



Concorde Investment Services, LLC

07/27/2018

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COMMISSION STATEMENT**July 31, 2018**KEITH, L128 LAYMAN
4321 FlagstaffBROKER #: L128
BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/16/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
07/16/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
* MUTUAL FUNDS SUBTOTAL *			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20
*** CLEARING TRANSACTIONS TOTAL ***			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
06/30/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	27,415.18	22.53	0.00	22.53	80.0	18.02
06/30/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	27,164.41	22.33	0.00	22.33	80.0	17.86
06/30/2018	HARMEYER, SHARYN	BR TOTAL INC & REAL ESTATE FUND C	43,456.98	35.72	0.00	35.72	80.0	28.58
06/30/2018	BYRUM, GERALD	BR TOTAL INC & REAL ESTATE FUND C	48,430.79	39.80	0.00	39.80	80.0	31.84
06/30/2018	BUSH, SANDRA	BR TOTAL INC & REAL ESTATE FUND C	37,635.16	30.93	0.00	30.93	80.0	24.74
06/30/2018	DIETSCH, RHONDA	BR TOTAL INC & REAL ESTATE FUND C	32,209.22	26.47	0.00	26.47	80.0	21.18
06/30/2018	PEPPLE, GLEN	BR TOTAL INC & REAL ESTATE FUND C	16,089.16	13.23	0.00	13.23	80.0	10.58
06/30/2018	WILLING, LEONARD	BR TOTAL INC & REAL ESTATE FUND C	41,331.50	33.97	0.00	33.97	80.0	27.18
06/30/2018	MURPHY, SUSAN	BR TOTAL INC & REAL ESTATE FUND C	51,955.31	42.71	0.00	42.71	80.0	34.17
06/30/2018	LOWDEN TRUST, KATHERINE	BR TOTAL INC & REAL ESTATE FUND C	43,498.66	35.75	0.00	35.75	80.0	28.60
06/30/2018	ZINN, JEANETTE	BR TOTAL INC & REAL ESTATE FUND C	74,240.07	61.01	0.00	61.01	80.0	48.81
06/30/2018	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND C	44,265.72	36.39	0.00	36.39	80.0	29.11
06/30/2018	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	72,383.30	59.49	0.00	59.49	80.0	47.59
* INTERVAL FUNDS SUBTOTAL *			\$560,075.46	\$460.33	\$0.00	\$460.33		\$368.26

<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	0.83	0.00	0.83	80.0	0.66
07/13/2018	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	15.00	0.71	0.00	0.71	80.0	0.57
07/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66

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>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: 529 PLANS								
07/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.66	0.00	1.66	80.0	1.33
07/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
07/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.83	0.00	0.83	80.0	0.66
07/13/2018	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	50.00	0.71	0.00	0.71	80.0	0.57
07/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
07/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
* 529 PLANS SUBTOTAL *			\$231.40	\$11.39	\$0.00	\$11.39		\$9.09

PRODUCT CATEGORY: MUTUAL FUNDS

07/10/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
07/10/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
07/16/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
07/16/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
07/09/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
07/16/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
07/20/2018	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	80.0	2.00
07/09/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
07/10/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
07/16/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
07/10/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
07/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
07/16/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	2.61	0.00	2.61	80.0	2.09
07/13/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
07/13/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
/ /	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	0.00	0.45	0.00	0.45	80.0	0.36
07/13/2018	FREEZE, CORTNEY	INA PIMCO TOT RET PORT CLA A	15.00	0.49	0.00	0.49	80.0	0.39
07/19/2018	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	27.73	0.90	0.00	0.90	80.0	0.72
/ /	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	1.66	0.00	1.66	80.0	1.33
07/19/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	48.53	1.94	0.00	1.94	80.0	1.55
07/19/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	34.67	1.39	0.00	1.39	80.0	1.11
07/16/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/03/2018	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$1,630.93	\$68.05	\$0.00	\$68.05		\$54.41
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
07/16/2018	CSUHTA, JULIE	NWL BOA NG FP VUL	402.60	8.05	0.00	8.05	80.0	6.44
07/16/2018	CSUHTA, JULIE	NWL BOA NG FP VUL	434.00	8.68	0.00	8.68	80.0	6.94
* VARIABLE ANNUITIES SUBTOTAL *			\$886.60	\$17.73	\$0.00	\$17.73		\$14.18
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	VAN CLEAVE, BLAKE	ASCENSUS INA CORE BOND INDEX PORT C	0.00	0.64	0.00	0.64	80.0	0.51
/ /	HODAPP, CYNTHIA	BLACKROCK 19452P784	0.00	0.11	0.00	0.11	80.0	0.09
/ /	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.41	0.00	0.41	80.0	0.33
06/30/2018	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.55	0.00	0.55	80.0	0.44
07/02/2018	JACKSON, BRENDA	DAVIS NEW YORK VENTURE A	0.00	4.19	0.00	4.19	80.0	3.35
06/30/2018	LAYMAN, VARIOUS	DREYFUS	2,472.48	0.51	0.00	0.51	80.0	0.41
06/30/2018	LAYMAN, VARIOUS	DREYFUS	2,265.67	0.47	0.00	0.47	80.0	0.38
06/30/2018	LAYMAN, VARIOUS	DREYFUS	2,835.78	0.58	0.00	0.58	80.0	0.46
06/30/2018	LAYMAN, VARIOUS	DREYFUS	2,451.79	0.50	0.00	0.50	80.0	0.40
06/30/2018	LAYMAN, VARIOUS	DREYFUS	5,230.83	1.07	0.00	1.07	80.0	0.86
06/30/2018	LAYMAN, VARIOUS	DREYFUS	735.14	0.19	0.00	0.19	80.0	0.15
06/30/2018	LAYMAN, VARIOUS	DREYFUS	1,901.89	0.39	0.00	0.39	80.0	0.31
06/30/2018	LAYMAN, VARIOUS	DREYFUS	1,654.60	0.34	0.00	0.34	80.0	0.27
06/30/2018	LAYMAN, VARIOUS	DREYFUS	7,300.06	1.50	0.00	1.50	80.0	1.20
06/30/2018	LAYMAN, VARIOUS	DREYFUS	3,556.51	0.73	0.00	0.73	80.0	0.58
06/30/2018	LAYMAN, VARIOUS	DREYFUS	4,429.04	0.91	0.00	0.91	80.0	0.73
06/30/2018	LAYMAN, VARIOUS	DREYFUS	9,741.93	2.00	0.00	2.00	80.0	1.60
/ /	JOHNSON, JAMES	INA 2019 ENROLLMENT PORT CLASS A	0.00	3.16	0.00	3.16	80.0	2.53
/ /	DRUHOT, SCOTT	INA 2022 ENROLLMENT PORT CLASS A	0.00	3.34	0.00	3.34	80.0	2.67
/ /	DRUHOT, SCOTT	INA 2022 ENROLLMENT PORT CLASS C	0.00	36.51	0.00	36.51	80.0	29.21
/ /	DRUHOT, SCOTT	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.95	0.00	1.95	80.0	1.56
/ /	SHERBURNE, STEVEN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SHERBURNE, STEVEN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SULTAN, LYDIA	INA AMER FDS EUROPAC GROWT A	0.00	1.64	0.00	1.64	80.0	1.31

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	SULTAN, LYDIA	INA AMER FDS EUROPAC GROWT A	0.00	1.60	0.00	1.60	80.0	1.28
/ /	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	0.00	1.92	0.00	1.92	80.0	1.54
/ /	LINNEMEIER, JAY	INA AMER FDS EUROPAC GROWT A	0.00	1.71	0.00	1.71	80.0	1.37
/ /	PEPPLE, GLEN	INA AMER FDS EUROPAC GROWT A	0.00	2.28	0.00	2.28	80.0	1.82
/ /	SAYA, CHRISTINE	INA AMER FDS EUROPAC GROWT A	0.00	0.39	0.00	0.39	80.0	0.31
/ /	GEVERINK, ANN	INA AMER FDS EUROPAC GROWT A	0.00	4.15	0.00	4.15	80.0	3.32
/ /	HOEFFEL, MARCIA	INA AMER FDS EUROPAC GROWT A	0.00	0.18	0.00	0.18	80.0	0.14
/ /	HELLER, ADAM	INA AMER FDS EUROPAC GROWT A	0.00	2.51	0.00	2.51	80.0	2.01
/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	ARCHBOLD, PAMELA	INA AMER FDS EUROPAC GROWT A	0.00	1.15	0.00	1.15	80.0	0.92
/ /	BERNDT, JAMIE	INA AMER FDS EUROPAC GROWT A	0.00	0.14	0.00	0.14	80.0	0.11
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	1.99	0.00	1.99	80.0	1.59
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	1.50	0.00	1.50	80.0	1.20
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	2.28	0.00	2.28	80.0	1.82
/ /	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	0.00	2.47	0.00	2.47	80.0	1.98
/ /	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	0.00	2.45	0.00	2.45	80.0	1.96
/ /	DAVID, SCOTT	INA AMER FDS EUROPAC GROWT A	0.00	2.97	0.00	2.97	80.0	2.38
/ /	BENEFICIARY, ELLIOTT	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	5.06	0.00	5.06	80.0	4.05
/ /	PATTERSON, JANITA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.73	0.00	3.73	80.0	2.98
/ /	KINDSCHY, CYNTHIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.81	0.00	3.81	80.0	3.05
/ /	VAN CLEAVE, BLAKE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.49	0.00	0.49	80.0	0.39
/ /	GOULET, LETTA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.25	0.00	2.25	80.0	1.80
/ /	SULTAN, LYDIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.50	0.00	3.50	80.0	2.80
/ /	SULTAN, LYDIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.77	0.00	3.77	80.0	3.02
/ /	PEE, MICHAEL	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	12.55	0.00	12.55	80.0	10.04
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.37	0.00	0.37	80.0	0.30
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.37	0.00	0.37	80.0	0.30
/ /	LINNEMEIER, JAY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	6.76	0.00	6.76	80.0	5.41
/ /	LINNEMEIER, JAY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.43	0.00	2.43	80.0	1.94
/ /	PEPPLE, GLEN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.34	0.00	2.34	80.0	1.87
/ /	BENEFICIARY, VALERIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.16	0.00	0.16	80.0	0.13
/ /	SAYA, CHRISTINE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.69	0.00	1.69	80.0	1.35
/ /	MARKS, GAREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.08	0.00	0.08	80.0	0.06

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	GEVERINK, ANN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	9.06	0.00	9.06	80.0	7.25
/ /	HOEFFEL, MARCIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.24	0.00	0.24	80.0	0.19
/ /	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.26	0.00	0.26	80.0	0.21
/ /	ARCHBOLD, PAMELA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.87	0.00	2.87	80.0	2.30
/ /	BERNDT, JAMIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.25	0.00	0.25	80.0	0.20
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.88	0.00	4.88	80.0	3.90
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.15	0.00	4.15	80.0	3.32
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.75	0.00	4.75	80.0	3.80
/ /	SLATER, JUSTIN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.03	0.00	1.03	80.0	0.82
/ /	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.33	0.00	3.33	80.0	2.66
/ /	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.33	0.00	3.33	80.0	2.66
/ /	STANSBERRY, NANCY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.83	0.00	0.83	80.0	0.66
/ /	JACKSON, BRENDA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.26	0.00	0.26	80.0	0.21
/ /	MESSER, JENNIFER	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	5.27	0.00	5.27	80.0	4.22
/ /	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.94	0.00	0.94	80.0	0.75
/ /	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.55	0.00	1.55	80.0	1.24
/ /	GALENTINE, ASHLEY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.66	0.00	4.66	80.0	3.73
/ /	PEPPLE, GLEN	INA COLLEGE PORT CLASS A	0.00	3.48	0.00	3.48	80.0	2.78
/ /	ROSS, AARON	INA COLLEGE PORT CLASS A	0.00	4.03	0.00	4.03	80.0	3.22
/ /	ROSS, MICHAEL	INA COLLEGE PORT CLASS A	0.00	3.00	0.00	3.00	80.0	2.40
/ /	BENEFICIARY, ELLIOTT	INA COLLEGE PORT CLASS C	0.00	2.62	0.00	2.62	80.0	2.10
/ /	FREEZE, CORTNEY	INA CORE BOND INDEX PORT CLASS A	0.00	1.00	0.00	1.00	80.0	0.80
/ /	HOEFFEL, MARCIA	INA CORE BOND INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	HELLER, ADAM	INA CORE BOND INDEX PORT CLASS A	0.00	0.25	0.00	0.25	80.0	0.20
/ /	BERNDT, JAMIE	INA CORE BOND INDEX PORT CLASS A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	COCKROFT, MARK	INA CORE BOND INDEX PORT CLASS A	0.00	1.55	0.00	1.55	80.0	1.24
/ /	COCKROFT, MARK	INA CORE BOND INDEX PORT CLASS A	0.00	2.65	0.00	2.65	80.0	2.12
/ /	COCKROFT, MARK	INA CORE BOND INDEX PORT CLASS A	0.00	1.41	0.00	1.41	80.0	1.13
/ /	RUSK, RANDALL F	INA CORE BOND INDEX PORT CLASS A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SULTAN, LYDIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.89	0.00	1.89	80.0	1.51
/ /	SULTAN, LYDIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.69	0.00	1.69	80.0	1.35
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.00	0.00	2.00	80.0	1.60
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.89	0.00	2.89	80.0	2.31

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	PEPPLE, GLEN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.21	0.00	2.21	80.0	1.77
/ /	MARKS, GAREN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	GEVERINK, ANN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	5.17	0.00	5.17	80.0	4.14
/ /	HOEFFEL, MARCIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.09	0.00	0.09	80.0	0.07
/ /	HELLER, ADAM	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.60	0.00	0.60	80.0	0.48
/ /	BERNDT, JAMIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.15	0.00	0.15	80.0	0.12
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.23	0.00	2.23	80.0	1.78
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.63	0.00	1.63	80.0	1.30
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.60	0.00	2.60	80.0	2.08
/ /	SLATER, JUSTIN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	3.89	0.00	3.89	80.0	3.11
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.21	0.00	1.21	80.0	0.97
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.75	0.00	1.75	80.0	1.40
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.75	0.00	0.75	80.0	0.60
/ /	DAVID, SCOTT	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	3.39	0.00	3.39	80.0	2.71
/ /	JACKSON, BRENDA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.82	0.00	0.82	80.0	0.66
/ /	JACKSON, BRENDA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.85	0.00	0.85	80.0	0.68
/ /	GOULET, LETTA	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.34	0.00	0.34	80.0	0.27
/ /	FREEZE, CORTNEY	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.62	0.00	0.62	80.0	0.50
/ /	PEE, MICHAEL	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.93	0.00	0.93	80.0	0.74
/ /	BENEFICIARY, VALERIE	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.15	0.00	0.15	80.0	0.12
/ /	MARKS, GAREN	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.01	0.00	0.01	80.0	0.01
/ /	HOEFFEL, MARCIA	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.02	0.00	0.02	80.0	0.02
/ /	HELLER, ADAM	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.15	0.00	0.15	80.0	0.12
/ /	SLATER, JUSTIN	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.07	0.00	0.07	80.0	0.06
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.24	0.00	0.24	80.0	0.19
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.28	0.00	0.28	80.0	0.22
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.16	0.00	0.16	80.0	0.13
/ /	LAYMAN, KEITH	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.06	0.00	0.06	80.0	0.05
/ /	GOULET, LETTA	INA INTER EQTY INDEX PORTF A	0.00	1.33	0.00	1.33	80.0	1.06
/ /	FREEZE, CORTNEY	INA INTER EQTY INDEX PORTF A	0.00	2.54	0.00	2.54	80.0	2.03
/ /	PEE, MICHAEL	INA INTER EQTY INDEX PORTF A	0.00	4.32	0.00	4.32	80.0	3.46
/ /	MARKS, GAREN	INA INTER EQTY INDEX PORTF A	0.00	0.05	0.00	0.05	80.0	0.04
/ /	HOEFFEL, MARCIA	INA INTER EQTY INDEX PORTF A	0.00	0.07	0.00	0.07	80.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	HELLER, ADAM	INA INTER EQTY INDEX PORTF A	0.00	0.61	0.00	0.61	80.0	0.49
/ /	SLATER, JUSTIN	INA INTER EQTY INDEX PORTF A	0.00	0.29	0.00	0.29	80.0	0.23
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	0.95	0.00	0.95	80.0	0.76
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	1.10	0.00	1.10	80.0	0.88
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	0.62	0.00	0.62	80.0	0.50
/ /	LAYMAN, KEITH	INA INTER EQTY INDEX PORTF A	0.00	0.22	0.00	0.22	80.0	0.18
/ /	GOULET, LETTA	INA LG CAP INDEX PORT CLASS A	0.00	2.51	0.00	2.51	80.0	2.01
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	5.50	0.00	5.50	80.0	4.40
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	8.65	0.00	8.65	80.0	6.92
/ /	WILLIAMS, BEVERLY	INA LG CAP INDEX PORT CLASS A	0.00	5.02	0.00	5.02	80.0	4.02
/ /	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	0.00	1.40	0.00	1.40	80.0	1.12
/ /	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	0.00	1.46	0.00	1.46	80.0	1.17
/ /	LINNEMEIER, JAY	INA LG CAP INDEX PORT CLASS A	0.00	0.75	0.00	0.75	80.0	0.60
/ /	PEPPLE, GLEN	INA LG CAP INDEX PORT CLASS A	0.00	5.31	0.00	5.31	80.0	4.25
/ /	HOEFFEL, MARCIA	INA LG CAP INDEX PORT CLASS A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	STEBING, MATTHEW	INA LG CAP INDEX PORT CLASS A	0.00	0.54	0.00	0.54	80.0	0.43
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	1.26	0.00	1.26	80.0	1.01
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.96	0.00	0.96	80.0	0.77
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.90	0.00	0.90	80.0	0.72
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.62	0.00	0.62	80.0	0.50
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.18	0.00	0.18	80.0	0.14
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	HELLER, ADAM	INA LG CAP INDEX PORT CLASS A	0.00	2.03	0.00	2.03	80.0	1.62
/ /	SAMELS, GREGORY	INA LG CAP INDEX PORT CLASS A	0.00	0.21	0.00	0.21	80.0	0.17
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	1.25	0.00	1.25	80.0	1.00
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	2.29	0.00	2.29	80.0	1.83
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	1.12	0.00	1.12	80.0	0.90
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.81	0.00	0.81	80.0	0.65
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.58	0.00	0.58	80.0	0.46
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.44	0.00	0.44	80.0	0.35
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.43	0.00	0.43	80.0	0.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.32	0.00	0.32	80.0	0.26
/ /	JACKSON, NICK	INA LG CAP INDEX PORT CLASS A	0.00	0.33	0.00	0.33	80.0	0.26
/ /	SULTAN, LYDIA	INA PIMCO TOT RET PORT CLA A	0.00	1.29	0.00	1.29	80.0	1.03
/ /	SULTAN, LYDIA	INA PIMCO TOT RET PORT CLA A	0.00	0.79	0.00	0.79	80.0	0.63
/ /	FREEZE, CORTNEY	INA PIMCO TOT RET PORT CLA A	0.00	1.67	0.00	1.67	80.0	1.34
/ /	PEE, MICHAEL	INA PIMCO TOT RET PORT CLA A	0.00	12.44	0.00	12.44	80.0	9.95
/ /	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	0.00	0.35	0.00	0.35	80.0	0.28
/ /	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	0.00	0.35	0.00	0.35	80.0	0.28
/ /	WILLIAMS, BEVERLY	INA PIMCO TOT RET PORT CLA A	0.00	3.85	0.00	3.85	80.0	3.08
/ /	LINNEMEIER, JAY	INA PIMCO TOT RET PORT CLA A	0.00	4.04	0.00	4.04	80.0	3.23
/ /	LINNEMEIER, JAY	INA PIMCO TOT RET PORT CLA A	0.00	1.53	0.00	1.53	80.0	1.22
/ /	PEPPLE, GLEN	INA PIMCO TOT RET PORT CLA A	0.00	6.00	0.00	6.00	80.0	4.80
/ /	BENEFICIARY, VALERIE	INA PIMCO TOT RET PORT CLA A	0.00	0.63	0.00	0.63	80.0	0.50
/ /	DERBYSHIRE, KAREN	INA PIMCO TOT RET PORT CLA A	0.00	3.13	0.00	3.13	80.0	2.50
/ /	SAYA, CHRISTINE	INA PIMCO TOT RET PORT CLA A	0.00	0.64	0.00	0.64	80.0	0.51
/ /	MARKS, GAREN	INA PIMCO TOT RET PORT CLA A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	GEVERINK, ANN	INA PIMCO TOT RET PORT CLA A	0.00	4.57	0.00	4.57	80.0	3.66
/ /	SHERBURNE, STEVEN	INA PIMCO TOT RET PORT CLA A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	SHERBURNE, STEVEN	INA PIMCO TOT RET PORT CLA A	0.00	0.15	0.00	0.15	80.0	0.12
/ /	SIEGER, NORMAN	INA PIMCO TOT RET PORT CLA A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	FEDLER, CHARLES	INA PIMCO TOT RET PORT CLA A	0.00	4.44	0.00	4.44	80.0	3.55
/ /	BERNDT, JAMIE	INA PIMCO TOT RET PORT CLA A	0.00	0.38	0.00	0.38	80.0	0.30
/ /	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	0.00	1.09	0.00	1.09	80.0	0.87
/ /	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	0.00	2.51	0.00	2.51	80.0	2.01
/ /	SHADY, HARRY	INA PIMCO TOT RET PORT CLA A	0.00	0.02	0.00	0.02	80.0	0.02
/ /	STANSBERRY, NANCY	INA PIMCO TOT RET PORT CLA A	0.00	1.33	0.00	1.33	80.0	1.06
/ /	RUSK, RANDALL F	INA PIMCO TOT RET PORT CLA A	0.00	0.14	0.00	0.14	80.0	0.11
/ /	BENEFICIARY, ELLIOTT	INA PIMCO TOT RET PORT CLA C	0.00	10.55	0.00	10.55	80.0	8.44
/ /	PATTERSON, JANITA	INA PIMCO TOT RET PORT CLA C	0.00	26.03	0.00	26.03	80.0	20.82
/ /	KINDSCHY, CYNTHIA	INA PIMCO TOT RET PORT CLA C	0.00	26.55	0.00	26.55	80.0	21.24
/ /	VAN CLEAVE, BLAKE	INA PIMCO TOT RET PORT CLA C	0.00	1.07	0.00	1.07	80.0	0.86
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.36	0.00	0.36	80.0	0.29
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.36	0.00	0.36	80.0	0.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	PEPPLE, GLEN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.95	0.00	1.95	80.0	1.56
/ /	MARKS, GAREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.04	0.00	0.04	80.0	0.03
/ /	FEDLER, CHARLES	INA SHORT TERM TREAS INDEX PORT A	0.00	4.35	0.00	4.35	80.0	3.48
/ /	STANSBERRY, NANCY	INA SHORT TERM TREAS INDEX PORT A	0.00	1.35	0.00	1.35	80.0	1.08
/ /	RUSK, RANDALL F	INA SHORT TERM TREAS INDEX PORT A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	BENEFICIARY, ELLIOTT	INA SHORT TERM TREAS INDEX PORT C	0.00	5.80	0.00	5.80	80.0	4.64
/ /	PATTERSON, JANITA	INA SHORT TERM TREAS INDEX PORT C	0.00	9.55	0.00	9.55	80.0	7.64
/ /	KINDSCHY, CYNTHIA	INA SHORT TERM TREAS INDEX PORT C	0.00	9.74	0.00	9.74	80.0	7.79
/ /	VAN CLEAVE, BLAKE	INA SHORT TERM TREAS INDEX PORT C	0.00	1.09	0.00	1.09	80.0	0.87
/ /	GOULET, LETTA	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	3.24	0.00	3.24	80.0	2.59
/ /	SULTAN, LYDIA	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	5.60	0.00	5.60	80.0	4.48
/ /	SULTAN, LYDIA	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	4.95	0.00	4.95	80.0	3.96
/ /	PEE, MICHAEL	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	14.95	0.00	14.95	80.0	11.96
/ /	LINNEMEIER, JAY	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	3.44	0.00	3.44	80.0	2.75
/ /	PEPPLE, GLEN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	3.68	0.00	3.68	80.0	2.94
/ /	SAYA, CHRISTINE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	2.25	0.00	2.25	80.0	1.80
/ /	MARKS, GAREN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.09	0.00	0.09	80.0	0.07
/ /	GEVERINK, ANN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	12.65	0.00	12.65	80.0	10.12
/ /	SHERBURNE, STEVEN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SIEGER, NORMAN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.26	0.00	0.26	80.0	0.21
/ /	JOHNSON, JAMES	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	JOHNSON, JAMES	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.06	0.00	0.06	80.0	0.05
/ /	BERNDT, JAMIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.32	0.00	0.32	80.0	0.26
/ /	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	6.60	0.00	6.60	80.0	5.28
/ /	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	5.47	0.00	5.47	80.0	4.38
/ /	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	6.50	0.00	6.50	80.0	5.20
/ /	SLATER, JUSTIN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	1.54	0.00	1.54	80.0	1.23
/ /	SLATER, JUSTIN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.70	0.00	0.70	80.0	0.56
/ /	SAMELS, GREGORY	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.16	0.00	0.16	80.0	0.13
/ /	SAMELS, GREGORY	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.16	0.00	0.16	80.0	0.13
/ /	MCGUIRE, EDWARD	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	4.07	0.00	4.07	80.0	3.26
/ /	MCGUIRE, EDWARD	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	4.07	0.00	4.07	80.0	3.26
/ /	DAVID, SCOTT	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	5.78	0.00	5.78	80.0	4.62

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	GALENTINE, ASHLEY	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	6.04	0.00	6.04	80.0	4.83
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	0.36	0.00	0.36	80.0	0.29
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	0.36	0.00	0.36	80.0	0.29
/ /	LINNEMEIER, JAY	INA TIPS INDEX PORT CLASS A	0.00	1.46	0.00	1.46	80.0	1.17
/ /	PEPPLE, GLEN	INA TIPS INDEX PORT CLASS A	0.00	2.67	0.00	2.67	80.0	2.14
/ /	BENEFICIARY, VALERIE	INA TIPS INDEX PORT CLASS A	0.00	0.63	0.00	0.63	80.0	0.50
/ /	FEDLER, CHARLES	INA TIPS INDEX PORT CLASS A	0.00	3.79	0.00	3.79	80.0	3.03
/ /	BERNDT, JAMIE	INA TIPS INDEX PORT CLASS A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	STANSBERRY, NANCY	INA TIPS INDEX PORT CLASS A	0.00	2.53	0.00	2.53	80.0	2.02
/ /	RUSK, RANDALL F	INA TIPS INDEX PORT CLASS A	0.00	0.11	0.00	0.11	80.0	0.09
/ /	BENEFICIARY, ELLIOTT	INA TIPS INDEX PORT CLASS C	0.00	3.65	0.00	3.65	80.0	2.92
/ /	PATTERSON, JANITA	INA TIPS INDEX PORT CLASS C	0.00	25.96	0.00	25.96	80.0	20.77
/ /	KINDSCHY, CYNTHIA	INA TIPS INDEX PORT CLASS C	0.00	26.48	0.00	26.48	80.0	21.18
/ /	VAN CLEAVE, BLAKE	INA TIPS INDEX PORT CLASS C	0.00	1.10	0.00	1.10	80.0	0.88
07/01/2018	MCBRIDE, KEITH	INVESCO AMERICAN FRANCHISE A	0.00	7.92	0.00	7.92	80.0	6.34
07/01/2018	DILLIE, KYLE	INVESCO AMERICAN FRANCHISE A	0.00	0.15	0.00	0.15	80.0	0.12
07/01/2018	DILLIE, KENNETH	INVESCO AMERICAN FRANCHISE A	0.00	66.52	0.00	66.52	80.0	53.22
07/01/2018	MOELLERING, STEVEN	INVESCO AMERICAN FRANCHISE A	0.00	4.46	0.00	4.46	80.0	3.57
07/01/2018	MOELLERING, STEVEN	INVESCO AMERICAN VALUE A	0.00	4.07	0.00	4.07	80.0	3.26
07/01/2018	MCBRIDE, KEITH	INVESCO GBL SMALL & MID CAP GROWTH	0.00	10.59	0.00	10.59	80.0	8.47
07/01/2018	GETTYS, JARRAD	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	4.46	0.00	4.46	80.0	3.57
07/01/2018	GETTYS, JARRAD	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	8.92	0.00	8.92	80.0	7.14
/ /	JACOT, ROBERT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	29.24	0.00	29.24	80.0	23.39
/ /	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.93	0.00	12.93	80.0	10.34
/ /	GOODLANDER, GERALD	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.54	0.00	1.54	80.0	1.23
/ /	MCDONALD, TINA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	8.34	0.00	8.34	80.0	6.67
/ /	SEELY, CHARLES	OPPENHEIMER CAPITAL INCOME FUND C	0.00	30.60	0.00	30.60	80.0	24.48
/ /	SEELY, CHARLES	OPPENHEIMER CAPITAL INCOME FUND C	0.00	22.42	0.00	22.42	80.0	17.94
/ /	SEELY, CHARLES	OPPENHEIMER CORPORATE BOND FUND C	0.00	14.07	0.00	14.07	80.0	11.26
/ /	SEELY, CHARLES	OPPENHEIMER CORPORATE BOND FUND C	0.00	11.69	0.00	11.69	80.0	9.35
/ /	ZINN, DIANE	OPPENHEIMER DISCOVERY A	0.00	1.30	0.00	1.30	80.0	1.04
/ /	ZINN, JEFFREY	OPPENHEIMER DISCOVERY A	0.00	1.30	0.00	1.30	80.0	1.04
/ /	JACOT, ROBERT	OPPENHEIMER DISCOVERY A	0.00	33.71	0.00	33.71	80.0	26.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	STEURY, MICHAEL	OPPENHEIMER EMERG MKTS INNOV	0.00	2.21	0.00	2.21	80.0	1.77
/ /	HODAPP, PETER	OPPENHEIMER EQUITY INCOME A	0.00	3.98	0.00	3.98	80.0	3.18
/ /	ZINN, DIANE	OPPENHEIMER GLOBAL A	0.00	1.37	0.00	1.37	80.0	1.10
/ /	ZINN, JEFFREY	OPPENHEIMER GLOBAL A	0.00	1.37	0.00	1.37	80.0	1.10
/ /	ZINN, JEFFREY	OPPENHEIMER GLOBAL A	0.00	2.55	0.00	2.55	80.0	2.04
/ /	JACOT, CAROL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	8.19	0.00	8.19	80.0	6.55
/ /	JACOT, ROBERT	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	12.66	0.00	12.66	80.0	10.13
/ /	STEURY, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.34	0.00	2.34	80.0	1.87
/ /	STEURY, MICHAEL	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.92	0.00	1.92	80.0	1.54
/ /	OAR, WARREN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.40	0.00	4.40	80.0	3.52
/ /	SEELY, CHARLES	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	11.92	0.00	11.92	80.0	9.54
/ /	BERNDT, GARY	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	8.14	0.00	8.14	80.0	6.51
/ /	SEELY, CHARLES	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	13.61	0.00	13.61	80.0	10.89
/ /	GALENTINE, JUSTIN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.69	0.00	0.69	80.0	0.55
/ /	GALENTINE, JUSTIN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.17	0.00	4.17	80.0	3.34
/ /	STEURY, MICHAEL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.62	0.00	1.62	80.0	1.30
/ /	OAR, WARREN	OPPENHEIMER INTL BOND A	0.00	3.81	0.00	3.81	80.0	3.05
/ /	JACOT, ROBERT	OPPENHEIMER INTL GROWTH A	0.00	27.71	0.00	27.71	80.0	22.17
/ /	ZINN, DIANE	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.57	0.00	0.57	80.0	0.46
/ /	ZINN, JEFFREY	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.57	0.00	0.57	80.0	0.46
/ /	BERNDT, GARY	OPPENHEIMER LIMITED-TERM GOV'T FUND	0.00	4.87	0.00	4.87	80.0	3.90
/ /	JACOT, ROBERT	OPPENHEIMER MAIN STREET A	0.00	43.41	0.00	43.41	80.0	34.73
/ /	ZINN, DIANE	OPPENHEIMER MAIN STREET OPP A	0.00	1.65	0.00	1.65	80.0	1.32
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET OPP A	0.00	1.65	0.00	1.65	80.0	1.32
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	1.82	0.00	1.82	80.0	1.46
/ /	ZINN, DIANE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.82	0.00	2.82	80.0	2.26
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.82	0.00	2.82	80.0	2.26
/ /	STEURY, MICHAEL	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	11.45	0.00	11.45	80.0	9.16
/ /	SCHUELKE, THOMAS	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	3.59	0.00	3.59	80.0	2.87
/ /	HARTOG, MAX	OPPENHEIMER PORTF SER: ACTV ALLOC F	0.00	8.11	0.00	8.11	80.0	6.49
/ /	SHOCK, JACK	OPPENHEIMER PORTF SER: ACTV ALLOC F	0.00	3.05	0.00	3.05	80.0	2.44
/ /	GOODLANDER, GERALD	OPPENHEIMER PORTF SER: MOD INV FUND	0.00	3.76	0.00	3.76	80.0	3.01
/ /	STEURY, MICHAEL	OPPENHEIMER PORTF SER: MOD INV FUND	0.00	1.00	0.00	1.00	80.0	0.80

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	11.51	0.00	11.51	80.0	9.21
/ /	ZINN, DIANE	OPPENHEIMER RISING DIVIDENDS A	0.00	1.64	0.00	1.64	80.0	1.31
/ /	ZINN, JEFFREY	OPPENHEIMER RISING DIVIDENDS A	0.00	1.64	0.00	1.64	80.0	1.31
/ /	STEURY, MICHAEL	OPPENHEIMER RISING DIVIDENDS A	0.00	1.24	0.00	1.24	80.0	0.99
/ /	OAR, WARREN	OPPENHEIMER SENIOR FLOATING RATE A	0.00	3.42	0.00	3.42	80.0	2.74
/ /	ZINN, DIANE	OPPENHEIMER SENIOR FLOATING RATE A	0.00	1.96	0.00	1.96	80.0	1.57
/ /	ZINN, JEFFREY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	1.96	0.00	1.96	80.0	1.57
/ /	SEELY, CHARLES	OPPENHEIMER SENIOR FLOATING RATE C	0.00	12.50	0.00	12.50	80.0	10.00
/ /	MESEKE, GILBERT	OPPENHEIMER SENIOR FLOATING RATE C	0.00	19.25	0.00	19.25	80.0	15.40
/ /	SEELY, CHARLES	OPPENHEIMER SENIOR FLOATING RATE C	0.00	7.20	0.00	7.20	80.0	5.76
/ /	BERNDT, GARY	OPPENHEIMER SENIOR FLOATING RATE C	0.00	9.06	0.00	9.06	80.0	7.25
/ /	MCDONALD, TINA	OPPENHEIMER SMALL MID CAP VALUE C	0.00	7.91	0.00	7.91	80.0	6.33
/ /	BERNDT, GARY	OPPENHEIMER US GOVT TRUST C	0.00	5.06	0.00	5.06	80.0	4.05
/ /	SEELY, CHARLES	OPPENHEIMER US GOVT TRUST C	0.00	11.31	0.00	11.31	80.0	9.05
/ /	SEELY, CHARLES	OPPENHEIMER US GOVT TRUST C	0.00	5.44	0.00	5.44	80.0	4.35
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$44,575.72	\$1,196.81	\$0.00	\$1,196.81		\$957.55
*** DIRECT TRANSACTIONS TOTAL ***			\$607,400.11	\$1,754.31	\$0.00	\$1,754.31		\$1,403.49

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

07/13/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	8.25	0.84	0.00	0.84	80.0	0.67
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.84	0.00	0.84	80.0	0.67
07/13/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
07/13/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$108.25	\$2.02	\$0.00	\$2.02		\$1.62

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

07/17/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
07/16/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
07/17/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00
06/30/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	53,483.34	15.38	0.00	15.38	80.0	12.30
06/30/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	53,483.34	15.38	0.00	15.38	80.0	12.30
06/30/2018	VAN CLEAVE, BLAKE	GRIFFIN INST'L ACCESS R E FUND C	18,336.32	5.28	0.00	5.28	80.0	4.22

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<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
06/30/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	53,251.75	15.32	0.00	15.32	80.0	12.26
/ /	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	0.00	0.17	0.00	0.17	80.0	0.14
/ /	JOHNSON, ERIC	INA 2022 ENROLLMENT PORT CLASS A	0.00	0.67	0.00	0.67	80.0	0.54
/ /	WALLS, ELENA	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.38	0.00	1.38	80.0	1.10
/ /	WALLS, THOMAS	INA 2028 ENROLLMENT PORT CL A	0.00	0.78	0.00	0.78	80.0	0.62
/ /	HEFFELFINGER, TAMMY	INA 2028 ENROLLMENT PORT CL A	0.00	0.04	0.00	0.04	80.0	0.03
/ /	LINN, ROSANNA	INA 2034 ENROLLMENT PORT CLASS A	0.00	0.00	0.00	0.00	80.0	0.00
/ /	HABESHY, BARBARA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.01	0.00	1.01	80.0	0.81
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	7.62	0.00	7.62	80.0	6.10
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	7.77	0.00	7.77	80.0	6.22
/ /	PETERSON, BRYAN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.45	0.00	0.45	80.0	0.36
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.61	0.00	0.61	80.0	0.49
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.71	0.00	0.71	80.0	0.57
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
/ /	CRAWFORD, JOHN	INA COLLEGE PORT CLASS A	0.00	0.01	0.00	0.01	80.0	0.01
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.24	0.00	0.24	80.0	0.19
/ /	BAILEY, LAURIE	INA COLLEGE PORT CLASS A	0.00	1.71	0.00	1.71	80.0	1.37
/ /	BAILEY, LAURIE	INA COLLEGE PORT CLASS A	0.00	1.12	0.00	1.12	80.0	0.90
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	1.30	0.00	1.30	80.0	1.04
/ /	HAMM, GAIL	INA COLLEGE PORT CLASS A	0.00	1.05	0.00	1.05	80.0	0.84
/ /	LINN, JASON	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.04	0.00	0.04	80.0	0.03
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.13	0.00	0.13	80.0	0.10
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.19	0.00	0.19	80.0	0.15
/ /	LINN, JASON	INA LG CAP INDEX PORT CLASS A	0.00	1.21	0.00	1.21	80.0	0.97
/ /	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	0.00	0.72	0.00	0.72	80.0	0.58
/ /	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	0.00	0.72	0.00	0.72	80.0	0.58
07/13/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
07/13/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
07/13/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
/ /	LINN, JASON	INA PIMCO TOT RET PORT CLA A	0.00	0.20	0.00	0.20	80.0	0.16
07/13/2018	LINN, JASON	INA PIMCO TOT RET PORT CLA A	8.25	0.10	0.00	0.10	80.0	0.08
/ /	HABESHY, BARBARA	INA PIMCO TOT RET PORT CLA C	0.00	1.91	0.00	1.91	80.0	1.53
/ /	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	0.00	1.22	0.00	1.22	80.0	0.98

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<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
/ /	PETERSON, BRYAN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	0.53	0.00	0.53	80.0	0.42
/ /	LINN, ROSANNA	INA TIPS INDEX PORT CLASS A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	HABESHY, BARBARA	INA TIPS INDEX PORT CLASS C	0.00	1.91	0.00	1.91	80.0	1.53
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.56	0.00	0.56	80.0	0.45
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CORE BOND A	0.00	0.77	0.00	0.77	80.0	0.62
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CORE BOND FUND C	0.00	0.96	0.00	0.96	80.0	0.77
/ /	LINN, JASON	OPPENHEIMER CORE BOND FUND C	0.00	0.51	0.00	0.51	80.0	0.41
/ /	LINN, JASON	OPPENHEIMER CORPORATE BOND FUND C	0.00	0.52	0.00	0.52	80.0	0.42
/ /	GUNZENHAUSER, MARK	OPPENHEIMER EQUITY INCOME A	0.00	0.36	0.00	0.36	80.0	0.29
/ /	DEWART, BECKY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	DEWART, BECKY	OPPENHEIMER INTL BOND A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	DEWART, BECKY	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.11	0.00	0.11	80.0	0.09
/ /	SALGUERO, ANNA	OPPENHEIMER MAIN STREET A	0.00	0.18	0.00	0.18	80.0	0.14
/ /	GUNZENHAUSER, MARK	OPPENHEIMER SENIOR FLOATING RATE A	0.00	0.99	0.00	0.99	80.0	0.79
/ /	DEWART, BECKY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	GUNZENHAUSER, MARK	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.15	0.00	2.15	80.0	1.72
/ /	LINN, JASON	OPPENHEIMER SENIOR FLOATING RATE C	0.00	4.55	0.00	4.55	80.0	3.64
/ /	SALGUERO, ANNA	OPPENHEIMER US GOVT TRUST A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	DEWART, BECKY	OPPENHEIMER US GOVT TRUST A	0.00	0.19	0.00	0.19	80.0	0.15
/ /	GUNZENHAUSER, MARK	OPPENHEIMER US GOVT TRUST C	0.00	1.79	0.00	1.79	80.0	1.43
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$179,851.50	\$124.43	\$0.00	\$124.43		\$99.59
BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #267								
/ /	MARKS, RICHARD	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.40	0.00	0.40	80.0	0.32
* L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL *			\$0.00	\$0.40	\$0.00	\$0.40		\$0.32
*** SPLIT TRANSACTIONS TOTAL ***			\$179,959.75	\$126.85	\$0.00	\$126.85		\$101.53

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM, L129 LAYMAN #207 </u>								
07/16/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2019 ENROLLMENT PORT CLASS A	0.00	1.64	0.00	1.64	45.0	0.74
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2022 ENROLLMENT PORT CLASS A	0.00	1.26	0.00	1.26	45.0	0.57
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.28	0.00	1.28	45.0	0.58
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.03	0.00	1.03	45.0	0.46
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.32	0.00	1.32	45.0	0.59
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.32	0.00	1.32	45.0	0.59
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.64	0.00	0.64	45.0	0.29
/ /	BENEFICIAR, CHRISTINE	INA PIMCO TOT RET PORT CLA A	0.00	2.92	0.00	2.92	45.0	1.31
* WILLIAM, L129 LAYMAN SUBTOTAL *			\$300.00	\$26.41	\$0.00	\$26.41		\$11.88
*** OVERRIDE TRANSACTIONS TOTAL ***			\$300.00	\$26.41	\$0.00	\$26.41		\$11.88

 BROKER COMMISSION TOTALS

Broker Transactions	\$1,384.29
Split Transactions	\$101.53
Override Transactions	\$11.88
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-279.07
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,218.63
Year-to-date Gross	\$30,404.26
Year-to-date Earnings	\$27,518.29

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