

**COMMISSION STATEMENT****July 31, 2018**DAVID, K123 KERN  
4321 Flagstaff CoveBROKER #: K123  
BRANCH: DAVID KERN

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	DAVIS, PATRICIA	PROFUNDS MONEY MARKET-SVC	0.00	2.70	0.00	2.70	90.0	2.43
/ /	COPELAND, DANIEL	PROFUNDS MONEY MARKET-SVC	0.00	0.53	0.00	0.53	90.0	0.48
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$3.23	\$0.00	\$3.23		\$2.91
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
07/16/2018	FREISTROFFER, HENRY	JNL PERSPECTIVE L	3,000.00	120.00	0.00	120.00	90.0	108.00
07/23/2018	FREISTROFFER, HENRY	JNL PERSPECTIVE L	100,000.00	4,000.00	0.00	4,000.00	90.0	3,600.00
07/05/2018	DAVIS, PATRICIA	PRU DEFINED INCOME	150,000.00	1,500.00	0.00	1,500.00	90.0	1,350.00
* VARIABLE ANNUITIES SUBTOTAL *			\$253,000.00	\$5,620.00	\$0.00	\$5,620.00		\$5,058.00
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	AKPABIO, UWEM	EMERGING MARKETS INNOVATORS FUND C	0.00	20.74	0.00	20.74	90.0	18.67
/ /	HORNBERGER, DEBORAH	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	20.04	0.00	20.04	90.0	18.04
/ /	HURLEY, JOHN	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	8.88	0.00	8.88	90.0	7.99
/ /	JOHNSON, MARGAUX	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	2.11	0.00	2.11	90.0	1.90
/ /	LANGELIER, STEPHANE	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	1.71	0.00	1.71	90.0	1.54
/ /	RIEBE, ALAN	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	1.11	0.00	1.11	90.0	1.00
/ /	CROWLEY, HELEN	OPPENHEIMER AMT MUNICIPALS C	0.00	27.36	0.00	27.36	90.0	24.62
/ /	ANDERSON II, ROBERT	OPPENHEIMER AMT MUNICIPALS C	0.00	123.21	0.00	123.21	90.0	110.89
/ /	RIEBE, ALAN	OPPENHEIMER AMT MUNICIPALS C	0.00	299.78	0.00	299.78	90.0	269.80
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER CA MUNICIPAL A	0.00	33.44	0.00	33.44	90.0	30.10
/ /	COLE, RANDY	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.19	0.00	7.19	90.0	6.47
/ /	ARCHER, DEBORAH	OPPENHEIMER CORE BOND FUND C	0.00	48.73	0.00	48.73	90.0	43.86
/ /	KERN, ADELINE	OPPENHEIMER EMERG MKTS INNOV	0.00	0.20	0.00	0.20	90.0	0.18
/ /	KERN, BRADEY	OPPENHEIMER EMERG MKTS INNOV	0.00	0.20	0.00	0.20	90.0	0.18
/ /	KERN, FORD	OPPENHEIMER EMERG MKTS INNOV	0.00	0.41	0.00	0.41	90.0	0.37
/ /	KERN, RYDER	OPPENHEIMER EMERG MKTS INNOV	0.00	0.41	0.00	0.41	90.0	0.37

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>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
/ /	KERN, WESTON	OPPENHEIMER EMERG MKTS INNOV	0.00	0.40	0.00	0.40	90.0	0.36
/ /	BONE, SAGE	OPPENHEIMER EQUITY INCOME C	0.00	31.14	0.00	31.14	90.0	28.03
/ /	AKPABIO, UWEM	OPPENHEIMER EQUITY INCOME C	0.00	28.50	0.00	28.50	90.0	25.65
/ /	AKPABIO, UWEM	OPPENHEIMER FUND 68385E200	0.00	20.92	0.00	20.92	90.0	18.83
/ /	ARCHER, DEBORAH	OPPENHEIMER FUND 68385E200	0.00	48.28	0.00	48.28	90.0	43.45
/ /	OBERLIN, DOUGLAS	OPPENHEIMER FUND 68385E200	0.00	6.15	0.00	6.15	90.0	5.54
/ /	DEWITT, PAMELA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	1.21	0.00	1.21	90.0	1.09
/ /	COLE, RANDY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.63	0.00	22.63	90.0	20.37
/ /	MILLER, WILLIAM	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	MILLER, NOAH	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.49	0.00	0.49	90.0	0.44
/ /	DAVIS, GARY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	12.00	0.00	12.00	90.0	10.80
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	20.93	0.00	20.93	90.0	18.84
/ /	TEUBNER, KATHERINE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	23.51	0.00	23.51	90.0	21.16
/ /	ARCHER, GARY	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	55.10	0.00	55.10	90.0	49.59
/ /	ANDERSON II, ROBERT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	76.52	0.00	76.52	90.0	68.87
/ /	SOLLOWAY, SHARON	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	17.50	0.00	17.50	90.0	15.75
/ /	VAN DRUNEN, CATHERINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	19.85	0.00	19.85	90.0	17.87
/ /	KERN, FORD	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.29	0.00	0.29	90.0	0.26
/ /	KERN, RYDER	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.29	0.00	0.29	90.0	0.26
/ /	KERN, WESTON	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.29	0.00	0.29	90.0	0.26
/ /	KERN, ADELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.14	0.00	0.14	90.0	0.13
/ /	KERN, BRADEY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.14	0.00	0.14	90.0	0.13
/ /	AKPABIO, UWEM	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.74	0.00	5.74	90.0	5.17
/ /	JOHNSON, MARGAUX	OPPENHEIMER INTL DIVERSIFIED A	0.00	0.90	0.00	0.90	90.0	0.81
/ /	LANGELIER, STEPHANE	OPPENHEIMER INTL DIVERSIFIED A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	AKPABIO, UWEM	OPPENHEIMER INTL DIVERSIFIED C	0.00	13.91	0.00	13.91	90.0	12.52
/ /	OBERLIN, DOUGLAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	9.55	0.00	9.55	90.0	8.60
/ /	FREISTROFFER, HOLDEN	OPPENHEIMER INTL GROWTH A	0.00	0.34	0.00	0.34	90.0	0.31
/ /	ANDERSON II, ROBERT	OPPENHEIMER PCHSTER INT TERM MUNI F	0.00	15.60	0.00	15.60	90.0	14.04
/ /	AKPABIO, UWEM	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	31.48	0.00	31.48	90.0	28.33
/ /	AKPABIO, UWEM	OPPENHEIMER REAL ESTATE C	0.00	2.19	0.00	2.19	90.0	1.97
/ /	HORNBERGER, DEBORAH	OPPENHEIMER RISING DIVIDENDS A	0.00	5.07	0.00	5.07	90.0	4.56
/ /	KERN, BRADEY	OPPENHEIMER RISING DIVIDENDS A	0.00	0.19	0.00	0.19	90.0	0.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
/ /	KERN, ADELINE	OPPENHEIMER RISING DIVIDENDS A	0.00	0.19	0.00	0.19	90.0	0.17
/ /	KERN, FORD	OPPENHEIMER RISING DIVIDENDS A	0.00	0.41	0.00	0.41	90.0	0.37
/ /	KERN, RYDER	OPPENHEIMER RISING DIVIDENDS A	0.00	0.45	0.00	0.45	90.0	0.41
/ /	KERN, WESTON	OPPENHEIMER RISING DIVIDENDS A	0.00	0.45	0.00	0.45	90.0	0.41
/ /	JOHNSON, MARGAUX	OPPENHEIMER RISING DIVIDENDS A	0.00	0.53	0.00	0.53	90.0	0.48
/ /	RIEBE, PATRICIA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.33	0.00	0.33	90.0	0.30
/ /	AKPABIO, UWEM	OPPENHEIMER RISING DIVIDENDS C	0.00	31.33	0.00	31.33	90.0	28.20
/ /	OBERLIN, DOUGLAS	OPPENHEIMER RISING DIVIDENDS C	0.00	3.92	0.00	3.92	90.0	3.53
/ /	SOLLOWAY, SHARON	OPPENHEIMER ROCHESTER FUND MUNICIPA	0.00	9.45	0.00	9.45	90.0	8.51
/ /	ANDERSON II, ROBERT	OPPENHEIMER ROCHESTER FUND MUNICIPA	0.00	41.34	0.00	41.34	90.0	37.21
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER ROCHESTER INTERMEDIATE	0.00	18.48	0.00	18.48	90.0	16.63
/ /	DAVIS, GARY	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	6.09	0.00	6.09	90.0	5.48
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	11.33	0.00	11.33	90.0	10.20
/ /	OBERLIN, DOUGLAS	OPPENHEIMER SMALL MID CAP VALUE C	0.00	3.27	0.00	3.27	90.0	2.94
/ /	DAVIS, PATRICIA	PROFUNDS MONEY MARKET-SVC	0.00	4.86	0.00	4.86	90.0	4.37
/ /	COPELAND, DANIEL	PROFUNDS MONEY MARKET-SVC	0.00	0.96	0.00	0.96	90.0	0.86
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,200.55</b>	<b>\$0.00</b>	<b>\$1,200.55</b>		<b>\$1,080.56</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
07/16/2018	KERN, LEESA	AMERITAS LOWLOAD VUL	0.00	0.03	0.00	0.03	90.0	0.03
07/17/2018	KERN, HELMBERGER	AMERITAS LOWLOAD VUL	0.00	0.01	0.00	0.01	90.0	0.01
/ /	MARATHON LABELS 401K	NWL FLEX ADVANTAGE	0.00	80.37	0.00	80.37	90.0	72.33
/ /	NEW HAVEN PRINT &	NWL FLEX ADVANTAGE	0.00	206.75	0.00	206.75	90.0	186.08
/ /	MARATHON LABELS 401K	NWL POOLED FXD	0.00	2.85	0.00	2.85	90.0	2.57
/ /	NEW HAVEN PRINT &	NWL POOLED FXD	0.00	0.86	0.00	0.86	90.0	0.77
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$290.87</b>	<b>\$0.00</b>	<b>\$290.87</b>		<b>\$261.79</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$253,000.00</b>	<b>\$7,114.65</b>	<b>\$0.00</b>	<b>\$7,114.65</b>		<b>\$6,403.26</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$6,403.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,403.26
Year-to-date Gross	\$81,711.66
Year-to-date Earnings	\$73,557.08