

**COMMISSION STATEMENT****March 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>								
03/23/2018	ELLIOTT, RANDALL	MUTUAL SERIES SHARES CLASS Z	-10,000.00	0.00	0.00	0.00	80.0	0.00
03/23/2018	ELLIOTT, RANDALL	TEMPLETON WORLD A	-57,934.04	0.00	0.00	0.00	80.0	0.00
03/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
03/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
03/23/2018	ELLIOTT, RANDALL	VANGUARD HIGH YIELD CORPORATE BOND	58,000.00	100.00	22.00	78.00	80.0	62.40
* MUTUAL FUNDS SUBTOTAL *			\$-9,759.04	\$100.00	\$46.00	\$54.00		\$43.20
<u>PRODUCT CATEGORY: STOCKS</u>								
03/23/2018	ELLIOTT, RANDALL	GENERAL ELECTRIC CO COM	-2,235.06	30.00	22.50	7.50	80.0	6.00
03/23/2018	ELLIOTT, RANDALL	VANGUARD WORLD FDS VANGUARD INFORMA	10,026.34	50.00	22.50	27.50	80.0	22.00
* STOCKS SUBTOTAL *			\$7,791.28	\$80.00	\$45.00	\$35.00		\$28.00
*** CLEARING TRANSACTIONS TOTAL ***			\$-1,967.76	\$180.00	\$91.00	\$89.00		\$71.20

DIRECT TRANSACTIONS

<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/21/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	28,095.90	21.55	0.00	21.55	80.0	17.24
03/21/2018	DERBYSHIRE, JAMES	BR TOTAL INC & REAL ESTATE FUND C	27,839.53	21.36	0.00	21.36	80.0	17.09
03/21/2018	HARMEYER, SHARYN	BR TOTAL INC & REAL ESTATE FUND C	44,536.62	34.16	0.00	34.16	80.0	27.33
03/21/2018	BYRUM, GERALD	BR TOTAL INC & REAL ESTATE FUND C	49,633.91	38.08	0.00	38.08	80.0	30.46
03/21/2018	BUSH, SANDRA	BR TOTAL INC & REAL ESTATE FUND C	38,570.23	29.59	0.00	29.59	80.0	23.67
03/21/2018	DIETSCH, RHONDA	BR TOTAL INC & REAL ESTATE FUND C	33,009.58	25.32	0.00	25.32	80.0	20.26
03/21/2018	PEPPLE, GLEN	BR TOTAL INC & REAL ESTATE FUND C	16,489.23	12.65	0.00	12.65	80.0	10.12
03/21/2018	WILLING, LEONARD	BR TOTAL INC & REAL ESTATE FUND C	42,358.35	32.49	0.00	32.49	80.0	25.99
03/21/2018	MURPHY, SUSAN	BR TOTAL INC & REAL ESTATE FUND C	53,245.95	40.84	0.00	40.84	80.0	32.67
03/21/2018	LOWDEN TRUST, KATHERINE	BR TOTAL INC & REAL ESTATE FUND C	44,578.72	34.20	0.00	34.20	80.0	27.36
03/21/2018	ZINN, JEANETTE	BR TOTAL INC & REAL ESTATE FUND C	76,083.43	58.36	0.00	58.36	80.0	46.69

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

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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: INTERVAL FUNDS</u>								
02/28/2018	LAYMAN, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	42,990.78	32.97	0.00	32.97	80.0	26.38
02/28/2018	ZINN, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	70,298.49	53.93	0.00	53.93	80.0	43.14
* INTERVAL FUNDS SUBTOTAL *			\$567,730.72	\$435.50	\$0.00	\$435.50		\$348.40
<u>PRODUCT CATEGORY: 529 PLANS</u>								
03/14/2018	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	15.00	0.71	0.00	0.71	80.0	0.57
03/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
03/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
03/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
03/23/2018	GEVERINK, ANN	INA AMER FDS EUROPAC GROWT A	30.00	1.20	0.00	1.20	80.0	0.96
03/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	41.60	1.66	0.00	1.66	80.0	1.33
03/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
03/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
03/21/2018	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	500.00	23.75	0.00	23.75	80.0	19.00
03/21/2018	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	500.00	23.75	0.00	23.75	80.0	19.00
03/23/2018	GEVERINK, ANN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.00	0.00	2.00	80.0	1.60
03/14/2018	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	15.00	0.71	0.00	0.71	80.0	0.57
03/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
03/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
03/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
03/23/2018	GEVERINK, ANN	INA DIAMOND HILL SM-MID CAP PORTF A	30.00	1.20	0.00	1.20	80.0	0.96
* 529 PLANS SUBTOTAL *			\$1,389.60	\$63.29	\$0.00	\$63.29		\$50.61
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/12/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
03/12/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
03/15/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
03/15/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
03/23/2018	EAGLESON, AMBER	AM FUNDS AMERICAN BALANCED A	50.00	1.38	0.00	1.38	80.0	1.10
03/23/2018	EAGLESON, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	65.00	1.79	0.00	1.79	80.0	1.43
03/07/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
03/15/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
03/15/2018	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.88	0.00	1.88	80.0	1.50
03/20/2018	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	80.0	2.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/23/2018	EAGLESON, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	2.06	0.00	2.06	80.0	1.65
03/07/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
03/08/2018	TRACEY, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	194.65	3.11	0.00	3.11	80.0	2.49
03/08/2018	TRACEY, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	194.65	3.11	0.00	3.11	80.0	2.49
03/08/2018	TRACEY, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	143.51	2.30	0.00	2.30	80.0	1.84
03/08/2018	TRACEY, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	143.51	2.30	0.00	2.30	80.0	1.84
03/08/2018	RAMEY, TRAVIS	AM FUNDS GROWTH FUND OF AMERICA A	93.04	1.49	0.00	1.49	80.0	1.19
03/08/2018	RAMEY, TRAVIS	AM FUNDS GROWTH FUND OF AMERICA A	93.04	1.49	0.00	1.49	80.0	1.19
03/08/2018	RAMEY, TRAVIS	AM FUNDS GROWTH FUND OF AMERICA A	76.76	1.23	0.00	1.23	80.0	0.98
03/08/2018	RAMEY, TRAVIS	AM FUNDS GROWTH FUND OF AMERICA A	76.76	1.23	0.00	1.23	80.0	0.98
03/12/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
03/15/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
03/15/2018	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	80.0	1.50
03/23/2018	EAGLESON, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	75.00	2.06	0.00	2.06	80.0	1.65
03/12/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
03/23/2018	EAGLESON, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	55.00	1.51	0.00	1.51	80.0	1.21
03/15/2018	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	50.00	1.88	0.00	1.88	80.0	1.50
03/23/2018	EAGLESON, JOSEPH	AM FUNDS NEW PERSPECTIVE A	65.00	1.79	0.00	1.79	80.0	1.43
03/15/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
03/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
03/23/2018	EAGLESON, JOSEPH	AM FUNDS NEW WORLD A	65.00	1.79	0.00	1.79	80.0	1.43
03/08/2018	RAMEY, TRAVIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	93.04	1.49	0.00	1.49	80.0	1.19
03/08/2018	RAMEY, TRAVIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	93.04	1.49	0.00	1.49	80.0	1.19
03/08/2018	RAMEY, TRAVIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	76.76	1.23	0.00	1.23	80.0	0.98
03/08/2018	RAMEY, TRAVIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	76.76	1.23	0.00	1.23	80.0	0.98
03/14/2018	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	15.00	0.49	0.00	0.49	80.0	0.39
03/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	80.0	0.36
03/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	80.0	0.72
03/23/2018	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	40.00	1.30	0.00	1.30	80.0	1.04
03/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	41.60	1.66	0.00	1.66	80.0	1.33
03/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	80.0	1.55
03/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	80.0	1.11
03/23/2018	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	50.00	2.00	0.00	2.00	80.0	1.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/13/2018	ROSS, MICHAEL	INA COLLEGE PORT CLASS A	5,000.00	162.50	0.00	162.50	80.0	130.00
03/14/2018	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	55.00	2.61	0.00	2.61	80.0	2.09
03/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
03/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
03/15/2018	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
03/15/2018	SEELY, CHARLES	OPPENHEIMER CORPORATE BOND FUND C	60.00	0.60	0.00	0.60	80.0	0.48
03/15/2018	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	200.00	9.50	0.00	9.50	80.0	7.60
03/15/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
03/05/2018	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$9,146.92	\$288.42	\$0.00	\$288.42		\$230.67
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
* VARIABLE ANNUITIES SUBTOTAL *			\$50.00	\$1.00	\$0.00	\$1.00		\$0.80
*** DIRECT TRANSACTIONS TOTAL ***			\$578,317.24	\$788.21	\$0.00	\$788.21		\$630.48
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10</u>								
03/14/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	50.00	0.84	0.00	0.84	80.0	0.67
03/23/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
03/23/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
03/23/2018	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 *			\$200.00	\$2.02	\$0.00	\$2.02		\$1.62
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
03/23/2018	SITES, AMY	AM FUNDS AMERICAN BALANCED A	125.00	2.18	0.00	2.18	80.0	1.74
03/19/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
03/15/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
03/19/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00
03/23/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	80.0	0.08
03/21/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	52,728.18	14.15	0.00	14.15	80.0	11.32
02/28/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	52,585.64	14.11	0.00	14.11	80.0	11.29
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
03/14/2018	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	50.00	0.57	0.00	0.57	80.0	0.46
03/23/2018	LINN, JASON	INA INTER EQTY INDEX PORTF A	8.25	0.13	0.00	0.13	80.0	0.10
03/23/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
03/23/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
03/23/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$106,793.82	\$54.27	\$0.00	\$54.27		\$43.42
*** SPLIT TRANSACTIONS TOTAL ***			\$106,993.82	\$56.29	\$0.00	\$56.29		\$45.04

<u> OVERRIDE TRANSACTIONS</u>								
<u>BROKER: WILLIAM, L129 LAYMAN #207</u>								
03/15/2018	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

<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions	\$701.68
Split Transactions	\$45.04
Override Transactions	\$6.75
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	\$753.47
Year-to-date Gross	\$15,353.49
Year-to-date Earnings	\$12,360.45

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