



Concorde Investment Services, LLC
COMMISSION STATEMENT
April 15, 2017

04/12/2017
 Page No. 1

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 |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 03/27/2017 | RATTY, SKYLER | AM FUNDS AMERICAN BALANCED A | 600.00 | 22.50 | 0.00 | 22.50 | 90.0 | 20.25 |
| 03/27/2017 | HALE, AMBER | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 03/28/2017 | ISLEY, TERRY | AM FUNDS AMERICAN BALANCED A | 100.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 03/28/2017 | LOWE, MELISSA | AM FUNDS AMERICAN BALANCED A | 500.00 | 25.00 | 0.00 | 25.00 | 90.0 | 22.50 |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS AMERICAN BALANCED A | 70.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS AMERICAN BALANCED A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 04/03/2017 | SEELY, BRENDAN | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL INCOME BUILDER A | 60.00 | 1.65 | 0.00 | 1.65 | 90.0 | 1.49 |
| 04/03/2017 | HUNTER, JENNIFER | AM FUNDS CAPITAL INCOME BUILDER A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS CAPITAL INCOME BUILDER A | 60.00 | 2.25 | 0.00 | 2.25 | 90.0 | 2.03 |
| 03/28/2017 | HERRIMAN, JANET | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 04/03/2017 | HUNTER, JENNIFER | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 60.00 | 2.25 | 0.00 | 2.25 | 90.0 | 2.03 |
| 04/07/2017 | HERBER, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 03/31/2017 | SIEBER, AARON | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.08 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 03/31/2017 | SIEBER, AARON | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.08 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 04/03/2017 | GOODMAN, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 500.00 | 13.75 | 0.00 | 13.75 | 90.0 | 12.38 |
| 04/03/2017 | HUNTER, JENNIFER | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 03/27/2017 | WIKTOROWICZ, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 250.00 | 12.50 | 0.00 | 12.50 | 90.0 | 11.25 |
| 03/29/2017 | SAMUDIO, SHERRY | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 03/31/2017 | SIEBER, AARON | AM FUNDS GROWTH FUND OF AMERICA A | 200.34 | 4.01 | 0.00 | 4.01 | 90.0 | 3.61 |
| 03/31/2017 | SIEBER, AARON | AM FUNDS GROWTH FUND OF AMERICA A | 200.34 | 4.01 | 0.00 | 4.01 | 90.0 | 3.61 |
| 04/03/2017 | HUNTER, JENNIFER | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 04/07/2017 | HERBER, TRINA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |

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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>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS INCOME FUND OF AMERICA A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS INTERMEDIATE BOND FUND OF | 50.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS INTERMEDIATE BOND FUND OF | 50.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 03/30/2017 | HEIDENREICH, PATRICK | AM FUNDS NEW ECONOMY A | 75.00 | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 04/03/2017 | DAGER, DONNA | AM FUNDS NEW ECONOMY A | 100.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 04/03/2017 | HUNTER, JENNIFER | AM FUNDS NEW WORLD A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 04/03/2017 | GOODMAN, ROBERT | AM FUNDS NEW WORLD A | 500.00 | 13.75 | 0.00 | 13.75 | 90.0 | 12.38 |
| 03/31/2017 | PATTERSON, JANITA | AM FUNDS SHORT TERM BND FUND OF AM | 50.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 04/03/2017 | KINDSCHY, CYNTHIA | AM FUNDS SHORT TERM BND FUND OF AM | 60.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 04/03/2017 | GOODMAN, ROBERT | AM FUNDS SMALLCAP WORLD A | 500.00 | 13.75 | 0.00 | 13.75 | 90.0 | 12.38 |
| 04/03/2017 | GALENTINE, ASHLEY | AM FUNDS SMALLCAP WORLD A | 300.00 | 12.75 | 0.00 | 12.75 | 90.0 | 11.48 |
| 03/29/2017 | SAMUDIO, SHERRY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 100.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 03/30/2017 | HEIDENREICH, PATRICK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 75.00 | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS COLLEGE SAV 194524518 | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 03/31/2017 | FREEZE, CORTNEY | ASCENSUS COLLEGE SAV 194524518 | 18.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |
| 03/31/2017 | SAYA, CHRISTINE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 2.50 | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS INA INTERNATIONAL EQ INDEX | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 03/31/2017 | FREEZE, CORTNEY | ASCENSUS INA INTERNATIONAL EQ INDEX | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 45.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 03/31/2017 | SAYA, CHRISTINE | ASCENSUS INA PIMCO TOTAL RETURN POR | 5.00 | 0.16 | 0.00 | 0.16 | 90.0 | 0.14 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS INA SHORT TERM TREASURY IN | 15.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| / / | GALENTINE, ASHLEY | ASCENSUS INA T ROWE PRICE LG CAP GR | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS INA T ROWE PRICE LG CAP GR | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 03/31/2017 | SAYA, CHRISTINE | ASCENSUS INA T ROWE PRICE LG CAP GR | 8.75 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 03/27/2017 | MARKS, GAREN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 03/31/2017 | SAYA, CHRISTINE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 8.75 | 0.42 | 0.00 | 0.42 | 90.0 | 0.38 |
| 04/04/2017 | GALENTINE, ASHLEY | ASCENSUS-INA BLACKROCK LG CAP VALUE | 50.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 03/31/2017 | FREEZE, CORTNEY | ASCENSUS-INA CORE BOND INDEX PF CL | 10.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 03/31/2017 | FREEZE, CORTNEY | ASCENSUS-INA LG CAP INDEX PF CL A | 47.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 04/03/2017 | JACKSON, BRENDA | ASCENSUS-INA LG CAP INDEX PF CL A | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 04/01/2017 | MCBRIDE, KEITH | INVESCO AMERICAN FRANCHISE A | 0.00 | 6.14 | 0.00 | 6.14 | 90.0 | 5.53 |
| 04/01/2017 | DILLIE, KYLE | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| 04/01/2017 | DILLIE, KENNETH | INVESCO AMERICAN FRANCHISE A | 0.00 | 51.58 | 0.00 | 51.58 | 90.0 | 46.42 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 04/01/2017 | MOELLERING, STEVEN | INVESCO AMERICAN FRANCHISE A | 0.00 | 3.46 | 0.00 | 3.46 | 90.0 | 3.11 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO AMERICAN FRANCHISE C | 0.00 | 14.52 | 0.00 | 14.52 | 90.0 | 13.07 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO AMERICAN FRANCHISE FUND CL- | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 2.05 |
| 04/01/2017 | MOELLERING, STEVEN | INVESCO AMERICAN VALUE A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO BALANCED-RISK RTRMNT 2020 C | 0.00 | 13.10 | 0.00 | 13.10 | 90.0 | 11.79 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO CHARTER FUND B | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO DEIVERSIFIED DIVIDEND FD CL | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO DIVERSIFIED DIVIDEND FD-CL | 0.00 | 14.81 | 0.00 | 14.81 | 90.0 | 13.33 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO DIVIDEND INCOME FUND B | 0.00 | 1.36 | 0.00 | 1.36 | 90.0 | 1.22 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO EMERGING MARKETS EQTY FD CL | 0.00 | 5.11 | 0.00 | 5.11 | 90.0 | 4.60 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO ENERGY FUND B | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.68 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO FLOATING RATE FD-CL C | 0.00 | 5.09 | 0.00 | 5.09 | 90.0 | 4.58 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO GBL LOW VOLATILITY EQTY YLD | 0.00 | 7.34 | 0.00 | 7.34 | 90.0 | 6.61 |
| 04/01/2017 | MCBRIDE, KEITH | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 8.96 | 0.00 | 8.96 | 90.0 | 8.06 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO INTERNATIONAL ALLOCATION - | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO INTERNATIONAL TOTAL RETURN | 0.00 | 5.52 | 0.00 | 5.52 | 90.0 | 4.97 |
| 04/01/2017 | WILBANKS, GREGORY | INVESCO MODERATE ALLOCATION B | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 1.88 |
| 04/01/2017 | ELLIOTT, RANDALL | INVESCO US GOVERNMENT FD CL C | 0.00 | 5.66 | 0.00 | 5.66 | 90.0 | 5.09 |
| / / | JACOT, ROBERT | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 23.62 | 0.00 | 23.62 | 90.0 | 21.26 |
| / / | SCHUCH, AUTUMN | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 9.69 | 0.00 | 9.69 | 90.0 | 8.72 |
| / / | GOODLANDER, GERALD | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 1.26 | 0.00 | 1.26 | 90.0 | 1.13 |
| / / | SEELY, CHARLES | OPPENHEIMER CAPITAL INCOME FUND C | 0.00 | 38.68 | 0.00 | 38.68 | 90.0 | 34.81 |
| / / | SEELY, CHARLES | OPPENHEIMER CAPITAL INCOME FUND C | 0.00 | 22.40 | 0.00 | 22.40 | 90.0 | 20.16 |
| / / | SEELY, CHARLES | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 17.68 | 0.00 | 17.68 | 90.0 | 15.91 |
| / / | SEELY, CHARLES | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 11.05 | 0.00 | 11.05 | 90.0 | 9.95 |
| / / | ZINN, DIANE | OPPENHEIMER DISCOVERY A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| / / | ZINN, JEFFREY | OPPENHEIMER DISCOVERY A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.86 |
| / / | JACOT, ROBERT | OPPENHEIMER DISCOVERY A | 0.00 | 24.86 | 0.00 | 24.86 | 90.0 | 22.37 |
| / / | JACOT, ROBERT | OPPENHEIMER EQUITY A | 0.00 | 23.56 | 0.00 | 23.56 | 90.0 | 21.20 |
| / / | HODAPP, PETER | OPPENHEIMER EQUITY INCOME A | 0.00 | 3.81 | 0.00 | 3.81 | 90.0 | 3.43 |
| / / | ZINN, DIANE | OPPENHEIMER GLOBAL A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| / / | ZINN, JEFFREY | OPPENHEIMER GLOBAL A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| / / | ZINN, JEFFREY | OPPENHEIMER GLOBAL A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | MCDONALD, TINA | OPPENHEIMER GLOBAL HIGH YIELD FUND | 0.00 | 2.12 | 0.00 | 2.12 | 90.0 | 1.91 |
| / / | JACOT, CAROL | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 8.31 | 0.00 | 8.31 | 90.0 | 7.48 |
| / / | JACOT, ROBERT | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 8.31 | 0.00 | 8.31 | 90.0 | 7.48 |
| / / | STEURY, MICHAEL | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 3.91 | 0.00 | 3.91 | 90.0 | 3.52 |
| / / | OAR, WARREN | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 4.23 | 0.00 | 4.23 | 90.0 | 3.81 |
| / / | SEELY, CHARLES | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 10.93 | 0.00 | 10.93 | 90.0 | 9.84 |
| / / | BERNDT, GARY | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 7.89 | 0.00 | 7.89 | 90.0 | 7.10 |
| / / | MCDONALD, TINA | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 1.86 |
| / / | SEELY, CHARLES | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 17.04 | 0.00 | 17.04 | 90.0 | 15.34 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| / / | OAR, WARREN | OPPENHEIMER INTL BOND A | 0.00 | 3.51 | 0.00 | 3.51 | 90.0 | 3.16 |
| / / | JACOT, ROBERT | OPPENHEIMER INTL GROWTH A | 0.00 | 22.27 | 0.00 | 22.27 | 90.0 | 20.04 |
| / / | ZINN, DIANE | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| / / | ZINN, JEFFREY | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.52 |
| / / | BERNDT, GARY | OPPENHEIMER LIMITED-TERM GOV'T FUND | 0.00 | 4.85 | 0.00 | 4.85 | 90.0 | 4.37 |
| / / | JACOT, ROBERT | OPPENHEIMER MAIN STREET A | 0.00 | 30.17 | 0.00 | 30.17 | 90.0 | 27.15 |
| / / | ZINN, DIANE | OPPENHEIMER MAIN STREET OPP A | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| / / | ZINN, DIANE | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 2.23 |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 2.23 |
| / / | STEURY, MICHAEL | OPPENHEIMER PORT SERIES ACTIVE ALLO | 0.00 | 6.81 | 0.00 | 6.81 | 90.0 | 6.13 |
| / / | SCHUELKE, THOMAS | OPPENHEIMER PORT SERIES ACTIVE ALLO | 0.00 | 3.08 | 0.00 | 3.08 | 90.0 | 2.77 |
| / / | HARTOG, MAX | OPPENHEIMER PORTF SER: ACTV ALLOC F | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 6.28 |
| / / | SHOCK, JACK | OPPENHEIMER PORTF SER: ACTV ALLOC F | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 2.41 |
| / / | GOODLANDER, GERALD | OPPENHEIMER PORTF SER: MOD INV FUND | 0.00 | 3.32 | 0.00 | 3.32 | 90.0 | 2.99 |
| / / | STEURY, MICHAEL | OPPENHEIMER PORTF SER: MOD INV FUND | 0.00 | 5.37 | 0.00 | 5.37 | 90.0 | 4.83 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 11.86 | 0.00 | 11.86 | 90.0 | 10.67 |
| / / | ZINN, DIANE | OPPENHEIMER RISING DIVIDENDS A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| / / | ZINN, JEFFREY | OPPENHEIMER RISING DIVIDENDS A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| / / | OAR, WARREN | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| / / | ZINN, DIANE | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 1.67 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | ZINN, JEFFREY | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 1.67 |
| / / | STEURY, MICHAEL | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 2.71 |
| / / | SEELY, CHARLES | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 11.92 | 0.00 | 11.92 | 90.0 | 10.73 |
| / / | MESEKE, GILBERT | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 18.37 | 0.00 | 18.37 | 90.0 | 16.53 |
| / / | SEELY, CHARLES | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 5.76 | 0.00 | 5.76 | 90.0 | 5.18 |
| / / | BERNDT, GARY | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 8.65 | 0.00 | 8.65 | 90.0 | 7.79 |
| / / | MCDONALD, TINA | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 9.38 | 0.00 | 9.38 | 90.0 | 8.44 |
| / / | BERNDT, GARY | OPPENHEIMER US GOVT TRUST C | 0.00 | 4.98 | 0.00 | 4.98 | 90.0 | 4.48 |
| / / | SEELY, CHARLES | OPPENHEIMER US GOVT TRUST C | 0.00 | 11.14 | 0.00 | 11.14 | 90.0 | 10.03 |
| / / | SEELY, CHARLES | OPPENHEIMER US GOVT TRUST C | 0.00 | 5.35 | 0.00 | 5.35 | 90.0 | 4.82 |
| 04/04/2017 | URICK, DANIEL | TRANSAMERICA CAPITAL GROWTH A | 0.00 | 14.10 | 0.00 | 14.10 | 90.0 | 12.69 |
| 04/03/2017 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 100.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 04/04/2017 | RUSSELL, TAYLOR | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 04/04/2017 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 1.79 | 0.00 | 1.79 | 90.0 | 1.61 |
| 04/04/2017 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 11.94 | 0.00 | 11.94 | 90.0 | 10.75 |
| 04/04/2017 | URICK, DANIEL | TRANSAMERICA MULTI-MANAGED BAL A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 04/04/2017 | LUDWIG, KENDRA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 2.44 | 0.00 | 2.44 | 90.0 | 2.20 |
| 04/04/2017 | URICK, DANIEL | TRANSAMERICA SMALL/MID CAP VALUE A | 0.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$5,885.84 | \$855.56 | \$0.00 | \$855.56 | | \$770.06 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 03/31/2017 | POSTMA, THELMA | JNL PERSPECTIVE II | 19,949.35 | 8.31 | 0.00 | 8.31 | 90.0 | 7.48 |
| 03/31/2017 | SIEBER, JANE | JNL PERSPECTIVE II | 32,421.58 | 13.51 | 0.00 | 13.51 | 90.0 | 12.16 |
| 03/31/2017 | SIEBER, PAUL | JNL PERSPECTIVE II | 66,059.32 | 27.52 | 0.00 | 27.52 | 90.0 | 24.77 |
| 03/31/2017 | SENGER, LYNDA | PRU AS LIFEVEST II | 102,664.38 | 64.17 | 0.00 | 64.17 | 90.0 | 57.75 |
| 03/31/2017 | SENGER, LYNDA | PRU AS LIFEVEST II | 102,664.38 | 192.50 | 0.00 | 192.50 | 90.0 | 173.25 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$323,759.01 | \$306.01 | \$0.00 | \$306.01 | | \$275.41 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/31/2017 | LAYMAN, VARIOUS | DREYFUS | 0.00 | 8.18 | 0.00 | 8.18 | 90.0 | 7.36 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$8.18 | \$0.00 | \$8.18 | | \$7.36 |

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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>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS | | | | | | | | |
| 03/31/2017 | MORHART, JAMES | LFG TRAILS | 0.00 | 114.99 | 0.00 | 114.99 | 90.0 | 103.49 |
| 03/31/2017 | SIEBER, PAUL | ING ESII | 0.00 | 71.37 | 0.00 | 71.37 | 90.0 | 64.23 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$186.36 | \$0.00 | \$186.36 | | \$167.72 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$329,644.85 | \$1,356.11 | \$0.00 | \$1,356.11 | | \$1,220.55 |

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

| | | | | | | | | |
|------------|----------------------|-------------------------------------|--------|------|------|------|------|------|
| 03/31/2017 | ROEBEL, DAVID | AM FUNDS 2020 TARGET DATE-A | 300.00 | 4.46 | 0.00 | 4.46 | 90.0 | 4.01 |
| 03/31/2017 | ROEBEL, DAVID | AM FUNDS 2020 TARGET DATE-A | 207.69 | 3.09 | 0.00 | 3.09 | 90.0 | 2.78 |
| 03/31/2017 | RICE, SCOTT | AM FUNDS 2025 TARGET DATE-A | 143.80 | 2.14 | 0.00 | 2.14 | 90.0 | 1.93 |
| 03/31/2017 | RICE, SCOTT | AM FUNDS 2025 TARGET DATE-A | 143.80 | 2.14 | 0.00 | 2.14 | 90.0 | 1.93 |
| 03/31/2017 | SCOTT, JAMES | AM FUNDS 2040 TARGET DATE-A | 415.38 | 6.17 | 0.00 | 6.17 | 90.0 | 5.55 |
| 03/31/2017 | SCOTT, JAMES | AM FUNDS 2040 TARGET DATE-A | 207.69 | 3.09 | 0.00 | 3.09 | 90.0 | 2.78 |
| 03/31/2017 | TOURNEY, JOSEPH | AM FUNDS AMCAP A | 346.14 | 5.15 | 0.00 | 5.15 | 90.0 | 4.64 |
| 03/31/2017 | TOURNEY, JOSEPH | AM FUNDS AMCAP A | 207.69 | 3.09 | 0.00 | 3.09 | 90.0 | 2.78 |
| 03/31/2017 | DORSETT, LARA | AM FUNDS AMERICAN BALANCED A | 100.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 03/28/2017 | GATER-BITTING, DEVIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.78 |
| 03/30/2017 | RABER, DANIEL | AM FUNDS GROWTH FUND OF AMERICA A | 350.00 | 6.12 | 0.00 | 6.12 | 90.0 | 5.51 |
| 03/27/2017 | JOHNSON, ERIC | ASCENSUS INA 2022 ENROLLMENT PTF A | 50.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 03/31/2017 | HABESHY, BARBARA | ASCENSUS INA BLACKROCK LG CAP VALUE | 30.00 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 04/07/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 04/07/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 04/07/2017 | LINN, JASON | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 03/31/2017 | HABESHY, BARBARA | ASCENSUS INA PIMCO TOTAL RETURN POR | 70.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 04/07/2017 | LINN, JASON | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 03/31/2017 | PETERSON, BRYAN | ASCENSUS INA T ROWE PRICE LG CAP GR | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 03/31/2017 | HABESHY, BARBARA | ASCENSUS INA TIPS INDEX PORTFOLIO C | 70.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 03/31/2017 | PETERSON, BRYAN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 04/07/2017 | EGLY, KEITH | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 04/07/2017 | LINN, JASON | ASCENSUS-INA LG CAP INDEX PF CL A | 38.50 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 04/07/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 04/07/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |

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|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209 | | | | | | | | |
| 03/31/2017 | HABESHY, BARBARA | INA T ROWE PRICE LARGE CAP GR CLASS | 30.00 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 04/03/2017 | JUNOD, BARBARA | JP MORGAN INVESTOR CONSERVATIVE GRO | -2,400.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.41 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CORE BOND A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CORE BOND FUND C | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| / / | LINN, JASON | OPPENHEIMER CORE BOND FUND C | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| / / | FIRKS, RICHARD | OPPENHEIMER CORE BOND FUND C | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| / / | LINN, JASON | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| / / | SALGUERO, ANNA | OPPENHEIMER EQUITY A | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER EQUITY INCOME A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| / / | FIRKS, RICHARD | OPPENHEIMER GLOBAL HIGH YIELD FUND | 0.00 | 3.79 | 0.00 | 3.79 | 90.0 | 3.41 |
| / / | DEWART, BECKY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| / / | DEWART, BECKY | OPPENHEIMER INTL BOND A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| / / | DEWART, BECKY | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| / / | FIRKS, RICHARD | OPPENHEIMER LIMITED-TERM GOV'T FUND | 0.00 | 4.41 | 0.00 | 4.41 | 90.0 | 3.97 |
| / / | SALGUERO, ANNA | OPPENHEIMER MAIN STREET A | 0.00 | 0.03 | 0.00 | 0.03 | 90.0 | 0.03 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.84 |
| / / | DEWART, BECKY | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.49 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 1.85 |
| / / | LINN, JASON | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |
| / / | FIRKS, RICHARD | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 3.91 | 0.00 | 3.91 | 90.0 | 3.52 |
| / / | SALGUERO, ANNA | OPPENHEIMER US GOVT TRUST A | 0.00 | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| / / | DEWART, BECKY | OPPENHEIMER US GOVT TRUST A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.36 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER US GOVT TRUST C | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL * | | | \$602.19 | \$73.10 | \$0.00 | \$73.10 | | \$65.85 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$602.19 | \$73.10 | \$0.00 | \$73.10 | | \$65.85 |

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|---|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: WILLIAM LAYMAN #207</u> | | | | | | | | |
| 03/27/2017 | LAYMAN, GEOFFREY | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 45.0 | 1.13 |
| | | * WILLIAM LAYMAN SUBTOTAL * | \$50.00 | \$2.50 | \$0.00 | \$2.50 | | \$1.13 |
| | | *** OVERRIDE TRANSACTIONS TOTAL *** | \$50.00 | \$2.50 | \$0.00 | \$2.50 | | \$1.13 |

ADJUSTMENTS

| | | | | | | | | |
|------------|--|-------------------------------------|--------|--------|--------|--------|--|-------------|
| 04/15/2017 | | *EO INSURANCE: CURRENT MONTH INS | 0.00 | | | | | -300.00 |
| 04/15/2017 | | *EO INSURANCE: CURRENT MONTH INS-BI | 0.00 | | | | | -300.00 |
| 04/15/2017 | | *FINRA: FBI FINGERPRINT FEE LEHMAN- | 0.00 | | | | | -10.00 |
| 04/15/2017 | | *FINRA: FINGERPRINT FEE LEHMAN-WRIG | 0.00 | | | | | -15.00 |
| 04/15/2017 | | *FINRA: FINGERPRINT-J LEHMAN-WRIGHT | 0.00 | | | | | -15.00 |
| 04/15/2017 | | *PERSHING: BOOKS AND RECORDS | 0.00 | | | | | -3.00 |
| 04/15/2017 | | *PERSHING: BOOKS AND RECORDS | 0.00 | | | | | -0.53 |
| 04/15/2017 | | *PERSHING: MF PROSPECTUS | 0.00 | | | | | -4.65 |
| 04/15/2017 | | *PERSHING: MF PROSPECTUS | 0.00 | | | | | -2.71 |
| 04/15/2017 | | *TECH: ADMIN J WRIGHT | 0.00 | | | | | -100.00 |
| 04/15/2017 | | *TECH: ALBRIDGE FULL | 0.00 | | | | | -100.00 |
| 04/15/2017 | | *TECHNOLOGY: ADMIN - JAMIE BERNDT | 0.00 | | | | | -100.00 |
| 04/15/2017 | | *TECHNOLOGY: CURRENT MONTH TECH | 0.00 | | | | | -275.00 |
| 04/15/2017 | | *TECHNOLOGY: CURRENT MONTH TECH (BI | 0.00 | | | | | -275.00 |
| | | *** ADJUSTMENTS TOTAL *** | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-1,500.89 |

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BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$1,220.55 |
| Split Transactions | \$65.85 |
| Override Transactions | \$1.13 |
| Adjustments | \$-1,500.89 |
| 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 | \$-213.36 |
| Year-to-date Gross | \$15,859.25 |
| Year-to-date Earnings | \$13,809.52 |