

**COMMISSION STATEMENT****December 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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
^12/19/2017	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	43.35	0.00	43.35	90.0	0.00
^12/17/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	0.00	43.93	0.00	43.93	90.0	0.00
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$87.28	\$0.00	\$87.28		\$0.00
<u>PRODUCT CATEGORY: 529 PLANS</u>								
^ / /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.63	0.00	1.63	90.0	0.00
^12/22/2017	HAMM, GAIL	ASCENSUS INA COLLEGE PORTFOLIO CL A	5,000.00	162.50	0.00	162.50	90.0	0.00
^12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.50	0.00	0.50	90.0	0.00
^12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.50	0.00	0.50	90.0	0.00
^12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	1.19	0.00	1.19	90.0	0.00
* 529 PLANS SUBTOTAL *			\$5,125.00	\$166.32	\$0.00	\$166.32		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^11/30/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	5.88	0.00	5.88	90.0	0.00
^11/30/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	8.50	0.00	8.50	90.0	0.00
^11/30/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	128.43	5.46	0.00	5.46	90.0	0.00
^11/30/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	128.43	5.46	0.00	5.46	90.0	0.00
^11/30/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	5.88	0.00	5.88	90.0	0.00
^11/30/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	11.77	0.00	11.77	90.0	0.00
^12/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	100.00	4.25	0.00	4.25	90.0	0.00
^11/30/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^12/15/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^12/18/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	25.00	0.00	25.00	90.0	0.00
^12/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	0.00
^11/28/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	0.00
^11/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	17.50	0.00	17.50	90.0	0.00
^12/15/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	10.00	0.00	10.00	90.0	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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^12/18/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	25.00	0.00	25.00	90.0	0.00
^12/14/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	50.00	2.38	0.00	2.38	90.0	0.00
^12/15/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.39	0.00	0.39	90.0	0.00
^12/15/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.27	0.00	0.27	90.0	0.00
^12/15/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	1.83	0.00	1.83	90.0	0.00
^12/15/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^12/15/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$3,115.70	\$146.95	\$0.00	\$146.95		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$8,240.70	\$400.55	\$0.00	\$400.55		\$0.00

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

/ /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.49	0.00	0.49	90.0	0.44
12/22/2017	HAMM, GAIL	ASCENSUS INA COLLEGE PORTFOLIO CL A	5,000.00	48.75	0.00	48.75	90.0	43.88
12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.15	0.00	0.15	90.0	0.14
12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.15	0.00	0.15	90.0	0.14
12/15/2017	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	0.36	0.00	0.36	90.0	0.32
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$5,125.00	\$49.90	\$0.00	\$49.90		\$44.92

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

11/30/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	1.76	0.00	1.76	90.0	1.58
11/30/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	2.55	0.00	2.55	90.0	2.30
11/30/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	128.43	1.64	0.00	1.64	90.0	1.48
11/30/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	128.43	1.64	0.00	1.64	90.0	1.48
11/30/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	1.76	0.00	1.76	90.0	1.58
11/30/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	3.53	0.00	3.53	90.0	3.18
12/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	100.00	1.28	0.00	1.28	90.0	1.15
11/30/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
12/15/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	7.50	0.00	7.50	90.0	6.75
12/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	0.75	0.00	0.75	90.0	0.68
11/28/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.75	0.00	0.75	90.0	0.68
11/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	5.25	0.00	5.25	90.0	4.73

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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								
12/15/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.00	0.00	3.00	90.0	2.70
12/18/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	7.50	0.00	7.50	90.0	6.75
12/14/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	50.00	0.71	0.00	0.71	90.0	0.64
12/15/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.12	0.00	0.12	90.0	0.11
12/15/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.08	0.00	0.08	90.0	0.07
12/15/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.55	0.00	0.55	90.0	0.50
12/15/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
12/15/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
12/19/2017	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	13.01	0.00	13.01	90.0	11.71
12/17/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.18	0.00	13.18	90.0	11.86
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$3,115.70	\$70.28	\$0.00	\$70.28		\$63.27
*** SPLIT TRANSACTIONS TOTAL ***			\$8,240.70	\$120.18	\$0.00	\$120.18		\$108.19

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$108.19
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	\$108.19
Year-to-date Gross	\$1,876.07
Year-to-date Earnings	\$1,546.52

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