

**COMMISSION STATEMENT****October 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: RIA</u>								
^10/17/2017	ADAMS, TERRY	CLS INVESTMENTS	11,148.32	35.12	0.00	35.12	90.0	0.00
^10/17/2017	HAMMAN, RONALD	CLS INVESTMENTS	38,923.82	98.10	0.00	98.10	90.0	0.00
^10/17/2017	SCHENKEL, ROBERT	CLS INVESTMENTS	41,223.91	103.91	0.00	103.91	90.0	0.00
^10/25/2017	BECKER, PATRICIA	ITS MANAGEMENT	32,691.50	82.40	0.00	82.40	90.0	0.00
^10/25/2017	GATER, CAREY	ITS MANAGEMENT	54,048.53	102.18	0.00	102.18	90.0	0.00
^10/13/2017	FIRE POLICE CITY, 401K	PRINCIPAL LIFE INS	0.00	2,636.15	0.00	2,636.15	90.0	0.00
^10/18/2017	DORSETT, JERRY	SAWTOOTH	0.00	97.92	0.00	97.92	90.0	0.00
^10/18/2017	DORSETT, LARA	SAWTOOTH	0.00	186.97	0.00	186.97	90.0	0.00
^10/18/2017	EISERLE, DAVID	SAWTOOTH	0.00	671.95	0.00	671.95	90.0	0.00
^10/18/2017	FOLTZ, SCOTT	SAWTOOTH	0.00	71.54	0.00	71.54	90.0	0.00
^10/18/2017	FOLTZ, KATHRYN	SAWTOOTH	0.00	116.58	0.00	116.58	90.0	0.00
^10/18/2017	JACOBS, BARRY	SAWTOOTH	0.00	236.79	0.00	236.79	90.0	0.00
^10/18/2017	KLINE, THOMAS	SAWTOOTH	0.00	103.93	0.00	103.93	90.0	0.00
^10/18/2017	MOUNSEY, CHRISTINE	SAWTOOTH	0.00	338.34	0.00	338.34	90.0	0.00
* RIA SUBTOTAL *			\$178,036.08	\$4,881.88	\$0.00	\$4,881.88		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$178,036.08	\$4,881.88	\$0.00	\$4,881.88		\$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>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
10/17/2017	ADAMS, TERRY	CLS INVESTMENTS	11,148.32	10.54	0.00	10.54	90.0	9.49
10/17/2017	HAMMAN, RONALD	CLS INVESTMENTS	38,923.82	29.43	0.00	29.43	90.0	26.49
10/17/2017	SCHENKEL, ROBERT	CLS INVESTMENTS	41,223.91	31.17	0.00	31.17	90.0	28.05
10/25/2017	BECKER, PATRICIA	ITS MANAGEMENT	32,691.50	24.72	0.00	24.72	90.0	22.25
10/25/2017	GATER, CAREY	ITS MANAGEMENT	54,048.53	30.65	0.00	30.65	90.0	27.59
10/13/2017	FIRE POLICE CITY, 401K	PRINCIPAL LIFE INS	0.00	790.85	0.00	790.85	90.0	711.77
10/18/2017	DORSETT, JERRY	SAWTOOTH	0.00	29.38	0.00	29.38	90.0	26.44
10/18/2017	DORSETT, LARA	SAWTOOTH	0.00	56.09	0.00	56.09	90.0	50.48
10/18/2017	EISERLE, DAVID	SAWTOOTH	0.00	201.59	0.00	201.59	90.0	181.43
10/18/2017	FOLTZ, SCOTT	SAWTOOTH	0.00	21.46	0.00	21.46	90.0	19.31
10/18/2017	FOLTZ, KATHRYN	SAWTOOTH	0.00	34.97	0.00	34.97	90.0	31.47
10/18/2017	JACOBS, BARRY	SAWTOOTH	0.00	71.04	0.00	71.04	90.0	63.94
10/18/2017	KLINE, THOMAS	SAWTOOTH	0.00	31.18	0.00	31.18	90.0	28.06
10/18/2017	MOUNSEY, CHRISTINE	SAWTOOTH	0.00	101.50	0.00	101.50	90.0	91.35
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$178,036.08	\$1,464.57	\$0.00	\$1,464.57		\$1,318.12
*** SPLIT TRANSACTIONS TOTAL ***			\$178,036.08	\$1,464.57	\$0.00	\$1,464.57		\$1,318.12

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

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$1,318.12
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	\$1,318.12
Year-to-date Gross	\$14,082.72
Year-to-date Earnings	\$12,674.48