

**COMMISSION STATEMENT****August 31, 2018**KEITH, L128 LAYMAN  
4321 Flagstaff CoveBROKER #: 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>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
08/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
08/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
* MUTUAL FUNDS SUBTOTAL *			<b>\$175.00</b>	<b>\$0.00</b>	<b>\$24.00</b>	<b>\$-24.00</b>		<b>\$-19.20</b>
*** CLEARING TRANSACTIONS TOTAL ***			<b>\$175.00</b>	<b>\$0.00</b>	<b>\$24.00</b>	<b>\$-24.00</b>		<b>\$-19.20</b>

<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
08/06/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	0.00	17.57	0.00	17.57	80.0	14.06
08/06/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	0.00	5.86	0.00	5.86	80.0	4.69
08/06/2018	DERBYSHIRE, JAMES	BR TOTAL INC & REAL ESTATE FUND C	0.00	17.41	0.00	17.41	80.0	13.93
08/06/2018	DERBYSHIRE, JAMES	BR TOTAL INC & REAL ESTATE FUND C	0.00	5.80	0.00	5.80	80.0	4.64
08/06/2018	HARMEYER, SHARYN	BR TOTAL INC & REAL ESTATE FUND C	0.00	27.85	0.00	27.85	80.0	22.28
08/06/2018	HARMEYER, SHARYN	BR TOTAL INC & REAL ESTATE FUND C	0.00	9.28	0.00	9.28	80.0	7.42
08/06/2018	BYRUM, GERALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	31.04	0.00	31.04	80.0	24.83
08/06/2018	BYRUM, GERALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	10.35	0.00	10.35	80.0	8.28
08/06/2018	BUSH, SANDRA	BR TOTAL INC & REAL ESTATE FUND C	0.00	24.12	0.00	24.12	80.0	19.30
08/06/2018	BUSH, SANDRA	BR TOTAL INC & REAL ESTATE FUND C	0.00	8.04	0.00	8.04	80.0	6.43
08/06/2018	DIETSCH, RHONDA	BR TOTAL INC & REAL ESTATE FUND C	0.00	20.64	0.00	20.64	80.0	16.51
08/06/2018	DIETSCH, RHONDA	BR TOTAL INC & REAL ESTATE FUND C	0.00	6.88	0.00	6.88	80.0	5.50
08/06/2018	PEPPLE, GLEN	BR TOTAL INC & REAL ESTATE FUND C	0.00	10.31	0.00	10.31	80.0	8.25
08/06/2018	PEPPLE, GLEN	BR TOTAL INC & REAL ESTATE FUND C	0.00	3.44	0.00	3.44	80.0	2.75
08/06/2018	WILLING, LEONARD	BR TOTAL INC & REAL ESTATE FUND C	0.00	26.49	0.00	26.49	80.0	21.19
08/06/2018	WILLING, LEONARD	BR TOTAL INC & REAL ESTATE FUND C	0.00	8.83	0.00	8.83	80.0	7.06
08/06/2018	MURPHY, SUSAN	BR TOTAL INC & REAL ESTATE FUND C	0.00	33.30	0.00	33.30	80.0	26.64
08/06/2018	MURPHY, SUSAN	BR TOTAL INC & REAL ESTATE FUND C	0.00	11.10	0.00	11.10	80.0	8.88

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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: INTERVAL FUNDS</b>								
08/06/2018	LOWDEN TRUST, KATHERINE	BR TOTAL INC & REAL ESTATE FUND C	0.00	27.88	0.00	27.88	80.0	22.30
08/06/2018	LOWDEN TRUST, KATHERINE	BR TOTAL INC & REAL ESTATE FUND C	0.00	9.29	0.00	9.29	80.0	7.43
08/06/2018	ZINN, JEANETTE	BR TOTAL INC & REAL ESTATE FUND C	0.00	47.58	0.00	47.58	80.0	38.06
08/06/2018	ZINN, JEANETTE	BR TOTAL INC & REAL ESTATE FUND C	0.00	15.86	0.00	15.86	80.0	12.69
07/31/2018	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND C	44,656.08	37.93	0.00	37.93	80.0	30.34
07/31/2018	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	73,021.64	62.01	0.00	62.01	80.0	49.61
<b>* INTERVAL FUNDS SUBTOTAL *</b>			<b>\$117,677.72</b>	<b>\$478.86</b>	<b>\$0.00</b>	<b>\$478.86</b>		<b>\$383.07</b>

**PRODUCT CATEGORY: 529 PLANS**

/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	2.00	0.00	2.00	80.0	1.60
/ /	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	0.00	0.71	0.00	0.71	80.0	0.57
08/07/2018	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	25.00	1.19	0.00	1.19	80.0	0.95
08/17/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
08/17/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
08/17/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.38	0.00	2.38	80.0	1.90
08/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
08/08/2018	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	168.00	7.98	0.00	7.98	80.0	6.38
08/14/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	1.66	0.00	1.66	80.0	1.33
08/17/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
08/17/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.71	0.00	0.71	80.0	0.57
08/17/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
08/17/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
08/17/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.63	0.00	1.63	80.0	1.30
08/07/2018	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	50.00	1.63	0.00	1.63	80.0	1.30
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	1.63	0.00	1.63	80.0	1.30
08/07/2018	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	50.00	1.63	0.00	1.63	80.0	1.30
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$601.00</b>	<b>\$33.84</b>	<b>\$0.00</b>	<b>\$33.84</b>		<b>\$27.02</b>

**PRODUCT CATEGORY: MUTUAL FUNDS**

08/10/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
08/10/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
08/15/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
08/07/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
08/15/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
08/07/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
08/10/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
08/15/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
08/17/2018	LIPSCOMB, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	1,000.00	50.00	0.00	50.00	80.0	40.00
08/17/2018	LIPSCOMB, SOPHIE	AM FUNDS GROWTH FUND OF AMERICA A	1,000.00	50.00	0.00	50.00	80.0	40.00
08/10/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
08/15/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
08/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
08/07/2018	SLATER, JUSTIN	INA INTER EQTY INDEX PORTF A	12.50	0.59	0.00	0.59	80.0	0.47
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	2.61	0.00	2.61	80.0	2.09
08/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
08/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
/ /	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	0.00	1.63	0.00	1.63	80.0	1.30
/ /	FREEZE, CORTNEY	INA PIMCO TOT RET PORT CLA A	0.00	0.49	0.00	0.49	80.0	0.39
08/07/2018	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	50.00	1.63	0.00	1.63	80.0	1.30
08/08/2018	SIEGER, NORMAN	INA PIMCO TOT RET PORT CLA A	42.00	1.37	0.00	1.37	80.0	1.10
08/17/2018	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	13.87	0.45	0.00	0.45	80.0	0.36
08/17/2018	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	27.73	0.90	0.00	0.90	80.0	0.72
/ /	SIEGER, NORMAN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	7.98	0.00	7.98	80.0	6.38
/ /	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	1.66	0.00	1.66	80.0	1.33
08/07/2018	SLATER, JUSTIN	INA T ROWE PRICE LG CAP GROWTH PO A	12.50	0.59	0.00	0.59	80.0	0.47
08/17/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	48.53	1.94	0.00	1.94	80.0	1.55
08/17/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	34.67	1.39	0.00	1.39	80.0	1.11
08/15/2018	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
08/06/2018	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	2,450.00	9.50	0.00	9.50	80.0	7.60
08/15/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$5,606.80</b>	<b>\$166.64</b>	<b>\$0.00</b>	<b>\$166.64</b>		<b>\$133.27</b>

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
08/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$50.00</b>	<b>\$1.00</b>	<b>\$0.00</b>	<b>\$1.00</b>		<b>\$0.80</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	HODAPP, CYNTHIA	BLACKROCK 19452P784	0.00	0.12	0.00	0.12	80.0	0.10
/ /	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	80.0	0.34
07/31/2018	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.56	0.00	0.56	80.0	0.45
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,473.72	0.53	0.00	0.53	80.0	0.42
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,304.04	0.49	0.00	0.49	80.0	0.39
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,813.58	0.60	0.00	0.60	80.0	0.48
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,456.98	0.52	0.00	0.52	80.0	0.42
07/31/2018	LAYMAN, VARIOUS	DREYFUS	4,335.78	0.92	0.00	0.92	80.0	0.74
07/31/2018	LAYMAN, VARIOUS	DREYFUS	929.61	0.20	0.00	0.20	80.0	0.16
07/31/2018	LAYMAN, VARIOUS	DREYFUS	1,890.64	0.40	0.00	0.40	80.0	0.32
07/31/2018	LAYMAN, VARIOUS	DREYFUS	1,674.29	0.36	0.00	0.36	80.0	0.29
07/31/2018	LAYMAN, VARIOUS	DREYFUS	7,346.11	1.56	0.00	1.56	80.0	1.25
07/31/2018	LAYMAN, VARIOUS	DREYFUS	3,578.93	0.76	0.00	0.76	80.0	0.61
07/31/2018	LAYMAN, VARIOUS	DREYFUS	4,503.58	0.96	0.00	0.96	80.0	0.77
07/31/2018	LAYMAN, VARIOUS	DREYFUS	9,905.87	2.10	0.00	2.10	80.0	1.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			<b>\$44,213.13</b>	<b>\$10.51</b>	<b>\$0.00</b>	<b>\$10.51</b>		<b>\$8.42</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
08/03/2018	MARTZ, PHILLIS	ING ACCESS	401,438.25	1,003.60	0.00	1,003.60	80.0	802.88
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			<b>\$401,438.25</b>	<b>\$1,003.60</b>	<b>\$0.00</b>	<b>\$1,003.60</b>		<b>\$802.88</b>
*** DIRECT TRANSACTIONS TOTAL ***			<b>\$569,586.90</b>	<b>\$1,694.45</b>	<b>\$0.00</b>	<b>\$1,694.45</b>		<b>\$1,355.46</b>

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10</u></b>								
/ /	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	0.00	0.84	0.00	0.84	80.0	0.67
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.17	0.00	0.17	80.0	0.14
08/10/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
08/10/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.84	0.00	0.84	80.0	0.67
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$100.00	\$2.02	\$0.00	\$2.02		\$1.62
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b>								
08/17/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
08/15/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
08/17/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00
08/06/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	11.85	0.00	11.85	80.0	9.48
08/06/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	3.95	0.00	3.95	80.0	3.16
08/21/2018	BROCKMYER, PHYLLIS	FIDELITY SELECT BIOTECH	-7,612.81	5.25	7.70	-2.45	80.0	-1.96
07/31/2018	VAN CLEAVE, BLAKE	GRIFFIN INST'L ACCESS R E FUND C	50,294.03	14.95	0.00	14.95	80.0	11.96
07/31/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	53,206.87	15.81	0.00	15.81	80.0	12.65
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.13	0.00	0.13	80.0	0.10
/ /	LINN, JASON	INA LG CAP INDEX PORT CLASS A	0.00	0.64	0.00	0.64	80.0	0.51
08/10/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
08/10/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
08/10/2018	LINN, JASON	INA PIMCO TOT RET PORT CLA A	8.25	0.10	0.00	0.10	80.0	0.08
08/21/2018	BROCKMYER, PHYLLIS	INVESCO EXCHANGE- TRADED FD TR II K	3,919.27	17.50	7.87	9.63	80.0	7.70
08/21/2018	BROCKMYER, PHYLLIS	INVESCO EXCHANGE- TRADED FD TR II S	-5,649.72	5.25	7.87	-2.62	80.0	-2.10
08/21/2018	BROCKMYER, PHYLLIS	ISHARES TR CORE HIGH DIVID ETF	4,952.70	0.00	7.87	-7.87	80.0	-6.30
08/21/2018	BROCKMYER, PHYLLIS	ISHARES TR S&P U S PFD STK INDEX FD	6,025.44	17.50	7.87	9.63	80.0	7.70
07/31/2018	SITES, TEGAN	LORD ABBETT & CO.	1,049.04	0.14	0.00	0.14	80.0	0.11
08/21/2018	BROCKMYER, PHYLLIS	SPDR SER TR S&P PHARMACEUTICALS ETF	-5,703.84	5.25	7.87	-2.62	80.0	-2.10
08/21/2018	BROCKMYER, PHYLLIS	VANGUARD S&P 500 ETF	3,956.69	17.50	7.87	9.63	80.0	7.70
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$105,695.92	\$138.21	\$54.92	\$83.29		\$66.61
*** SPLIT TRANSACTIONS TOTAL ***			\$105,795.92	\$140.23	\$54.92	\$85.31		\$68.23

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u> BROKER: WILLIAM, L129 LAYMAN #207 </u></b>								
08/15/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
		* WILLIAM, L129 LAYMAN SUBTOTAL *	\$300.00	\$15.00	\$0.00	\$15.00		\$6.75
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$300.00	\$15.00	\$0.00	\$15.00		\$6.75

 **BROKER COMMISSION TOTALS** 

Broker Transactions	\$1,336.26
Split Transactions	\$68.23
Override Transactions	\$6.75
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-113.09
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,298.15
Year-to-date Gross	\$34,063.04
Year-to-date Earnings	\$30,366.42

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