



Concorde Investment Services, LLC

10/30/2017

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COMMISSION STATEMENT**October 31, 2017**KEITH 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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
10/11/2017	LAYMAN, VARIOUS	BR TOTAL INC & REAL ESTATE FUND C	0.00	364.48	0.00	364.48	90.0	328.03
09/30/2017	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND C	0.00	34.92	0.00	34.92	90.0	31.43
09/30/2017	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	0.00	57.09	0.00	57.09	90.0	51.38
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$456.49	\$0.00	\$456.49		\$410.84
<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.07	0.00	0.07	90.0	0.06
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.07	0.00	0.07	90.0	0.06
10/12/2017	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	50.00	2.38	0.00	2.38	90.0	2.14
* 529 PLANS SUBTOTAL *			\$100.00	\$4.90	\$0.00	\$4.90		\$4.40
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/16/2017	NEWBAUER, CAMERON	AM FUNDS AMERICAN BALANCED 529A	50.00	1.38	0.00	1.38	90.0	1.24
10/10/2017	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	90.0	3.38
10/10/2017	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	90.0	1.92
10/16/2017	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	90.0	0.68
10/16/2017	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	90.0	20.66
10/16/2017	WHITE, IAN	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
10/16/2017	RATLIFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	75.00	3.75	0.00	3.75	90.0	3.38
10/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS AMERICAN BALANCED A	300.00	3.60	0.00	3.60	90.0	3.24
10/16/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	1.38	0.00	1.38	90.0	1.24
10/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	300.00	3.60	0.00	3.60	90.0	3.24
10/16/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	90.0	2.48
10/16/2017	NEWBAUER, CAMERON	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	90.0	2.48
10/09/2017	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	90.0	1.24
10/16/2017	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/16/2017	MUSKIN, VERONICA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.88	0.00	1.88	90.0	1.69
10/20/2017	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
10/16/2017	NEWBAUER, CAMERON	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
10/09/2017	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	90.0	1.24
10/10/2017	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	3.75	0.00	3.75	90.0	3.38
10/16/2017	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
10/16/2017	MUSKIN, VERONICA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
10/16/2017	NEWBAUER, CAMERON	AM FUNDS ICA 529A	100.00	2.75	0.00	2.75	90.0	2.48
10/10/2017	GRIME, STEPHEN	AM FUNDS ICA A	100.00	3.75	0.00	3.75	90.0	3.38
10/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS INCOME FUND OF AMERICA A	300.00	3.60	0.00	3.60	90.0	3.24
10/20/2017	MURPHY REV LIV TRUST, WILLIAM	AM FUNDS NEW ECONOMY A	300.00	3.60	0.00	3.60	90.0	3.24
10/16/2017	MUSKIN, VERONICA	AM FUNDS NEW PERSPECTIVE A	50.00	1.88	0.00	1.88	90.0	1.69
10/16/2017	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
10/16/2017	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.81	0.00	1.81	90.0	1.63
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.62	0.00	1.62	90.0	1.46
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	1.83	0.00	1.83	90.0	1.65
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	2.68	0.00	2.68	90.0	2.41
/ /	PEPPLE, GLEN	ASCENSUS COLLEGE SAV 194524518	0.00	1.77	0.00	1.77	90.0	1.59
/ /	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	0.00	0.27	0.00	0.27	90.0	0.24
/ /	GEVERINK, ANN	ASCENSUS COLLEGE SAV 194524518	0.00	4.79	0.00	4.79	90.0	4.31
/ /	HOEFFEL, MARCIA	ASCENSUS COLLEGE SAV 194524518	0.00	0.09	0.00	0.09	90.0	0.08
/ /	HELLER, ADAM	ASCENSUS COLLEGE SAV 194524518	0.00	0.57	0.00	0.57	90.0	0.51
/ /	BERNDT, JAMIE	ASCENSUS COLLEGE SAV 194524518	0.00	0.15	0.00	0.15	90.0	0.14
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	2.02	0.00	2.02	90.0	1.82
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	1.45	0.00	1.45	90.0	1.31
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	2.38	0.00	2.38	90.0	2.14
/ /	SLATER, JUSTIN	ASCENSUS COLLEGE SAV 194524518	0.00	3.71	0.00	3.71	90.0	3.34
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.15	0.00	1.15	90.0	1.04
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.67	0.00	1.67	90.0	1.50
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	0.72	0.00	0.72	90.0	0.65
/ /	DAVID, SCOTT	ASCENSUS COLLEGE SAV 194524518	0.00	3.25	0.00	3.25	90.0	2.93
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.72	0.00	0.72	90.0	0.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.80	0.00	0.80	90.0	0.72
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	0.83	0.00	0.83	90.0	0.75
10/13/2017	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	15.00	0.71	0.00	0.71	90.0	0.64
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	20.80	0.83	0.00	0.83	90.0	0.75
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	20.80	0.83	0.00	0.83	90.0	0.75
/ /	JOHNSON, JAMES	ASCENSUS INA 2019 ENROLLMENT PORT C	0.00	2.91	0.00	2.91	90.0	2.62
/ /	DRUHOT, SCOTT	ASCENSUS INA 2022 ENROLLMENT PTF C	0.00	35.07	0.00	35.07	90.0	31.56
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.55	0.00	1.55	90.0	1.40
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.50	0.00	1.50	90.0	1.35
/ /	FREEZE, CORTNEY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.73	0.00	1.73	90.0	1.56
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	3.64	0.00	3.64	90.0	3.28
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	3.22	0.00	3.22	90.0	2.90
/ /	LINNEMEIER, JAY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.61	0.00	1.61	90.0	1.45
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.63	0.00	0.63	90.0	0.57
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.62	0.00	0.62	90.0	0.56
/ /	PEPPLE, GLEN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.81	0.00	1.81	90.0	1.63
/ /	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.82	0.00	0.82	90.0	0.74
/ /	GEVERINK, ANN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	3.75	0.00	3.75	90.0	3.38
/ /	HOEFFEL, MARCIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.17	0.00	0.17	90.0	0.15
/ /	HELLER, ADAM	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.37	0.00	2.37	90.0	2.13
/ /	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.21	0.00	0.21	90.0	0.19
/ /	ARCHBOLD, PAMELA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.08	0.00	1.08	90.0	0.97
/ /	BERNDT, JAMIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.14	0.00	0.14	90.0	0.13
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.76	0.00	1.76	90.0	1.58
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.31	0.00	1.31	90.0	1.18
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.04	0.00	2.04	90.0	1.84
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.31	0.00	2.31	90.0	2.08
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.30	0.00	2.30	90.0	2.07
/ /	DAVID, SCOTT	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.79	0.00	2.79	90.0	2.51
10/13/2017	FREEZE, CORTNEY	ASCENSUS INA AMERICAN FUNDS EUROPAC	15.00	0.71	0.00	0.71	90.0	0.64
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	20.80	0.83	0.00	0.83	90.0	0.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	4.67	0.00	4.67	90.0	4.20
/ /	PATTERSON, JANITA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	2.97	0.00	2.97	90.0	2.67
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	3.05	0.00	3.05	90.0	2.75
/ /	PEPPLE, GLEN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	3.51	0.00	3.51	90.0	3.16
/ /	ROSS, AARON	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	5.86	0.00	5.86	90.0	5.27
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.51	0.00	0.51	90.0	0.46
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	2.66	0.00	2.66	90.0	2.39
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	1.23	0.00	1.23	90.0	1.11
10/13/2017	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	GOULET, LETTA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.59	0.00	1.59	90.0	1.43
/ /	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	2.89	0.00	2.89	90.0	2.60
/ /	PEE, MICHAEL	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	4.41	0.00	4.41	90.0	3.97
/ /	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.26	0.00	0.26	90.0	0.23
/ /	HOEFFEL, MARCIA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.08	0.00	0.08	90.0	0.07
/ /	HELLER, ADAM	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.72	0.00	0.72	90.0	0.65
/ /	SLATER, JUSTIN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.34	0.00	0.34	90.0	0.31
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.13	0.00	1.13	90.0	1.02
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.31	0.00	1.31	90.0	1.18
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.74	0.00	0.74	90.0	0.67
/ /	LAYMAN, KEITH	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.27	0.00	0.27	90.0	0.24
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	10.94	0.00	10.94	90.0	9.85
/ /	PATTERSON, JANITA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	21.87	0.00	21.87	90.0	19.68
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	22.52	0.00	22.52	90.0	20.27
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.33	0.00	1.33	90.0	1.20
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.81	0.00	0.81	90.0	0.73
/ /	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.64	0.00	1.64	90.0	1.48
/ /	PEE, MICHAEL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	12.82	0.00	12.82	90.0	11.54
/ /	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.09	0.00	0.09	90.0	0.08
/ /	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.09	0.00	0.09	90.0	0.08
/ /	WILLIAMS, BEVERLY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.76	0.00	3.76	90.0	3.38
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.67	0.00	5.67	90.0	5.10
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.63	0.00	5.63	90.0	5.07
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.16	0.00	4.16	90.0	3.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.57	0.00	1.57	90.0	1.41
/ /	PEPPLE, GLEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.70	0.00	5.70	90.0	5.13
/ /	DERBYSHIRE, KAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.22	0.00	3.22	90.0	2.90
/ /	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.46	0.00	1.46	90.0	1.31
/ /	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.62	0.00	0.62	90.0	0.56
/ /	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.49	0.00	4.49	90.0	4.04
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.13	0.00	0.13	90.0	0.12
/ /	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.20	0.00	0.20	90.0	0.18
/ /	FEDLER, CHARLES	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.32	0.00	3.32	90.0	2.99
/ /	BERNDT, JAMIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.39	0.00	0.39	90.0	0.35
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.04	0.00	1.04	90.0	0.94
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	2.44	0.00	2.44	90.0	2.20
/ /	SHADY, HARRY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.02	0.00	0.02	90.0	0.02
/ /	STANSBERRY, NANCY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.76	0.00	0.76	90.0	0.68
/ /	LINSKY, MARCIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.26	0.00	1.26	90.0	1.13
/ /	RUSK, RANDALL F	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.24	0.00	0.24	90.0	0.22
10/12/2017	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	90.0	1.47
10/12/2017	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	90.0	1.47
10/13/2017	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	15.00	0.49	0.00	0.49	90.0	0.44
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	90.0	0.41
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	90.0	0.81
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA SHORT ERM TREASURY IND	0.00	5.88	0.00	5.88	90.0	5.29
/ /	PATTERSON, JANITA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	8.34	0.00	8.34	90.0	7.51
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	8.57	0.00	8.57	90.0	7.71
/ /	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.08	0.00	0.08	90.0	0.07
/ /	GOODMAN, LAUREN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.08	0.00	0.08	90.0	0.07
/ /	PEPPLE, GLEN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	1.96	0.00	1.96	90.0	1.76
/ /	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.21	0.00	0.21	90.0	0.19
/ /	FEDLER, CHARLES	ASCENSUS INA SHORT TERM TREASURY IN	0.00	3.13	0.00	3.13	90.0	2.82
/ /	STANSBERRY, NANCY	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.76	0.00	0.76	90.0	0.68
/ /	LINSKY, MARCIA	ASCENSUS INA SHORT TERM TREASURY IN	0.00	2.27	0.00	2.27	90.0	2.04
/ /	RUSK, RANDALL F	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.10	0.00	0.10	90.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	GOULET, LETTA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.71	0.00	2.71	90.0	2.44
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.70	0.00	4.70	90.0	4.23
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.15	0.00	4.15	90.0	3.74
/ /	PEE, MICHAEL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	11.40	0.00	11.40	90.0	10.26
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.55	0.00	4.55	90.0	4.10
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.14	0.00	5.14	90.0	4.63
/ /	LINNEMEIER, JAY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.88	0.00	2.88	90.0	2.59
/ /	PEPPLE, GLEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.66	0.00	2.66	90.0	2.39
/ /	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.20	0.00	4.20	90.0	3.78
/ /	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.45	0.00	0.45	90.0	0.41
/ /	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	10.36	0.00	10.36	90.0	9.32
/ /	SHERBURNE, STEVEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.08	0.00	0.08	90.0	0.07
/ /	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.83	0.00	0.83	90.0	0.75
/ /	BERNDT, JAMIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.27	0.00	0.27	90.0	0.24
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.34	0.00	5.34	90.0	4.81
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.35	0.00	4.35	90.0	3.92
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.29	0.00	5.29	90.0	4.76
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.29	0.00	1.29	90.0	1.16
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.58	0.00	0.58	90.0	0.52
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.13	0.00	0.13	90.0	0.12
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.13	0.00	0.13	90.0	0.12
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.10	0.00	3.10	90.0	2.79
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.10	0.00	3.10	90.0	2.79
/ /	DAVID, SCOTT	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.85	0.00	4.85	90.0	4.37
/ /	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.83	0.00	4.83	90.0	4.35
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	41.60	1.66	0.00	1.66	90.0	1.49
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	90.0	1.75
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	90.0	1.25
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	3.69	0.00	3.69	90.0	3.32
/ /	PATTERSON, JANITA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	20.27	0.00	20.27	90.0	18.24
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	20.65	0.00	20.65	90.0	18.59
/ /	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.09	0.00	0.09	90.0	0.08
/ /	GOODMAN, LAUREN	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.09	0.00	0.09	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	4.32	0.00	4.32	90.0	3.89
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	3.13	0.00	3.13	90.0	2.82
/ /	LINNEMEIER, JAY	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	1.47	0.00	1.47	90.0	1.32
/ /	PEPPLE, GLEN	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	2.68	0.00	2.68	90.0	2.41
/ /	FEDLER, CHARLES	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	3.18	0.00	3.18	90.0	2.86
/ /	BERNDT, JAMIE	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	STANSBERRY, NANCY	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.76	0.00	0.76	90.0	0.68
/ /	LINSKY, MARCIA	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	1.19	0.00	1.19	90.0	1.07
/ /	RUSK, RANDALL F	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.17	0.00	0.17	90.0	0.15
/ /	GOULET, LETTA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.07	0.00	2.07	90.0	1.86
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.22	0.00	3.22	90.0	2.90
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.47	0.00	3.47	90.0	3.12
/ /	PEE, MICHAEL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	10.37	0.00	10.37	90.0	9.33
/ /	GOODMAN, LAUREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.08	0.00	0.08	90.0	0.07
/ /	GOODMAN, LAUREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.08	0.00	0.08	90.0	0.07
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.27	0.00	3.27	90.0	2.94
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.78	0.00	3.78	90.0	3.40
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	6.21	0.00	6.21	90.0	5.59
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.23	0.00	2.23	90.0	2.01
/ /	PEPPLE, GLEN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.81	0.00	1.81	90.0	1.63
/ /	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.46	0.00	3.46	90.0	3.11
/ /	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.38	0.00	0.38	90.0	0.34
/ /	GEVERINK, ANN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	8.07	0.00	8.07	90.0	7.26
/ /	HOEFFEL, MARCIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.22	0.00	0.22	90.0	0.20
/ /	SIEGER, NORMAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.80	0.00	0.80	90.0	0.72
/ /	ARCHBOLD, PAMELA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.63	0.00	2.63	90.0	2.37
/ /	BERNDT, JAMIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.23	0.00	0.23	90.0	0.21
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.27	0.00	4.27	90.0	3.84
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.57	0.00	3.57	90.0	3.21
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.19	0.00	4.19	90.0	3.77
/ /	SLATER, JUSTIN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.94	0.00	0.94	90.0	0.85
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.73	0.00	2.73	90.0	2.46
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.73	0.00	2.73	90.0	2.46

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	STANSBERRY, NANCY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.76	0.00	0.76	90.0	0.68
/ /	JACKSON, BRENDA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.18	0.00	0.18	90.0	0.16
/ /	MESSER, JENNIFER	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.84	0.00	4.84	90.0	4.36
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.59	0.00	0.59	90.0	0.53
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.16	0.00	1.16	90.0	1.04
/ /	GALENTINE, ASHLEY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.03	0.00	4.03	90.0	3.63
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	41.60	1.66	0.00	1.66	90.0	1.49
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	48.53	1.94	0.00	1.94	90.0	1.75
10/19/2017	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	34.67	1.39	0.00	1.39	90.0	1.25
/ /	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.98	0.00	0.98	90.0	0.88
/ /	HOEFFEL, MARCIA	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.07	0.00	0.07	90.0	0.06
/ /	HELLER, ADAM	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.26	0.00	0.26	90.0	0.23
/ /	BERNDT, JAMIE	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.13	0.00	0.13	90.0	0.12
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.60	0.00	1.60	90.0	1.44
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	2.74	0.00	2.74	90.0	2.47
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.46	0.00	1.46	90.0	1.31
/ /	RUSK, RANDALL F	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.17	0.00	0.17	90.0	0.15
/ /	GOULET, LETTA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	2.30	0.00	2.30	90.0	2.07
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	4.75	0.00	4.75	90.0	4.28
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	7.66	0.00	7.66	90.0	6.89
/ /	WILLIAMS, BEVERLY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	4.39	0.00	4.39	90.0	3.95
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.16	0.00	1.16	90.0	1.04
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.21	0.00	1.21	90.0	1.09
/ /	LINNEMEIER, JAY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.69	0.00	0.69	90.0	0.62
/ /	PEPPLE, GLEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	4.52	0.00	4.52	90.0	4.07
/ /	HOEFFEL, MARCIA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.25	0.00	0.25	90.0	0.23
/ /	STEBING, MATTHEW	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.49	0.00	0.49	90.0	0.44
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.12	0.00	1.12	90.0	1.01
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.85	0.00	0.85	90.0	0.77
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.80	0.00	0.80	90.0	0.72
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.54	0.00	0.54	90.0	0.49
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.04	0.00	0.04	90.0	0.04

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.04	0.00	0.04	90.0	0.04
/ /	HELLER, ADAM	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.85	0.00	1.85	90.0	1.67
/ /	SAMELS, GREGORY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.19	0.00	0.19	90.0	0.17
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.14	0.00	1.14	90.0	1.03
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	2.09	0.00	2.09	90.0	1.88
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.03	0.00	1.03	90.0	0.93
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.48	0.00	0.48	90.0	0.43
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.34	0.00	0.34	90.0	0.31
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.31	0.00	0.31	90.0	0.28
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.24	0.00	0.24	90.0	0.22
/ /	JACKSON, NICK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.30	0.00	0.30	90.0	0.27
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/12/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	50.00	2.38	0.00	2.38	90.0	2.14
10/13/2017	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	55.00	2.61	0.00	2.61	90.0	2.35
10/13/2017	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
10/13/2017	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
09/30/2017	HODAPP, CYNTHIA	BLACKROCK 19452P784	0.00	0.10	0.00	0.10	90.0	0.09
09/30/2017	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.30	0.00	0.30	90.0	0.27
09/30/2017	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.53	0.00	0.53	90.0	0.48
10/01/2017	JACKSON, BRENDA	DAVIS NEW YORK VENTURE A	0.00	3.79	0.00	3.79	90.0	3.41
10/24/2017	CRAWFORD, JOHN	FIDELITY SELECT ENERGY PORTFOLIO	1,000.00	0.00	22.00	-22.00	90.0	-19.80
/ /	DRUHOT, SCOTT	INA 2025 ENROLLMENT PORTFOLIO CLAS	0.00	7.50	0.00	7.50	90.0	6.75
10/02/2017	MCBRIDE, KEITH	INVESCO AMERICAN FRANCHISE A	0.00	7.11	0.00	7.11	90.0	6.40
10/02/2017	DILLIE, KYLE	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	90.0	0.13
10/02/2017	DILLIE, KENNETH	INVESCO AMERICAN FRANCHISE A	0.00	59.69	0.00	59.69	90.0	53.72

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	MOELLERING, STEVEN	INVESCO AMERICAN FRANCHISE A	0.00	4.00	0.00	4.00	90.0	3.60
10/02/2017	MOELLERING, STEVEN	INVESCO AMERICAN VALUE A	0.00	3.61	0.00	3.61	90.0	3.25
10/02/2017	MCBRIDE, KEITH	INVESCO GBL SMALL & MID CAP GROWTH	0.00	10.22	0.00	10.22	90.0	9.20
10/16/2017	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	90.0	3.60
10/03/2017	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	90.0	3.60
10/16/2017	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	90.0	-10.80
10/16/2017	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$5,700.20	\$817.43	\$46.00	\$771.43		\$694.44
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/15/2017	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	90.0	0.90
* VARIABLE ANNUITIES SUBTOTAL *			\$50.00	\$1.00	\$0.00	\$1.00		\$0.90
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2017	ALANZA, SARAH	MAINSTAY	0.00	26.59	0.00	26.59	90.0	23.93
09/30/2017	WILLIAMS, BARBARA	MAINSTAY	0.00	0.72	0.00	0.72	90.0	0.65
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$27.31	\$0.00	\$27.31		\$24.58
*** BROKER TRANSACTIONS TOTAL ***			\$5,850.20	\$1,307.13	\$46.00	\$1,261.13		\$1,135.16

SPLIT TRANSACTIONS**BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #10**

/ /	MARKS, RICHARD	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.38	0.00	0.38	90.0	0.34
* L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL *			\$0.00	\$0.38	\$0.00	\$0.38		\$0.34

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

10/16/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.75	0.00	1.75	90.0	1.58
10/24/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	200.00	3.50	7.70	-4.20	90.0	-3.78
10/24/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	300.00	5.25	7.70	-2.45	90.0	-2.21
10/17/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	90.0	7.88
10/16/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	90.0	3.15
10/17/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	90.0	7.88
/ /	LINN, ROSANNA	ASCENSUS 529-2034 ENROLLMENT PF CL	0.00	0.00	0.00	0.00	90.0	0.00
/ /	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	0.00	0.08	0.00	0.08	90.0	0.07
10/13/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	50.00	0.84	0.00	0.84	90.0	0.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
/ /	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.46	0.00	0.46	90.0	0.41
/ /	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.48	0.00	0.48	90.0	0.43
10/13/2017	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	0.84	0.00	0.84	90.0	0.76
/ /	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	0.76	0.00	0.76	90.0	0.68
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	8.37	0.00	8.37	90.0	7.53
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	6.24	0.00	6.24	90.0	5.62
10/20/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
10/20/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
/ /	CRAWFORD, JOHN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.01	0.00	0.01	90.0	0.01
/ /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.73	0.00	1.73	90.0	1.56
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.19	0.00	1.19	90.0	1.07
/ /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.57	0.00	0.57	90.0	0.51
10/09/2017	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	50.00	0.57	0.00	0.57	90.0	0.51
/ /	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.19	0.00	0.19	90.0	0.17
10/20/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.13	0.00	0.13	90.0	0.12
/ /	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.59	0.00	1.59	90.0	1.43
/ /	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.18	0.00	0.18	90.0	0.16
10/20/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	90.0	0.09
/ /	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.41	0.00	0.41	90.0	0.37
/ /	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	1.55	0.00	1.55	90.0	1.40
/ /	LINN, ROSANNA	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.28	0.00	0.28	90.0	0.25
/ /	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.36	0.00	0.36	90.0	0.32
/ /	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.53	0.00	0.53	90.0	0.48
10/20/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
/ /	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.96	0.00	0.96	90.0	0.86
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.57	0.00	0.57	90.0	0.51
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.57	0.00	0.57	90.0	0.51
10/20/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.64	0.00	0.64	90.0	0.58
10/20/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
10/20/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
10/11/2017	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	15.18	0.00	15.18	90.0	13.66

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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>								
09/30/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.29	0.00	15.29	90.0	13.76
/ /	WALLS, ELENA	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.33	0.00	1.33	90.0	1.20
/ /	WALLS, THOMAS	INA 2028 ENROLLMENT PORT CL A	0.00	0.73	0.00	0.73	90.0	0.66
/ /	HEFFELFINGER, TAMMY	INA 2028 ENROLLMENT PORT CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	0.00	0.83	0.00	0.83	90.0	0.75
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$2,180.00	\$97.16	\$15.40	\$81.76		\$73.59
*** SPLIT TRANSACTIONS TOTAL ***			\$2,180.00	\$97.54	\$15.40	\$82.14		\$73.93

VERRIDE TRANSACTIONS

<u>BROKER: WILLIAM LAYMAN #10</u>								
/ /	BOUTWELL BENEFICIARY, LILLIAN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.61	0.00	0.61	45.0	0.27
* WILLIAM LAYMAN SUBTOTAL *			\$0.00	\$0.61	\$0.00	\$0.61		\$0.27
<u>BROKER: WILLIAM LAYMAN #207</u>								
10/16/2017	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
/ /	BOUTWELL BENEFICIARY, LILLIAN	ASCENSUS INA 2019 ENROLLMENT PORT C	0.00	1.62	0.00	1.62	45.0	0.73
/ /	BOUTWELL BENEFICIARY, LILLIAN	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	1.22	0.00	1.22	45.0	0.55
/ /	BENEFICIAR, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.16	0.00	0.16	45.0	0.07
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.22	0.00	1.22	45.0	0.55
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	0.97	0.00	0.97	45.0	0.44
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.25	0.00	1.25	45.0	0.56
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.25	0.00	1.25	45.0	0.56
* WILLIAM LAYMAN SUBTOTAL *			\$300.00	\$22.69	\$0.00	\$22.69		\$10.21
*** OVERRIDE TRANSACTIONS TOTAL ***			\$300.00	\$23.30	\$0.00	\$23.30		\$10.48

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BROKER COMMISSION TOTALS

Broker Transactions	\$1,135.16
Split Transactions	\$73.93
Override Transactions	\$10.48
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	\$1,219.57
Year-to-date Gross	\$48,260.02
Year-to-date Earnings	\$42,234.52