

**COMMISSION STATEMENT****November 15, 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: MUTUAL FUNDS</u>								
^10/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	5.19	0.00	5.19	90.0	0.00
^10/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	7.50	0.00	7.50	90.0	0.00
^10/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	124.65	4.67	0.00	4.67	90.0	0.00
^10/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	124.65	4.67	0.00	4.67	90.0	0.00
^10/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	10.38	0.00	10.38	90.0	0.00
^10/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	5.19	0.00	5.19	90.0	0.00
^10/31/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^11/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	0.00
^10/30/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	0.00
^10/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	17.50	0.00	17.50	90.0	0.00
^10/27/2017	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	100.00	4.75	0.00	4.75	90.0	0.00
^10/31/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.30	0.00	0.30	90.0	0.00
^11/03/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^11/03/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^11/03/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.39	0.00	0.39	90.0	0.00
^10/31/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.70	0.00	0.70	90.0	0.00
^11/03/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.27	0.00	0.27	90.0	0.00
^10/31/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	1.19	0.00	1.19	90.0	0.00
^10/31/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.70	0.00	0.70	90.0	0.00
^10/31/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	0.00
^11/03/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	0.00
^11/03/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	1.83	0.00	1.83	90.0	0.00
^11/03/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^11/03/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^10/31/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.30	0.00	0.30	90.0	0.00
^10/31/2017	ROBERTSON, RACHEL	TEMPLETON GROWTH C	0.00	15.87	0.00	15.87	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 FUND 12B1 TRAILS</u>								
* MUTUAL FUNDS SUBTOTAL *			\$2,133.14	\$97.16	\$0.00	\$97.16		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.84	0.00	0.84	90.0	0.00
^10/19/2017	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.28	0.00	0.28	90.0	0.00
^10/19/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.28	0.00	0.28	90.0	0.00
^10/19/2017	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	90.0	0.00
^10/19/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.28	0.00	0.28	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.60	0.00	0.60	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.54	0.00	0.54	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.73	0.00	0.73	90.0	0.00
^10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.00
^10/17/2017	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	2.99	0.00	2.99	90.0	0.00
^10/20/2017	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	12.40	0.00	12.40	90.0	0.00
^10/23/2017	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.51	0.00	0.51	90.0	0.00
^10/18/2017	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	1.79	0.00	1.79	90.0	0.00
^10/23/2017	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	3.66	0.00	3.66	90.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$27.91	\$0.00	\$27.91		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$2,133.14	\$125.07	\$0.00	\$125.07		\$0.00

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

10/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	1.56	0.00	1.56	90.0	1.40
10/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	2.25	0.00	2.25	90.0	2.03
10/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	124.65	1.40	0.00	1.40	90.0	1.26
10/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	124.65	1.40	0.00	1.40	90.0	1.26
10/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	3.11	0.00	3.11	90.0	2.80
10/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	1.56	0.00	1.56	90.0	1.40
10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	90.0	0.23
10/19/2017	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07

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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>								
10/19/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
10/19/2017	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	90.0	0.32
10/19/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
10/31/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	90.0	0.16
10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	90.0	0.10
10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	90.0	0.14
11/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	0.75	0.00	0.75	90.0	0.68
10/19/2017	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.14	0.00	0.14	90.0	0.13
10/30/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.75	0.00	0.75	90.0	0.68
10/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	5.25	0.00	5.25	90.0	4.73
10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.22	0.00	0.22	90.0	0.20
10/19/2017	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	90.0	0.14
10/27/2017	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	100.00	1.43	0.00	1.43	90.0	1.29
10/31/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.09	0.00	0.09	90.0	0.08
11/03/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
11/03/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
11/03/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.12	0.00	0.12	90.0	0.11
10/31/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.21	0.00	0.21	90.0	0.19
11/03/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.08	0.00	0.08	90.0	0.07
10/31/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.36	0.00	0.36	90.0	0.32
10/31/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.21	0.00	0.21	90.0	0.19
10/31/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.36	0.00	0.36	90.0	0.32
11/03/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.36	0.00	0.36	90.0	0.32
11/03/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.55	0.00	0.55	90.0	0.50
11/03/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
11/03/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
10/17/2017	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.90	0.00	0.90	90.0	0.81
10/20/2017	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	3.72	0.00	3.72	90.0	3.35
10/23/2017	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.15	0.00	0.15	90.0	0.14
10/18/2017	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.54	0.00	0.54	90.0	0.49
10/31/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.09	0.00	0.09	90.0	0.08

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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>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
10/23/2017	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.10	0.00	1.10	90.0	0.99
10/31/2017	ROBERTSON, RACHEL	TEMPLETON GROWTH C	0.00	4.76	0.00	4.76	90.0	4.28
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$2,133.14	\$37.53	\$0.00	\$37.53		\$33.81
*** SPLIT TRANSACTIONS TOTAL ***			\$2,133.14	\$37.53	\$0.00	\$37.53		\$33.81

<u>ADJUSTMENTS</u>								
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					0.01
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					-1.20
11/15/2017		*PERSHING: UNSECURED DEBIT	0.00					0.00
11/15/2017		*PERSHING: UNSECURED DEBIT	0.00					-3.60
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-4.79

<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions	\$0.00
Split Transactions	\$33.81
Override Transactions	\$0.00
Adjustments	\$-4.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$29.02
Year-to-date Gross	\$1,649.34
Year-to-date Earnings	\$1,342.45

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