



COMMISSION STATEMENT January 31, 2017

L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/FCCU
11617 Coldwater Road
Suite 103
Fort Wayne, IN 46845

BROKER #: L131
BRANCH: APPLE TREE FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^01/12/2017	BURTNETTE, PATRICIA	AMERICAN HIGH INCOME TRUST CLASS F-	30,000.00	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	AMERICAN HIGH INCOME TRUST CLASS F-	9,000.00	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	DODGE & COX INCOME FUND	15,000.00	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	DODGE & COX INCOME FUND	4,500.00	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	T ROWE PRICE GLOBAL MULTI-SECTOR BO	15,000.00	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	T ROWE PRICE GLOBAL MULTI-SECTOR BO	22,000.00	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	T ROWE PRICE GLOBAL MULTI-SECTOR BO	4,500.00	0.00	0.00	0.00	90.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$100,000.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
^01/19/2017	HAMM, GAIL	ANHEUSER BUSCH INBEV SA NV SPONSORE	9,974.24	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	AT&T INC COM	14,979.09	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	AT&T INC COM	20,014.79	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	AT&T INC COM	8,990.63	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	BP PLC SPONS ADR	22,484.99	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	BP PLC SPONS ADR	4,427.76	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	IRON MTN INC NEW COM	22,530.83	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	IRON MTN INC NEW COM	4,372.75	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	ISHARES TR US INDUSTRIALS ETF	-6,129.37	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	MATTEL INC COM	15,002.99	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	MATTEL INC COM	4,411.84	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR CONSUMER DISC	-13,001.71	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR FINANCIAL	-10,350.35	0.00	0.00	0.00	90.0	0.00
^01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR HEALTH CARE	-12,852.46	0.00	0.00	0.00	90.0	0.00
^01/12/2017	BURTNETTE, PATRICIA	SUNOCO LOGISTICS PARTNERS LP COM UN	14,894.69	0.00	0.00	0.00	90.0	0.00
^01/19/2017	BAILEY, LAURIE	SUNOCO LOGISTICS PARTNERS LP COM UN	4,557.72	0.00	0.00	0.00	90.0	0.00
* STOCKS SUBTOTAL *			\$104,308.43	\$0.00	\$0.00	\$0.00		\$0.00

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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: RIA</u>								
^01/18/2017	SCHENKEL, ROBERT	CLS INVESTMENTS	35,503.03	87.54	0.00	87.54	90.0	0.00
^01/26/2017	BECKER, PATRICIA	ITS MANAGEMENT	30,108.81	74.24	0.00	74.24	90.0	0.00
^01/26/2017	COSTANZA, JOSEPH	ITS MANAGEMENT	19,379.25	47.79	0.00	47.79	90.0	0.00
^01/26/2017	GATER, CAREY	ITS MANAGEMENT	71,645.61	132.50	0.00	132.50	90.0	0.00
^01/18/2017	FIRE POLICE CITY, 401K	PRINCIPAL LIFE INS	0.00	2,459.40	0.00	2,459.40	90.0	0.00
^01/25/2017	FIRE POLICE CITY, DB PLAN	PRINCIPAL LIFE INS	0.00	1,966.27	0.00	1,966.27	90.0	0.00
^01/23/2017	BAKER, KRISTINE	SAWTOOTH	0.00	15.73	0.00	15.73	90.0	0.00
^01/23/2017	DORSETT, JERRY	SAWTOOTH	0.00	90.61	0.00	90.61	90.0	0.00
^01/23/2017	DORSETT, LARA	SAWTOOTH	0.00	171.36	0.00	171.36	90.0	0.00
^01/23/2017	EISERLE, DAVID	SAWTOOTH	0.00	618.68	0.00	618.68	90.0	0.00
^01/23/2017	FOLTZ, SCOTT	SAWTOOTH	0.00	64.47	0.00	64.47	90.0	0.00
^01/23/2017	FOLTZ, KATHRYN	SAWTOOTH	0.00	98.37	0.00	98.37	90.0	0.00
^01/23/2017	JACOBS, BARRY	SAWTOOTH	0.00	223.73	0.00	223.73	90.0	0.00
^01/23/2017	KLINE, THOMAS	SAWTOOTH	0.00	133.28	0.00	133.28	90.0	0.00
^01/23/2017	MOUNSEY, CHRISTINE	SAWTOOTH	0.00	293.05	0.00	293.05	90.0	0.00
* RIA SUBTOTAL *			\$156,636.70	\$6,477.02	\$0.00	\$6,477.02		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$360,945.13	\$6,477.02	\$0.00	\$6,477.02		\$0.00

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

01/12/2017	BURTNETTE, PATRICIA	AMERICAN HIGH INCOME TRUST CLASS F-	30,000.00	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	AMERICAN HIGH INCOME TRUST CLASS F-	9,000.00	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	ANHEUSER BUSCH INBEV SA NV SPONSORE	9,974.24	0.00	0.00	0.00	90.0	0.00
01/12/2017	BURTNETTE, PATRICIA	AT&T INC COM	14,979.09	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	AT&T INC COM	20,014.79	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	AT&T INC COM	8,990.63	0.00	0.00	0.00	90.0	0.00
01/12/2017	BURTNETTE, PATRICIA	BP PLC SPONS ADR	22,484.99	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	BP PLC SPONS ADR	4,427.76	0.00	0.00	0.00	90.0	0.00
01/18/2017	SCHENKEL, ROBERT	CLS INVESTMENTS	35,503.03	26.26	0.00	26.26	90.0	23.63
01/12/2017	BURTNETTE, PATRICIA	DODGE & COX INCOME FUND	15,000.00	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	DODGE & COX INCOME FUND	4,500.00	0.00	0.00	0.00	90.0	0.00
01/12/2017	BURTNETTE, PATRICIA	IRON MTN INC NEW COM	22,530.83	0.00	0.00	0.00	90.0	0.00

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
01/19/2017	BAILEY, LAURIE	IRON MTN INC NEW COM	4,372.75	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	ISHARES TR US INDUSTRIALS ETF	-6,129.37	0.00	0.00	0.00	90.0	0.00
01/26/2017	BECKER, PATRICIA	ITS MANAGEMENT	30,108.81	22.27	0.00	22.27	90.0	20.04
01/26/2017	COSTANZA, JOSEPH	ITS MANAGEMENT	19,379.25	14.34	0.00	14.34	90.0	12.91
01/26/2017	GATER, CAREY	ITS MANAGEMENT	71,645.61	39.75	0.00	39.75	90.0	35.78
01/12/2017	BURTNETTE, PATRICIA	MATTEL INC COM	15,002.99	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	MATTEL INC COM	4,411.84	0.00	0.00	0.00	90.0	0.00
01/18/2017	FIRE POLICE CITY, 401K	PRINCIPAL LIFE INS	0.00	737.82	0.00	737.82	90.0	664.04
01/25/2017	FIRE POLICE CITY, DB PLAN	PRINCIPAL LIFE INS	0.00	589.88	0.00	589.88	90.0	530.89
01/23/2017	BAKER, KRISTINE	SAWTOOTH	0.00	4.72	0.00	4.72	90.0	4.25
01/23/2017	DORSETT, JERRY	SAWTOOTH	0.00	27.18	0.00	27.18	90.0	24.46
01/23/2017	DORSETT, LARA	SAWTOOTH	0.00	51.41	0.00	51.41	90.0	46.27
01/23/2017	EISERLE, DAVID	SAWTOOTH	0.00	185.60	0.00	185.60	90.0	167.04
01/23/2017	FOLTZ, SCOTT	SAWTOOTH	0.00	19.34	0.00	19.34	90.0	17.41
01/23/2017	FOLTZ, KATHRYN	SAWTOOTH	0.00	29.51	0.00	29.51	90.0	26.56
01/23/2017	JACOBS, BARRY	SAWTOOTH	0.00	67.12	0.00	67.12	90.0	60.41
01/23/2017	KLINE, THOMAS	SAWTOOTH	0.00	39.98	0.00	39.98	90.0	35.98
01/23/2017	MOUNSEY, CHRISTINE	SAWTOOTH	0.00	87.92	0.00	87.92	90.0	79.13
01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR CONSUMER DISC	-13,001.71	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR FINANCIAL	-10,350.35	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	SELECT SECTOR SPDR TR HEALTH CARE	-12,852.46	0.00	0.00	0.00	90.0	0.00
01/12/2017	BURTNETTE, PATRICIA	SUNOCO LOGISTICS PARTNERS LP COM UN	14,894.69	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	SUNOCO LOGISTICS PARTNERS LP COM UN	4,557.72	0.00	0.00	0.00	90.0	0.00
01/12/2017	BURTNETTE, PATRICIA	T ROWE PRICE GLOBAL MULTI-SECTOR BO	15,000.00	0.00	0.00	0.00	90.0	0.00
01/19/2017	HAMM, GAIL	T ROWE PRICE GLOBAL MULTI-SECTOR BO	22,000.00	0.00	0.00	0.00	90.0	0.00
01/19/2017	BAILEY, LAURIE	T ROWE PRICE GLOBAL MULTI-SECTOR BO	4,500.00	0.00	0.00	0.00	90.0	0.00
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$360,945.13	\$1,943.10	\$0.00	\$1,943.10		\$1,748.80
*** SPLIT TRANSACTIONS TOTAL ***			\$360,945.13	\$1,943.10	\$0.00	\$1,943.10		\$1,748.80

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** - 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
<u>ADJUSTMENTS</u>								
01/31/2017		*MANAGED FEE EXPENSE: SAWTOOTH ACCT	0.00					0.00
01/31/2017		*MANAGED FEE EXPENSE: SAWTOOTH ACCT	0.00					-2.80
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2.80

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$1,748.80
Override Transactions	\$0.00
Adjustments	\$-2.80
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,746.00
Year-to-date Gross	\$3,037.93
Year-to-date Earnings	\$2,734.15

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