

**COMMISSION STATEMENT****August 31, 2018**KEITH, L128 LAYMAN
4321 Flagstaff CoveBROKER #: 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>								
08/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
08/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	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: 529 PLANS</u>								
/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	2.00	0.00	2.00	80.0	1.60
08/07/2018	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	25.00	1.19	0.00	1.19	80.0	0.95
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.38	0.00	2.38	80.0	1.90
08/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
08/08/2018	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	168.00	7.98	0.00	7.98	80.0	6.38
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.63	0.00	1.63	80.0	1.30
08/07/2018	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	50.00	1.63	0.00	1.63	80.0	1.30
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	1.63	0.00	1.63	80.0	1.30
08/07/2018	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	50.00	1.63	0.00	1.63	80.0	1.30
* 529 PLANS SUBTOTAL *			\$343.00	\$22.45	\$0.00	\$22.45		\$17.93

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/10/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
08/10/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
08/07/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
08/07/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
08/10/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
08/10/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
08/07/2018	SLATER, JUSTIN	INA INTER EQTY INDEX PORTF A	12.50	0.59	0.00	0.59	80.0	0.47

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>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	0.00	1.63	0.00	1.63	80.0	1.30
08/07/2018	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	50.00	1.63	0.00	1.63	80.0	1.30
08/08/2018	SIEGER, NORMAN	INA PIMCO TOT RET PORT CLA A	42.00	1.37	0.00	1.37	80.0	1.10
/ /	SIEGER, NORMAN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	7.98	0.00	7.98	80.0	6.38
08/07/2018	SLATER, JUSTIN	INA T ROWE PRICE LG CAP GROWTH PO A	12.50	0.59	0.00	0.59	80.0	0.47
* MUTUAL FUNDS SUBTOTAL *			\$567.00	\$26.93	\$0.00	\$26.93		\$21.52
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,473.72	0.53	0.00	0.53	80.0	0.42
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,304.04	0.49	0.00	0.49	80.0	0.39
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,813.58	0.60	0.00	0.60	80.0	0.48
07/31/2018	LAYMAN, VARIOUS	DREYFUS	2,456.98	0.52	0.00	0.52	80.0	0.42
07/31/2018	LAYMAN, VARIOUS	DREYFUS	4,335.78	0.92	0.00	0.92	80.0	0.74
07/31/2018	LAYMAN, VARIOUS	DREYFUS	929.61	0.20	0.00	0.20	80.0	0.16
07/31/2018	LAYMAN, VARIOUS	DREYFUS	1,890.64	0.40	0.00	0.40	80.0	0.32
07/31/2018	LAYMAN, VARIOUS	DREYFUS	1,674.29	0.36	0.00	0.36	80.0	0.29
07/31/2018	LAYMAN, VARIOUS	DREYFUS	7,346.11	1.56	0.00	1.56	80.0	1.25
07/31/2018	LAYMAN, VARIOUS	DREYFUS	3,578.93	0.76	0.00	0.76	80.0	0.61
07/31/2018	LAYMAN, VARIOUS	DREYFUS	4,503.58	0.96	0.00	0.96	80.0	0.77
07/31/2018	LAYMAN, VARIOUS	DREYFUS	9,905.87	2.10	0.00	2.10	80.0	1.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$44,213.13	\$9.40	\$0.00	\$9.40		\$7.53
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
08/03/2018	MARTZ, PHILLIS	ING ACCESS	401,438.25	1,003.60	0.00	1,003.60	80.0	802.88
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$401,438.25	\$1,003.60	\$0.00	\$1,003.60		\$802.88
*** DIRECT TRANSACTIONS TOTAL ***			\$446,561.38	\$1,062.38	\$0.00	\$1,062.38		\$849.86

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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/ #10</u>								
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.17	0.00	0.17	80.0	0.14
08/10/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
08/10/2018	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 *			\$100.00	\$1.18	\$0.00	\$1.18		\$0.95
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.13	0.00	0.13	80.0	0.10
/ /	LINN, JASON	INA LG CAP INDEX PORT CLASS A	0.00	0.64	0.00	0.64	80.0	0.51
08/10/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
08/10/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
08/10/2018	LINN, JASON	INA PIMCO TOT RET PORT CLA A	8.25	0.10	0.00	0.10	80.0	0.08
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$58.25	\$1.69	\$0.00	\$1.69		\$1.35
*** SPLIT TRANSACTIONS TOTAL ***			\$158.25	\$2.87	\$0.00	\$2.87		\$2.30

BROKER COMMISSION TOTALS

Broker Transactions	\$830.66
Split Transactions	\$2.30
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-113.09
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$719.87
Year-to-date Gross	\$33,293.61
Year-to-date Earnings	\$29,788.14

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