



Concorde Asset Management

01/18/2017

Page No. 1

# COMMISSION STATEMENT

January 17, 2017

KEITH LAYMAN  
4321 Flagstaff

BROKER #: 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>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/28/2016	TILFORD, DARRELL	AMERICAN HIGH INCOME TRUST CLASS F-	10,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	REED, VICTORIA	AMERICAN HIGH INCOME TRUST CLASS F-	7,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	AMERICAN HIGH INCOME TRUST CLASS F-	60,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	REED, VICTORIA	DODGE & COX INCOME FUND	7,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	DODGE & COX INCOME FUND	75,000.00	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	DODGE & COX INCOME FUND	2,100.00	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	FIDELITY SELECT ENERGY PORTFOLIO	-3,967.51	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	OPPENHEIMER SENIOR FLOATING RATE FU	3,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	REED, VICTORIA	T ROWE PRICE GLOBAL MULTI-SECTOR BO	7,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	T ROWE PRICE GLOBAL MULTI-SECTOR BO	75,000.00	0.00	0.00	0.00	90.0	0.00
01/03/2017	WILLING, PATRICIA	T ROWE PRICE GLOBAL MULTI-SECTOR BO	13,500.00	0.00	0.00	0.00	90.0	0.00
01/03/2017	KLITZMAN, MARY	T ROWE PRICE GLOBAL MULTI-SECTOR BO	17,000.00	0.00	0.00	0.00	90.0	0.00
01/03/2017	KLITZMAN, RANDALL	T ROWE PRICE GLOBAL MULTI-SECTOR BO	6,500.00	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	T ROWE PRICE GLOBAL MULTI-SECTOR BO	3,000.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	THE OSTERWEIS STRATEGIC INCOME FUND	-2,891.29	0.00	0.00	0.00	90.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$279,241.20	\$0.00	\$0.00	\$0.00		\$0.00
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
12/28/2016	TILFORD, DARRELL	ANHEUSER BUSCH INBEV SA NV SPONSORE	9,825.85	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	ANHEUSER BUSCH INBEV SA NV SPONSORE	6,803.94	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	ANHEUSER BUSCH INBEV SA NV SPONSORE	15,184.76	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	AT&T INC COM	7,256.67	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	AT&T INC COM	14,922.71	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	BP PLC SPONS ADR	-5,964.80	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	BP PLC SPONS ADR	-3,186.82	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	BP PLC SPONS ADR	-4,863.69	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	BP PLC SPONS ADR	14,974.60	0.00	0.00	0.00	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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
01/04/2017	PEPPLE, GLEN	BP PLC SPONS ADR	-2,858.25	0.00	0.00	0.00	90.0	0.00
01/04/2017	GALENTINE, JOSHUA	BP PLC SPONS ADR	-2,858.25	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	COLUMBIA ETF TR CORE BD ETF	-11,033.73	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	COLUMBIA ETF TR CORE BD ETF	-13,534.21	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	COLUMBIA ETF TR CORE BD ETF	-5,113.55	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	COLUMBIA ETF TR CORE BD ETF	-4,089.60	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	CONOCOPHILLIPS COM	-34,672.92	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	CONOCOPHILLIPS COM	-8,600.93	0.00	0.00	0.00	90.0	0.00
01/04/2017	PEPPLE, GLEN	CONOCOPHILLIPS COM	-6,084.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	IRON MTN INC NEW COM	2,913.12	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	IRON MTN INC NEW COM	14,925.48	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	IRON MTN INC NEW COM	6,965.20	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	IRON MTN INC NEW COM	14,988.62	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	ISHARES TR S&P 500 GROWTH ETF	-1,714.22	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	MATTEL INC COM	-18,958.40	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	PUBLIC STORAGE	8,822.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	TILFORD, DARRELL	PUBLIC STORAGE	15,438.50	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	PUBLIC STORAGE	4,427.44	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	PUBLIC STORAGE	8,845.36	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	PUBLIC STORAGE	6,590.82	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	PUBLIC STORAGE	15,311.38	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	PUBLIC STORAGE	3,364.05	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	SPDR DOW JONES INDL AVERAGE ETF TR	-990.21	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	SPDR SER TR BARCLAYS TIIPS ETF	17,875.20	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	SPDR SER TR BARCLAYS TIIPS ETF	2,802.10	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	SPDR SER TR BARCLAYS TIIPS ETF	9,806.30	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	SPDR SER TR BARCLAYS TIIPS ETF	20,160.90	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	SPDR SER TR BARCLAYS TIIPS ETF	4,761.87	0.00	0.00	0.00	90.0	0.00
01/04/2017	PEPPLE, GLEN	SPDR SER TR BARCLAYS TIIPS ETF	2,253.60	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	SPDR SER TR BARCLAYS TIIPS ETF	2,817.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	SPDR SER TR S&P BIOTECH ETF	-7,221.64	0.00	0.00	0.00	90.0	0.00
12/29/2016	COMMUNITY GRACE	SPDR SER TR S&P PHARMACEUTICALS ETF	-8,536.00	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	SPDR SER TR S&P PHARMACEUTICALS ETF	-5,829.05	0.00	0.00	0.00	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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
12/28/2016	SIEBER, AARON	SUNOCO LOGISTICS PARTNERS LP COM UN	15,012.15	0.00	0.00	0.00	90.0	0.00
12/28/2016	TILFORD, DARRELL	SUNOCO LOGISTICS PARTNERS LP COM UN	15,012.15	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	SUNOCO LOGISTICS PARTNERS LP COM UN	15,012.43	0.00	0.00	0.00	90.0	0.00
12/29/2016	THORNTON, DENISE	SUNOCO LOGISTICS PARTNERS LP COM UN	14,997.06	0.00	0.00	0.00	90.0	0.00
01/04/2017	PEPPLE, GLEN	SUNOCO LOGISTICS PARTNERS LP COM UN	9,041.25	0.00	0.00	0.00	90.0	0.00
01/04/2017	GALENTINE, JOSHUA	SUNOCO LOGISTICS PARTNERS LP COM UN	2,893.20	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	SUNOCO LOGISTICS PARTNERS LP COM UN	3,737.05	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	VANGUARD BD INDEX FD INC INTERMEDIA	-10,287.50	0.00	0.00	0.00	90.0	0.00
12/28/2016	AMBRIOLE, BETH	VANGUARD BD INDEX FD INC INTERMEDIA	-2,475.72	0.00	0.00	0.00	90.0	0.00
12/29/2016	HARDESTY, MARGARET	VANGUARD BD INDEX FD INC INTERMEDIA	-3,970.37	0.00	0.00	0.00	90.0	0.00
12/29/2016	BERNDT, TODD	VANGUARD BD INDEX FD INC INTERMEDIA	-6,784.19	0.00	0.00	0.00	90.0	0.00
12/29/2016	KAUFFMAN, JOHN	VANGUARD BD INDEX FD INC INTERMEDIA	-4,962.24	0.00	0.00	0.00	90.0	0.00
12/29/2016	REED, VICTORIA	VANGUARD BD INDEX FD INC INTERMEDIA	-21,070.78	0.00	0.00	0.00	90.0	0.00
01/04/2017	PEPPLE, GLEN	VANGUARD BD INDEX FD INC INTERMEDIA	-2,324.00	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	VANGUARD BD INDEX FD INC INTERMEDIA	-4,150.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	SIEBER, AARON	VANGUARD SCOTTSDALE FDS VANGUARD SH	-8,696.60	0.00	0.00	0.00	90.0	0.00
01/04/2017	ZAMZOW, CARRIE	VANGUARD WORLD FDS VANGUARD HEALTH	-3,471.66	0.00	0.00	0.00	90.0	0.00
<b>* STOCKS SUBTOTAL *</b>			<b>\$93,439.43</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>								
01/05/2017	ORT, LEON	JEFFERSON NATIONAL	84,398.91	316.50	0.00	316.50	90.0	284.85
01/10/2017	SIEBER, JANE	JEFFERSON NATIONAL	197,539.76	987.70	0.00	987.70	90.0	888.93
01/10/2017	SIEBER, PAUL	JEFFERSON NATIONAL	235,768.40	1,178.84	0.00	1,178.84	90.0	1,060.96
01/05/2017	WILLING, PATRICIA	PERSHING	226,725.36	838.57	0.00	838.57	90.0	754.71
01/05/2017	JONES, TIM	PERSHING	58,941.66	218.00	0.00	218.00	90.0	196.20
01/05/2017	WILLIAMS, BEVERLY	PERSHING	21,564.11	79.76	0.00	79.76	90.0	71.78
01/05/2017	SIEBER, AARON	PERSHING	194,726.29	720.22	0.00	720.22	90.0	648.20
01/05/2017	HARMEYER, SHARYN	PERSHING	252,951.47	935.57	0.00	935.57	90.0	842.01
01/05/2017	DAILEY, RITA	PERSHING	278,164.84	1,028.83	0.00	1,028.83	90.0	925.95
01/05/2017	GRIME, MARK	PERSHING	75,899.79	280.73	0.00	280.73	90.0	252.66
01/05/2017	KLITZMAN, RANDALL	PERSHING	6,692.05	24.75	0.00	24.75	90.0	22.28
01/05/2017	KLITZMAN, MARY	PERSHING	216,477.38	800.67	0.00	800.67	90.0	720.60
01/05/2017	RUSK, RANDALL	PERSHING	91,297.08	337.67	0.00	337.67	90.0	303.90
01/05/2017	FEDLER, CHARLES	PERSHING	184,005.05	680.57	0.00	680.57	90.0	612.51

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>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: RIA</u></b>								
01/05/2017	DODGE, CAROLYN	PERSHING	190,548.02	704.77	0.00	704.77	90.0	634.29
01/05/2017	TROUT, CHARLOTTE	PERSHING	24,143.86	89.30	0.00	89.30	90.0	80.37
01/05/2017	GUNSOLLEY, NORMAN	PERSHING	33,103.15	122.44	0.00	122.44	90.0	110.20
01/05/2017	OAR, RITA	PERSHING	46,068.23	170.39	0.00	170.39	90.0	153.35
01/05/2017	PEASE, NANCY	PERSHING	103,189.21	381.66	0.00	381.66	90.0	343.49
01/05/2017	SAHARIAN, CAROLYN	PERSHING	52,266.96	193.32	0.00	193.32	90.0	173.99
01/05/2017	SHERBURNE, STEVEN	PERSHING	278,253.62	1,029.16	0.00	1,029.16	90.0	926.24
01/05/2017	ZINN, ROBERT	PERSHING	151,814.64	467.92	0.00	467.92	90.0	421.13
01/05/2017	JAMSCO INC	PERSHING	109,704.50	405.76	0.00	405.76	90.0	365.18
01/05/2017	BERBER, CATHY	PERSHING	292,414.81	1,081.53	0.00	1,081.53	90.0	973.38
01/05/2017	PEPPLE, GLEN	PERSHING	43,076.51	159.32	0.00	159.32	90.0	143.39
01/05/2017	RICHEY, BECKY	PERSHING	18,653.29	68.99	0.00	68.99	90.0	62.09
01/05/2017	ASHBAUGH, JOHN	PERSHING	83,275.08	308.00	0.00	308.00	90.0	277.20
01/05/2017	ASHBAUGH, ALAN	PERSHING	83,828.64	310.05	0.00	310.05	90.0	279.05
01/05/2017	WILCOX, TIMOTHY	PERSHING	104,518.64	386.58	0.00	386.58	90.0	347.92
01/05/2017	NICOLET, CHERYL	PERSHING	299,459.09	1,107.59	0.00	1,107.59	90.0	996.83
01/05/2017	LOVETT, DAVID	PERSHING	703.05	2.60	0.00	2.60	90.0	2.34
01/05/2017	RUSK, JULIA	PERSHING	70,911.57	262.28	0.00	262.28	90.0	236.05
01/05/2017	VAN AUKEN, KAREN	PERSHING	19,537.50	72.26	0.00	72.26	90.0	65.03
01/05/2017	GALENTINE, JOSHUA	PERSHING	63,878.40	236.26	0.00	236.26	90.0	212.63
01/05/2017	BRZYCKI, MARTIN	PERSHING	125,087.72	462.65	0.00	462.65	90.0	416.39
01/05/2017	BULLER, DOUG	PERSHING	10,788.55	39.90	0.00	39.90	90.0	35.91
01/05/2017	GUZIK, ROBERT	PERSHING	115,301.07	426.46	0.00	426.46	90.0	383.81
01/05/2017	RATTY, MARY	PERSHING	21,755.21	80.46	0.00	80.46	90.0	72.41
01/05/2017	AMBRIOLE, BETH	PERSHING	24,578.00	90.90	0.00	90.90	90.0	81.81
01/05/2017	KLOC, CLIFFORD	PERSHING	346,037.55	1,279.86	0.00	1,279.86	90.0	1,151.87
01/05/2017	ALLEN, RHONDA	PERSHING	15,191.12	56.19	0.00	56.19	90.0	50.57
01/05/2017	KAISER, ROBERT	PERSHING	21,430.05	79.26	0.00	79.26	90.0	71.33
01/05/2017	DEGLER, DONNA	PERSHING	65,517.72	242.33	0.00	242.33	90.0	218.10
01/05/2017	HARDESTY, MARGARET	PERSHING	141,205.01	522.27	0.00	522.27	90.0	470.04
01/05/2017	HARDESTY, MARGARET	PERSHING	15,754.95	58.27	0.00	58.27	90.0	52.44
01/05/2017	HUESMAN, PATRICIA	PERSHING	275,108.10	1,017.52	0.00	1,017.52	90.0	915.77
01/05/2017	LIPSCOMB, SAMUEL	PERSHING	116,713.32	431.68	0.00	431.68	90.0	388.51

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: RIA</u></b>								
01/05/2017	DELANEY, DIANA	PERSHING	24,129.01	89.24	0.00	89.24	90.0	80.32
01/05/2017	DELANEY, MATTHEW	PERSHING	27,030.19	99.97	0.00	99.97	90.0	89.97
01/05/2017	KAUZLICK, MICHAEL	PERSHING	129,225.78	477.96	0.00	477.96	90.0	430.16
01/05/2017	ORT, LEON	PERSHING	100,786.42	372.77	0.00	372.77	90.0	335.49
01/05/2017	SIEBER, PAUL	PERSHING	80,989.25	299.55	0.00	299.55	90.0	269.60
01/05/2017	BUNN, LINDA	PERSHING	98,540.66	364.47	0.00	364.47	90.0	328.02
01/05/2017	HAHAJ, JUDITH	PERSHING	36,514.10	135.05	0.00	135.05	90.0	121.55
01/05/2017	MARCH, MELODY	PERSHING	155,345.03	574.56	0.00	574.56	90.0	517.10
01/05/2017	CLARK, KATHLEEN	PERSHING	23,881.77	88.33	0.00	88.33	90.0	79.50
01/05/2017	GRIME, LAURA	PERSHING	52,236.37	193.20	0.00	193.20	90.0	173.88
01/05/2017	REMENSCHNEIDER, DAVID	PERSHING	337,651.97	1,248.85	0.00	1,248.85	90.0	1,123.97
01/05/2017	VIELKIND, LAWRENCE	PERSHING	348,201.46	1,287.87	0.00	1,287.87	90.0	1,159.08
01/05/2017	NOLL, PRISCILLA	PERSHING	385,425.92	1,425.55	0.00	1,425.55	90.0	1,283.00
01/05/2017	KAUZLICK, SHAWN	PERSHING	54,461.09	201.43	0.00	201.43	90.0	181.29
01/05/2017	KLITZMAN, RANDALL	PERSHING	96,882.80	358.33	0.00	358.33	90.0	322.50
01/05/2017	LEWIS, FRANCES	PERSHING	12,692.49	46.94	0.00	46.94	90.0	42.25
01/05/2017	RICHEY, BECKY	PERSHING	448,793.09	1,659.92	0.00	1,659.92	90.0	1,493.93
01/05/2017	COMMUNITY GRACE	PERSHING	90,643.72	335.26	0.00	335.26	90.0	301.73
01/05/2017	BERNDT, TODD	PERSHING	226,940.43	279.79	0.00	279.79	90.0	251.81
01/05/2017	KAUFFMAN, JOHN	PERSHING	69,707.06	257.82	0.00	257.82	90.0	232.04
01/05/2017	POOR, BRIAN	PERSHING	30,526.55	112.91	0.00	112.91	90.0	101.62
01/05/2017	ZAMZOW, RONALD	PERSHING	27,919.13	103.26	0.00	103.26	90.0	92.93
01/05/2017	ZAMZOW, CARRIE	PERSHING	31,351.71	115.96	0.00	115.96	90.0	104.36
01/05/2017	TUTTLE, THOMAS	PERSHING	100,151.56	370.42	0.00	370.42	90.0	333.38
01/05/2017	TILFORD, DARRELL	PERSHING	73,563.10	272.08	0.00	272.08	90.0	244.87
01/05/2017	TILFORD, DARRELL	PERSHING	174,831.60	646.64	0.00	646.64	90.0	581.98
01/05/2017	DRUHOT, SCOTT	PERSHING	96,232.85	355.93	0.00	355.93	90.0	320.34
01/05/2017	WEIDES, LISA	PERSHING	142,867.38	528.41	0.00	528.41	90.0	475.57
01/05/2017	IGNEY, SHELLEY	PERSHING	116,525.90	430.99	0.00	430.99	90.0	387.89
01/05/2017	BERNDT, BARBARA	PERSHING	41,761.11	154.46	0.00	154.46	90.0	139.01
01/05/2017	HOUSER, DANIEL	PERSHING	33,242.66	122.95	0.00	122.95	90.0	110.66
01/05/2017	ISLEY, TERRY	PERSHING	59,838.74	147.55	0.00	147.55	90.0	132.80
01/05/2017	AMBRIOLE, WESLEY	PERSHING	148,001.52	547.40	0.00	547.40	90.0	492.66

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: RIA</u></b>								
01/05/2017	REED, VICTORIA	PERSHING	224,734.19	831.21	0.00	831.21	90.0	748.09
01/05/2017	SIEBER, JANE	PERSHING	12,363.11	36.99	0.00	36.99	90.0	33.29
01/05/2017	SIEBER, JANE	PERSHING	258,465.56	637.31	0.00	637.31	90.0	573.58
01/05/2017	THORNTON, DENISE	PERSHING	303,486.11	132.67	0.00	132.67	90.0	119.40
01/05/2017	THORNTON, DENISE	PERSHING	302,591.72	746.12	0.00	746.12	90.0	671.51
01/05/2017	THORNTON, DENISE	PERSHING	313,661.12	111.41	0.00	111.41	90.0	100.27
01/05/2017	THORNTON, DENISE	PERSHING	313,871.28	773.93	0.00	773.93	90.0	696.54
01/05/2017	THORNTON, PAUL	PERSHING	59,388.93	24.34	0.00	24.34	90.0	21.91
01/05/2017	THORNTON, PAUL	PERSHING	59,043.57	218.38	0.00	218.38	90.0	196.54
01/05/2017	KING, PATRICIA	PERSHING	82,665.27	13.55	0.00	13.55	90.0	12.20
01/05/2017	KING, PATRICIA	PERSHING	82,713.04	305.92	0.00	305.92	90.0	275.33
* RIA SUBTOTAL *			<b>\$11,378,845.61</b>	<b>\$38,313.96</b>	<b>\$0.00</b>	<b>\$38,313.96</b>		<b>\$34,482.57</b>
*** BROKER TRANSACTIONS TOTAL ***			<b>\$11,751,526.24</b>	<b>\$38,313.96</b>	<b>\$0.00</b>	<b>\$38,313.96</b>		<b>\$34,482.57</b>

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

01/04/2017	SORG, RICHARD	COLUMBIA ETF TR CORE BD ETF	-8,946.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	CONOCOPHILLIPS COM	-45,994.76	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	DODGE & COX INCOME FUND	7,400.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	IRON MTN INC NEW COM	25,903.12	0.00	0.00	0.00	90.0	0.00
01/05/2017	HAMM, GAIL	PERSHING	241,230.71	312.27	0.00	312.27	90.0	281.04
01/05/2017	HAMM, GAIL	PERSHING	98,783.92	127.88	0.00	127.88	90.0	115.09
01/05/2017	HAMM, GAIL	PERSHING	99,401.77	128.67	0.00	128.67	90.0	115.80
01/05/2017	EISERLE, DAVID	PERSHING	18,224.41	23.60	0.00	23.60	90.0	21.24
01/05/2017	NOVELL, DEANA	PERSHING	95,881.75	124.12	0.00	124.12	90.0	111.71
01/05/2017	GROTE, DONALD	PERSHING	110,849.22	143.49	0.00	143.49	90.0	129.14
01/05/2017	GROTE, DONALD	PERSHING	28,115.90	36.39	0.00	36.39	90.0	32.75
01/05/2017	CHIDDISTER, LISA	PERSHING	157.53	0.21	0.00	0.21	90.0	0.19
01/05/2017	KAISER, ROBIN	PERSHING	43,253.52	56.00	0.00	56.00	90.0	50.40
01/05/2017	KAISER, ROBERT	PERSHING	14,528.74	18.81	0.00	18.81	90.0	16.93
01/05/2017	GAY, RICHARD	PERSHING	21,232.65	27.48	0.00	27.48	90.0	24.73
01/05/2017	SORG, RICHARD	PERSHING	80,767.63	69.70	0.00	69.70	90.0	62.73

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>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</b>								
01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	6.72	0.00	6.72	90.0	6.05
01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	201.94	0.00	201.94	90.0	181.75
12/28/2016	HAMM, GAIL	PUBLIC STORAGE	19,634.22	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	SPDR SER TR BARCLAYS TIIPS ETF	46,960.20	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	T ROWE PRICE GLOBAL MULTI-SECTOR BO	8,900.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	VANGUARD BD INDEX FD INC INTERMEDIA	-47,407.33	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	VANGUARD BD INDEX FD INC INTERMEDIA	-7,470.00	0.00	0.00	0.00	90.0	0.00
<b>* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *</b>			<b>\$1,163,407.20</b>	<b>\$1,277.28</b>	<b>\$0.00</b>	<b>\$1,277.28</b>		<b>\$1,149.55</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$1,163,407.20</b>	<b>\$1,277.28</b>	<b>\$0.00</b>	<b>\$1,277.28</b>		<b>\$1,149.55</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$34,482.57
Split Transactions	\$1,149.55
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	\$35,632.12
Year-to-date Gross	\$39,591.24
Year-to-date Earnings	\$35,632.12

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed