	90.0	2.74
/ /	LINNEMEIER, JAY	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	1.43	0.00	1.43	90.0	1.29
/ /	PEPPLE, GLEN	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	2.61	0.00	2.61	90.0	2.35
/ /	FEDLER, CHARLES	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	3.09	0.00	3.09	90.0	2.78
/ /	BERNDT, JAMIE	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	LINSKY, MARCIA	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	1.06	0.00	1.06	90.0	0.95
/ /	RUSK, RANDALL F	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.11	0.00	0.11	90.0	0.10
/ /	GOULET, LETTA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.95	0.00	1.95	90.0	1.76

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.04	0.00	3.04	90.0	2.74
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.27	0.00	3.27	90.0	2.94
/ /	PEE, MICHAEL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	9.79	0.00	9.79	90.0	8.81
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.09	0.00	3.09	90.0	2.78
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.57	0.00	3.57	90.0	3.21
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	5.86	0.00	5.86	90.0	5.27
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.11	0.00	2.11	90.0	1.90
/ /	PEPPLE, GLEN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.48	0.00	1.48	90.0	1.33
/ /	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.24	0.00	3.24	90.0	2.92
/ /	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.76	0.00	0.76	90.0	0.68
/ /	GEVERINK, ANN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	7.44	0.00	7.44	90.0	6.70
/ /	HOEFFEL, MARCIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.21	0.00	0.21	90.0	0.19
/ /	SIEGER, NORMAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.58	0.00	0.58	90.0	0.52
/ /	ARCHBOLD, PAMELA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.48	0.00	2.48	90.0	2.23
/ /	BERNDT, JAMIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.22	0.00	0.22	90.0	0.20
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.89	0.00	3.89	90.0	3.50
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.20	0.00	3.20	90.0	2.88
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.83	0.00	3.83	90.0	3.45
/ /	SLATER, JUSTIN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.89	0.00	0.89	90.0	0.80
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.40	0.00	2.40	90.0	2.16
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.40	0.00	2.40	90.0	2.16
/ /	JACKSON, BRENDA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.11	0.00	0.11	90.0	0.10
/ /	MESSER, JENNIFER	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.57	0.00	4.57	90.0	4.11
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.27	0.00	0.27	90.0	0.24
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.80	0.00	0.80	90.0	0.72
/ /	GALENTINE, ASHLEY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.63	0.00	3.63	90.0	3.27
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	41.60	1.66	0.00	1.66	90.0	1.49
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	48.53	1.94	0.00	1.94	90.0	1.75
04/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	34.67	1.39	0.00	1.39	90.0	1.25
/ /	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.90	0.00	0.90	90.0	0.81
/ /	HOEFFEL, MARCIA	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.07	0.00	0.07	90.0	0.06
/ /	HELLER, ADAM	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.25	0.00	0.25	90.0	0.23
/ /	BERNDT, JAMIE	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.12	0.00	0.12	90.0	0.11

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.65	0.00	0.65	90.0	0.59
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.44	0.00	1.44	90.0	1.30
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.51	0.00	0.51	90.0	0.46
/ /	RUSK, RANDALL F	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.11	0.00	0.11	90.0	0.10
04/11/2017	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	1,500.00	48.75	0.00	48.75	90.0	43.88
04/11/2017	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	2,000.00	65.00	0.00	65.00	90.0	58.50
04/11/2017	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	1,000.00	32.50	0.00	32.50	90.0	29.25
04/11/2017	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	500.00	16.25	0.00	16.25	90.0	14.63
/ /	GOULET, LETTA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	2.10	0.00	2.10	90.0	1.89
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	4.17	0.00	4.17	90.0	3.75
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	6.86	0.00	6.86	90.0	6.17
/ /	WILLIAMS, BEVERLY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	3.52	0.00	3.52	90.0	3.17
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.98	0.00	0.98	90.0	0.88
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.03	0.00	1.03	90.0	0.93
/ /	LINNEMEIER, JAY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.63	0.00	0.63	90.0	0.57
/ /	PEPPLE, GLEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	3.91	0.00	3.91	90.0	3.52
/ /	HOEFFEL, MARCIA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.23	0.00	0.23	90.0	0.21
/ /	STEBING, MATTHEW	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.45	0.00	0.45	90.0	0.41
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.02	0.00	1.02	90.0	0.92
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.77	0.00	0.77	90.0	0.69
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.73	0.00	0.73	90.0	0.66
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.49	0.00	0.49	90.0	0.44
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	HELLER, ADAM	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.70	0.00	1.70	90.0	1.53
/ /	SAMELS, GREGORY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.18	0.00	0.18	90.0	0.16
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.04	0.00	1.04	90.0	0.94
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.92	0.00	1.92	90.0	1.73
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.94	0.00	0.94	90.0	0.85
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.54	0.00	0.54	90.0	0.49
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.38	0.00	0.38	90.0	0.34

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.32	0.00	0.32	90.0	0.29
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.25	0.00	0.25	90.0	0.23
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	JACKSON, NICK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.28	0.00	0.28	90.0	0.25
04/13/2017	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	55.00	2.61	0.00	2.61	90.0	2.35
04/13/2017	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
04/13/2017	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
04/01/2017	JACKSON, BRENDA	DAVIS NEW YORK VENTURE A	0.00	3.46	0.00	3.46	90.0	3.11
/ /	DRUHOT, SCOTT	INA 2025 ENROLLMENT PORTFOLIO CLAS	0.00	6.94	0.00	6.94	90.0	6.25
04/11/2017	LYTLE, KEAN	INFLATION LINKED BOND FUND A	3,000.00	60.00	0.00	60.00	90.0	54.00
04/05/2017	ALANZA, SARAH	MAINSTAY BALANCED FUND INVESTOR CLA	0.00	4.56	0.00	4.56	90.0	4.10
04/05/2017	WILLIAMS, BARBARA	MAINSTAY HIGH YIELD CORP BOND INVES	0.00	0.68	0.00	0.68	90.0	0.61
04/05/2017	ALANZA, SARAH	MAINSTAY ICAP SELECT EQ INVESTORS	0.00	5.12	0.00	5.12	90.0	4.61
04/05/2017	ALANZA, SARAH	MAINSTAY INTRNTL EQTY INVESTOR CLAS	0.00	3.52	0.00	3.52	90.0	3.17
04/05/2017	ALANZA, SARAH	MAINSTAY LRG CAP GROWTH INVESTOR CL	0.00	7.86	0.00	7.86	90.0	7.07
04/05/2017	ALANZA, SARAH	MAINSTAY MAP INVESTOR CLASS	0.00	2.80	0.00	2.80	90.0	2.52
04/05/2017	ALANZA, SARAH	MAINSTAY US SMALL CAP INV	0.00	0.97	0.00	0.97	90.0	0.87
04/17/2017	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	90.0	3.60
04/17/2017	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	90.0	-10.80
04/17/2017	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	90.0	-10.80
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$28,517.91</b>	<b>\$1,315.98</b>	<b>\$24.00</b>	<b>\$1,291.98</b>		<b>\$1,163.08</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
04/15/2017	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	90.0	0.90
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$50.00</b>	<b>\$1.00</b>	<b>\$0.00</b>	<b>\$1.00</b>		<b>\$0.90</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$28,567.91</b>	<b>\$1,353.31</b>	<b>\$24.00</b>	<b>\$1,329.31</b>		<b>\$1,196.69</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b>								
04/17/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.75	0.00	1.75	90.0	1.58
04/17/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	375.00	6.56	0.00	6.56	90.0	5.90
04/17/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	375.00	6.56	0.00	6.56	90.0	5.90
04/17/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	175.00	3.06	0.00	3.06	90.0	2.75
04/17/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	200.00	3.32	0.00	3.32	90.0	2.99
/ /	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.33	0.00	0.33	90.0	0.30
/ /	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	0.72	0.00	0.72	90.0	0.65
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	7.26	0.00	7.26	90.0	6.53
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	5.23	0.00	5.23	90.0	4.71
04/21/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
04/21/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
/ /	CRAWFORD, JOHN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.00	0.00	0.00	90.0	0.00
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.66	0.00	1.66	90.0	1.49
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.09	0.00	1.09	90.0	0.98
/ /	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	5.68	0.00	5.68	90.0	5.11
/ /	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.14	0.00	0.14	90.0	0.13
04/21/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.13	0.00	0.13	90.0	0.12
/ /	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.52	0.00	1.52	90.0	1.37
/ /	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.14	0.00	0.14	90.0	0.13
04/21/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	90.0	0.09
/ /	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.31	0.00	0.31	90.0	0.28
/ /	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	1.51	0.00	1.51	90.0	1.36
/ /	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.31	0.00	0.31	90.0	0.28
/ /	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.44	0.00	0.44	90.0	0.40
04/21/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
/ /	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.78	0.00	0.78	90.0	0.70
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.45	0.00	0.45	90.0	0.41
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.45	0.00	0.45	90.0	0.41
04/21/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.64	0.00	0.64	90.0	0.58
04/21/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
04/21/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b>								
04/10/2017	BURTNETTE, PATRICIA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.59	0.00	15.59	90.0	14.03
03/31/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	0.00	45.89	0.00	45.89	90.0	41.30
/ /	WALLS, ELENA	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.22	0.00	1.22	90.0	1.10
/ /	WALLS, THOMAS	INA 2028 ENROLLMENT PORT CL A	0.00	0.67	0.00	0.67	90.0	0.60
/ /	HEFFELFINGER, TAMMY	INA 2028 ENROLLMENT PORT CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	0.00	0.70	0.00	0.70	90.0	0.63
<b>* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *</b>			<b>\$1,455.00</b>	<b>\$117.28</b>	<b>\$0.00</b>	<b>\$117.28</b>		<b>\$105.57</b>
<b><u>BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #267</u></b>								
/ /	MARKS, RICHARD	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.35	0.00	0.35	90.0	0.32
04/13/2017	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	1.19	0.00	1.19	90.0	1.07
<b>* L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL *</b>			<b>\$50.00</b>	<b>\$1.54</b>	<b>\$0.00</b>	<b>\$1.54</b>		<b>\$1.39</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$1,505.00</b>	<b>\$118.82</b>	<b>\$0.00</b>	<b>\$118.82</b>		<b>\$106.96</b>

**VERRIDE TRANSACTIONS**

<b><u>BROKER: WILLIAM LAYMAN #207</u></b>								
04/17/2017	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
<b>* WILLIAM LAYMAN SUBTOTAL *</b>			<b>\$300.00</b>	<b>\$15.00</b>	<b>\$0.00</b>	<b>\$15.00</b>		<b>\$6.75</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$300.00</b>	<b>\$15.00</b>	<b>\$0.00</b>	<b>\$15.00</b>		<b>\$6.75</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,196.69
Split Transactions	\$106.96
Override Transactions	\$6.75
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-213.36
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,097.04
Year-to-date Gross	\$17,331.38
Year-to-date Earnings	\$15,119.92