

**COMMISSION STATEMENT****April 15, 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> | | | | | | | | |
| 04/02/2018 | ELLIOTT, RANDALL | VANGUARD HIGH DIVIDEND YIELD INDEX | 10,000.00 | 0.00 | 22.00 | -22.00 | 80.0 | -17.60 |
| 04/02/2018 | ELLIOTT, RANDALL | VANGUARD HIGH YIELD CORPORATE BOND | -58,052.66 | 0.00 | 22.00 | -22.00 | 80.0 | -17.60 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$-48,052.66 | \$0.00 | \$44.00 | \$-44.00 | | \$-35.20 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | \$-48,052.66 | \$0.00 | \$44.00 | \$-44.00 | | \$-35.20 |

| | | | | | | | | |
|---|-------------------|-------------------------------------|-------------------|-----------------|---------------|-----------------|------|-----------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 03/29/2018 | SAYA, CHRISTINE | INA AMER FDS EUROPAC GROWT A | 2.50 | 0.12 | 0.00 | 0.12 | 80.0 | 0.10 |
| 04/06/2018 | SIEGER, NORMAN | INA AMER FDS EUROPAC GROWT A | 42.00 | 2.00 | 0.00 | 2.00 | 80.0 | 1.60 |
| 03/29/2018 | SAYA, CHRISTINE | INA BOSTON COMPANY DYNAMIC LARGE CA | 8.75 | 0.42 | 0.00 | 0.42 | 80.0 | 0.34 |
| 04/04/2018 | GALENTINE, ASHLEY | INA BOSTON COMPANY DYNAMIC LARGE CA | 50.00 | 2.38 | 0.00 | 2.38 | 80.0 | 1.90 |
| 04/06/2018 | GOODMAN, LAUREN | INA BOSTON COMPANY DYNAMIC LARGE CA | 50.00 | 2.38 | 0.00 | 2.38 | 80.0 | 1.90 |
| 04/06/2018 | GOODMAN, LAUREN | INA BOSTON COMPANY DYNAMIC LARGE CA | 50.00 | 2.38 | 0.00 | 2.38 | 80.0 | 1.90 |
| 04/06/2018 | SIEGER, NORMAN | INA BOSTON COMPANY DYNAMIC LARGE CA | 168.00 | 7.98 | 0.00 | 7.98 | 80.0 | 6.38 |
| 03/29/2018 | FREEZE, CORTNEY | INA DIAMOND HILL SM-MID CAP PORTF A | 18.00 | 0.86 | 0.00 | 0.86 | 80.0 | 0.69 |
| 04/02/2018 | STANSBERRY, NANCY | INA SHORT TERM TREAS INDEX PORT A | 1,000.00 | 32.50 | 0.00 | 32.50 | 80.0 | 26.00 |
| 04/06/2018 | GOODMAN, LAUREN | INA SHORT TERM TREAS INDEX PORT A | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| 04/06/2018 | GOODMAN, LAUREN | INA SHORT TERM TREAS INDEX PORT A | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| 04/02/2018 | STANSBERRY, NANCY | INA TIPS INDEX PORT CLASS A | 3,000.00 | 97.50 | 0.00 | 97.50 | 80.0 | 78.00 |
| 04/06/2018 | GOODMAN, LAUREN | INA TIPS INDEX PORT CLASS A | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| 04/06/2018 | GOODMAN, LAUREN | INA TIPS INDEX PORT CLASS A | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| * 529 PLANS SUBTOTAL * | | | \$4,589.25 | \$155.04 | \$0.00 | \$155.04 | | \$124.01 |

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

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 04/02/2018 | ROOS, DEBORAH | AM FUNDS AMCAP A | 100.00 | 4.25 | 0.00 | 4.25 | 80.0 | 3.40 |
| 03/28/2018 | ISLEY, TERRY | AM FUNDS AMERICAN BALANCED A | 100.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| 04/02/2018 | SEELY, BRENDAN | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| 04/02/2018 | HUNTER, JENNIFER | AM FUNDS CAPITAL INCOME BUILDER A | 50.00 | 1.88 | 0.00 | 1.88 | 80.0 | 1.50 |
| 03/28/2018 | HERRIMAN, JANET | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| 04/02/2018 | HUNTER, JENNIFER | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.88 | 0.00 | 1.88 | 80.0 | 1.50 |
| 04/02/2018 | GOODMAN, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 500.00 | 13.75 | 0.00 | 13.75 | 80.0 | 11.00 |
| 04/02/2018 | HUNTER, JENNIFER | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 1.88 | 0.00 | 1.88 | 80.0 | 1.50 |
| 03/26/2018 | ROEMER, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| 03/26/2018 | WIKTOROWICZ, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 250.00 | 12.50 | 0.00 | 12.50 | 80.0 | 10.00 |
| 03/29/2018 | SAMUDIO, SHERRY | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 4.25 | 0.00 | 4.25 | 80.0 | 3.40 |
| 04/02/2018 | HUNTER, JENNIFER | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.88 | 0.00 | 1.88 | 80.0 | 1.50 |
| 04/02/2018 | DAGER, DONNA | AM FUNDS NEW ECONOMY A | 100.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| 04/02/2018 | HUNTER, JENNIFER | AM FUNDS NEW WORLD A | 50.00 | 1.88 | 0.00 | 1.88 | 80.0 | 1.50 |
| 04/02/2018 | GOODMAN, ROBERT | AM FUNDS NEW WORLD A | 500.00 | 13.75 | 0.00 | 13.75 | 80.0 | 11.00 |
| 04/02/2018 | RAMUS, ERIC | AM FUNDS NEW WORLD A | 50.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| 04/02/2018 | GOODMAN, ROBERT | AM FUNDS SMALLCAP WORLD A | 500.00 | 13.75 | 0.00 | 13.75 | 80.0 | 11.00 |
| 03/29/2018 | SAMUDIO, SHERRY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 100.00 | 4.25 | 0.00 | 4.25 | 80.0 | 3.40 |
| 03/29/2018 | SAYA, CHRISTINE | ASCENSUS INA PIMCO TOTAL RETURN POR | 5.00 | 0.16 | 0.00 | 0.16 | 80.0 | 0.13 |
| 04/02/2018 | STANSBERRY, NANCY | ASCENSUS INA PIMCO TOTAL RETURN POR | 1,000.00 | 32.50 | 0.00 | 32.50 | 80.0 | 26.00 |
| 04/06/2018 | GOODMAN, LAUREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| 04/06/2018 | GOODMAN, LAUREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 50.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| 04/06/2018 | SIEGER, NORMAN | ASCENSUS INA PIMCO TOTAL RETURN POR | 42.00 | 1.37 | 0.00 | 1.37 | 80.0 | 1.10 |
| 03/29/2018 | SAYA, CHRISTINE | ASCENSUS INA T ROWE PRICE LG CAP GR | 8.75 | 0.42 | 0.00 | 0.42 | 80.0 | 0.34 |
| 04/04/2018 | GALENTINE, ASHLEY | ASCENSUS INA T ROWE PRICE LG CAP GR | 50.00 | 2.38 | 0.00 | 2.38 | 80.0 | 1.90 |
| 04/06/2018 | SIEGER, NORMAN | ASCENSUS INA T ROWE PRICE LG CAP GR | 168.00 | 7.98 | 0.00 | 7.98 | 80.0 | 6.38 |
| 03/29/2018 | FREEZE, CORTNEY | ASCENSUS-INA CORE BOND INDEX PF CL | 10.00 | 0.33 | 0.00 | 0.33 | 80.0 | 0.26 |
| 03/29/2018 | FREEZE, CORTNEY | INA INTER EQTY INDEX PORTF A | 25.00 | 1.19 | 0.00 | 1.19 | 80.0 | 0.95 |
| 03/27/2018 | JACKSON, BRENDA | INA LG CAP INDEX PORT CLASS A | 150.00 | 7.13 | 0.00 | 7.13 | 80.0 | 5.70 |
| 03/29/2018 | FREEZE, CORTNEY | INA LG CAP INDEX PORT CLASS A | 47.00 | 2.23 | 0.00 | 2.23 | 80.0 | 1.78 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$4,305.75 | \$154.11 | \$0.00 | \$154.11 | | \$123.24 |

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|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 03/31/2018 | POSTMA, THELMA | JNL PERSPECTIVE II | 20,405.88 | 8.50 | 0.00 | 8.50 | 80.0 | 6.80 |
| 03/31/2018 | SENGER, LYNDIA | PRU AS LIFEVEST II | 113,504.05 | 212.82 | 0.00 | 212.82 | 80.0 | 170.26 |
| 03/31/2018 | SENGER, LYNDIA | PRU AS LIFEVEST II | 113,504.05 | 70.94 | 0.00 | 70.94 | 80.0 | 56.75 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$247,413.98 | \$292.26 | \$0.00 | \$292.26 | | \$233.81 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/15/2018 | BERNDT, TODD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.68 | 0.00 | 0.68 | 80.0 | 0.54 |
| 03/15/2018 | KAUFFMAN, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.79 | 0.00 | 0.79 | 80.0 | 0.63 |
| 03/15/2018 | FEDLER, CHARLES | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.09 | 0.00 | 1.09 | 80.0 | 0.87 |
| 03/15/2018 | ARCHBOLD, DANNY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.42 | 0.00 | 0.42 | 80.0 | 0.34 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.24 | 0.00 | 11.24 | 80.0 | 8.99 |
| 03/15/2018 | WILLIAMS, BARBARA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| 03/15/2018 | HOFFMAN, MARK | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.66 | 0.00 | 0.66 | 80.0 | 0.53 |
| 03/15/2018 | ARCHBOLD, DANNY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.43 | 0.00 | 0.43 | 80.0 | 0.34 |
| 03/15/2018 | WILLIAMS, BARBARA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.70 | 0.00 | 0.70 | 80.0 | 0.56 |
| 03/15/2018 | HOFFMAN, MARK | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |
| 03/15/2018 | KAUFFMAN, JAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.31 | 0.00 | 1.31 | 80.0 | 1.05 |
| 03/15/2018 | KAUFFMAN, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.73 | 0.00 | 0.73 | 80.0 | 0.58 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.38 | 0.00 | 8.38 | 80.0 | 6.70 |
| 03/15/2018 | REMENSCHNEIDER, MARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.39 | 0.00 | 0.39 | 80.0 | 0.31 |
| 03/15/2018 | TYGER, CATHIE | AM FUNDS CAPITAL WORLD BOND C | 0.00 | 1.99 | 0.00 | 1.99 | 80.0 | 1.59 |
| 03/15/2018 | KAUFFMAN, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.78 | 0.00 | 0.78 | 80.0 | 0.62 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.27 | 0.00 | 6.27 | 80.0 | 5.02 |
| 03/15/2018 | WILLIAMS, BARBARA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.24 | 0.00 | 0.24 | 80.0 | 0.19 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.07 | 0.00 | 5.07 | 80.0 | 4.06 |
| 03/15/2018 | BERNDT, TODD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.60 | 0.00 | 0.60 | 80.0 | 0.48 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.64 | 0.00 | 6.64 | 80.0 | 5.31 |
| 03/15/2018 | WILLIAMS, BARBARA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS ICA A | 0.00 | 4.59 | 0.00 | 4.59 | 80.0 | 3.67 |
| 03/15/2018 | BERNDT, TODD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.54 | 0.00 | 5.54 | 80.0 | 4.43 |
| 03/15/2018 | WILLIAMS, BARBARA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.47 | 0.00 | 0.47 | 80.0 | 0.38 |
| 03/15/2018 | REMENSCHNEIDER, MARY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.37 | 0.00 | 0.37 | 80.0 | 0.30 |
| 03/15/2018 | HOFFMAN, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |

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|---|-------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/15/2018 | HOFFMAN, MARK | AM FUNDS MORTGAGE A | 0.00 | 0.73 | 0.00 | 0.73 | 80.0 | 0.58 |
| 03/15/2018 | TYGER, CATHIE | AM FUNDS MORTGAGE C | 0.00 | 1.89 | 0.00 | 1.89 | 80.0 | 1.51 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS NEW PERSPECTIVE A | 0.00 | 6.13 | 0.00 | 6.13 | 80.0 | 4.90 |
| 03/15/2018 | ZINN, ROBERT | AM FUNDS NEW WORLD A | 0.00 | 5.37 | 0.00 | 5.37 | 80.0 | 4.30 |
| 03/15/2018 | TYGER, CATHIE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 3.72 | 0.00 | 3.72 | 80.0 | 2.98 |
| 03/15/2018 | TYGER, CATHIE | AMERICAN FUNDS INFLATION LINKED BON | 0.00 | 3.86 | 0.00 | 3.86 | 80.0 | 3.09 |
| 02/28/2018 | HODAPP, CYNTHIA | BLACKROCK 19452P784 | 0.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 02/28/2018 | MCFEETERS, VALERIE | BLK CAPITAL APPRECIATION A | 0.00 | 0.35 | 0.00 | 0.35 | 80.0 | 0.28 |
| 02/28/2018 | GILROY, MATTHEW | BLK INTL OPP A | 0.00 | 0.52 | 0.00 | 0.52 | 80.0 | 0.42 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 2,456.67 | 0.52 | 0.00 | 0.52 | 80.0 | 0.42 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 2,238.86 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 2,809.88 | 0.60 | 0.00 | 0.60 | 80.0 | 0.48 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 2,411.45 | 0.51 | 0.00 | 0.51 | 80.0 | 0.41 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 5,144.79 | 1.09 | 0.00 | 1.09 | 80.0 | 0.87 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 942.69 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 1,917.25 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 1,533.09 | 0.33 | 0.00 | 0.33 | 80.0 | 0.26 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 7,155.83 | 1.52 | 0.00 | 1.52 | 80.0 | 1.22 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 3,486.23 | 0.74 | 0.00 | 0.74 | 80.0 | 0.59 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 4,154.08 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| 03/31/2018 | LAYMAN, VARIOUS | DREYFUS | 9,137.14 | 1.94 | 0.00 | 1.94 | 80.0 | 1.55 |
| 03/15/2018 | FEDLER, KIMBERLY | FRANKLIN EQUITY INCOME A | 0.00 | 0.59 | 0.00 | 0.59 | 80.0 | 0.47 |
| 03/15/2018 | FEDLER, CHARLES | FRANKLIN EQUITY INCOME A | 0.00 | 0.59 | 0.00 | 0.59 | 80.0 | 0.47 |
| 03/15/2018 | FEDLER, KIMBERLY | FRANKLIN INCOME A | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |
| 03/15/2018 | FEDLER, CHARLES | FRANKLIN INCOME A | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |
| 03/15/2018 | RANEY, GLEN | FRANKLIN RISING DIVIDENDS C | 0.00 | 2.28 | 0.00 | 2.28 | 80.0 | 1.82 |
| 03/19/2018 | DERBYSHIRE TRUST, KAREN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 4.77 | 0.00 | 4.77 | 80.0 | 3.82 |
| 03/19/2018 | DERBYSHIRE TRUST, KAREN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 14.30 | 0.00 | 14.30 | 80.0 | 11.44 |
| 03/19/2018 | DERBYSHIRE, JAMES | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 5.02 | 0.00 | 5.02 | 80.0 | 4.02 |
| 03/19/2018 | DERBYSHIRE, JAMES | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 15.05 | 0.00 | 15.05 | 80.0 | 12.04 |
| 03/19/2018 | HARMEYER, SHARYN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 7.95 | 0.00 | 7.95 | 80.0 | 6.36 |
| 03/19/2018 | HARMEYER, SHARYN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 23.86 | 0.00 | 23.86 | 80.0 | 19.09 |
| 03/19/2018 | WILLING, LEONARD | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 7.86 | 0.00 | 7.86 | 80.0 | 6.29 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/19/2018 | WILLING, LEONARD | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 23.59 | 0.00 | 23.59 | 80.0 | 18.87 |
| 03/19/2018 | PEPPLE, GLEN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 2.94 | 0.00 | 2.94 | 80.0 | 2.35 |
| 03/19/2018 | PEPPLE, GLEN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 8.82 | 0.00 | 8.82 | 80.0 | 7.06 |
| 03/19/2018 | BYRUM JR, GERALD | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 8.89 | 0.00 | 8.89 | 80.0 | 7.11 |
| 03/19/2018 | BYRUM JR, GERALD | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 26.68 | 0.00 | 26.68 | 80.0 | 21.34 |
| 03/19/2018 | MURPHY, SUSAN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 9.83 | 0.00 | 9.83 | 80.0 | 7.86 |
| 03/19/2018 | MURPHY, SUSAN | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 29.49 | 0.00 | 29.49 | 80.0 | 23.59 |
| 03/19/2018 | DAILEY, RITA | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 10.01 | 0.00 | 10.01 | 80.0 | 8.01 |
| 03/19/2018 | DAILEY, RITA | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 30.03 | 0.00 | 30.03 | 80.0 | 24.02 |
| 03/19/2018 | ZEEDYK, JANET | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 7.50 | 0.00 | 7.50 | 80.0 | 6.00 |
| 03/19/2018 | ZEEDYK, JANET | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 22.50 | 0.00 | 22.50 | 80.0 | 18.00 |
| 03/19/2018 | BUSH, SANDRA | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 7.90 | 0.00 | 7.90 | 80.0 | 6.32 |
| 03/19/2018 | BUSH, SANDRA | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 23.69 | 0.00 | 23.69 | 80.0 | 18.95 |
| 03/19/2018 | DIETSCH, DANIEL | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 8.82 | 0.00 | 8.82 | 80.0 | 7.06 |
| 03/19/2018 | DIETSCH, DANIEL | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 26.45 | 0.00 | 26.45 | 80.0 | 21.16 |
| 03/19/2018 | HINCKS, ELIZABETH A LIF | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 4.96 | 0.00 | 4.96 | 80.0 | 3.97 |
| 03/19/2018 | HINCKS, ELIZABETH A LIF | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 14.89 | 0.00 | 14.89 | 80.0 | 11.91 |
| 03/15/2018 | KAUFFMAN, JOHN | INFLATION LINKED BOND FUND A | 0.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| 03/15/2018 | KAUFFMAN, JAN | INFLATION LINKED BOND FUND A | 0.00 | 1.11 | 0.00 | 1.11 | 80.0 | 0.89 |
| 03/15/2018 | KAUFFMAN, JOHN | INFLATION LINKED BOND FUND A | 0.00 | 0.94 | 0.00 | 0.94 | 80.0 | 0.75 |
| 03/15/2018 | FEDLER, CHARLES | INFLATION LINKED BOND FUND A | 0.00 | 0.78 | 0.00 | 0.78 | 80.0 | 0.62 |
| 03/15/2018 | REMENSCHNEIDER, MARY | INFLATION LINKED BOND FUND A | 0.00 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| 03/15/2018 | HOFFMAN, MARK | INFLATION LINKED BOND FUND A | 0.00 | 0.74 | 0.00 | 0.74 | 80.0 | 0.59 |
| 03/19/2018 | FEDLER, CHARLES | LORD ABBETT BOND DEBENTURE A | 0.00 | 0.77 | 0.00 | 0.77 | 80.0 | 0.62 |
| 03/19/2018 | ZINN, ROBERT | LORD ABBETT BOND DEBENTURE A | 0.00 | 4.92 | 0.00 | 4.92 | 80.0 | 3.94 |
| 03/19/2018 | ZINN, ROBERT | LORD ABBETT INCOME A | 0.00 | 1.78 | 0.00 | 1.78 | 80.0 | 1.42 |
| 03/19/2018 | COLCORD, ALNETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 28.59 | 0.00 | 28.59 | 80.0 | 22.87 |
| 04/01/2018 | GETTYS, JARRAD | MFS AGGRESSIVE GROWTH ALLOCATION A | 0.00 | 4.40 | 0.00 | 4.40 | 80.0 | 3.52 |
| 04/01/2018 | GETTYS, JARRAD | MFS AGGRESSIVE GROWTH ALLOCATION A | 0.00 | 8.79 | 0.00 | 8.79 | 80.0 | 7.03 |
| / / | JACOT, ROBERT | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 29.04 | 0.00 | 29.04 | 80.0 | 23.23 |
| / / | SCHUCH, AUTUMN | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 12.67 | 0.00 | 12.67 | 80.0 | 10.14 |
| / / | GOODLANDER, GERALD | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 1.53 | 0.00 | 1.53 | 80.0 | 1.22 |
| / / | MCDONALD, TINA | OPPENHEIMER CAPITAL APPRECIATION C | 0.00 | 8.25 | 0.00 | 8.25 | 80.0 | 6.60 |

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** - Indicates adjustment is not included in Totals or Commissions

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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: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | SEELY, CHARLES | OPPENHEIMER CAPITAL INCOME FUND C | 0.00 | 31.93 | 0.00 | 31.93 | 80.0 | 25.54 |
| / / | SEELY, CHARLES | OPPENHEIMER CAPITAL INCOME FUND C | 0.00 | 24.22 | 0.00 | 24.22 | 80.0 | 19.38 |
| / / | SEELY, CHARLES | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 15.19 | 0.00 | 15.19 | 80.0 | 12.15 |
| / / | SEELY, CHARLES | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 11.68 | 0.00 | 11.68 | 80.0 | 9.34 |
| / / | ZINN, DIANE | OPPENHEIMER DISCOVERY A | 0.00 | 1.22 | 0.00 | 1.22 | 80.0 | 0.98 |
| / / | ZINN, JEFFREY | OPPENHEIMER DISCOVERY A | 0.00 | 1.22 | 0.00 | 1.22 | 80.0 | 0.98 |
| / / | JACOT, ROBERT | OPPENHEIMER DISCOVERY A | 0.00 | 31.64 | 0.00 | 31.64 | 80.0 | 25.31 |
| / / | STEURY, MICHAEL | OPPENHEIMER EMERG MKTS INNOV | 0.00 | 2.26 | 0.00 | 2.26 | 80.0 | 1.81 |
| / / | HODAPP, PETER | OPPENHEIMER EQUITY INCOME A | 0.00 | 4.02 | 0.00 | 4.02 | 80.0 | 3.22 |
| / / | ZINN, DIANE | OPPENHEIMER GLOBAL A | 0.00 | 1.37 | 0.00 | 1.37 | 80.0 | 1.10 |
| / / | ZINN, JEFFREY | OPPENHEIMER GLOBAL A | 0.00 | 1.37 | 0.00 | 1.37 | 80.0 | 1.10 |
| / / | ZINN, JEFFREY | OPPENHEIMER GLOBAL A | 0.00 | 2.55 | 0.00 | 2.55 | 80.0 | 2.04 |
| / / | JACOT, CAROL | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 8.24 | 0.00 | 8.24 | 80.0 | 6.59 |
| / / | JACOT, ROBERT | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 12.73 | 0.00 | 12.73 | 80.0 | 10.18 |
| / / | STEURY, MICHAEL | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 2.35 | 0.00 | 2.35 | 80.0 | 1.88 |
| / / | STEURY, MICHAEL | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.93 | 0.00 | 1.93 | 80.0 | 1.54 |
| / / | OAR, WARREN | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 4.42 | 0.00 | 4.42 | 80.0 | 3.54 |
| / / | SEELY, CHARLES | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 11.91 | 0.00 | 11.91 | 80.0 | 9.53 |
| / / | BERNDT, GARY | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 8.19 | 0.00 | 8.19 | 80.0 | 6.55 |
| / / | SEELY, CHARLES | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 14.69 | 0.00 | 14.69 | 80.0 | 11.75 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.70 | 0.00 | 0.70 | 80.0 | 0.56 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 4.20 | 0.00 | 4.20 | 80.0 | 3.36 |
| / / | STEURY, MICHAEL | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 1.63 | 0.00 | 1.63 | 80.0 | 1.30 |
| / / | OAR, WARREN | OPPENHEIMER INTL BOND A | 0.00 | 3.90 | 0.00 | 3.90 | 80.0 | 3.12 |
| / / | JACOT, ROBERT | OPPENHEIMER INTL GROWTH A | 0.00 | 27.79 | 0.00 | 27.79 | 80.0 | 22.23 |
| / / | ZINN, DIANE | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.56 | 0.00 | 0.56 | 80.0 | 0.45 |
| / / | ZINN, JEFFREY | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.56 | 0.00 | 0.56 | 80.0 | 0.45 |
| / / | BERNDT, GARY | OPPENHEIMER LIMITED-TERM GOV'T FUND | 0.00 | 4.83 | 0.00 | 4.83 | 80.0 | 3.86 |
| / / | JACOT, ROBERT | OPPENHEIMER MAIN STREET A | 0.00 | 51.04 | 0.00 | 51.04 | 80.0 | 40.83 |
| / / | ZINN, DIANE | OPPENHEIMER MAIN STREET OPP A | 0.00 | 1.64 | 0.00 | 1.64 | 80.0 | 1.31 |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET OPP A | 0.00 | 1.64 | 0.00 | 1.64 | 80.0 | 1.31 |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 1.78 | 0.00 | 1.78 | 80.0 | 1.42 |
| / / | ZINN, DIANE | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 2.77 | 0.00 | 2.77 | 80.0 | 2.22 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| / / | ZINN, JEFFREY | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 2.77 | 0.00 | 2.77 | 80.0 | 2.22 |
| / / | STEURY, MICHAEL | OPPENHEIMER PORT SERIES ACTIVE ALLO | 0.00 | 11.42 | 0.00 | 11.42 | 80.0 | 9.14 |
| / / | SCHUELKE, THOMAS | OPPENHEIMER PORT SERIES ACTIVE ALLO | 0.00 | 3.58 | 0.00 | 3.58 | 80.0 | 2.86 |
| / / | HARTOG, MAX | OPPENHEIMER PORTF SER: ACTV ALLOC F | 0.00 | 8.11 | 0.00 | 8.11 | 80.0 | 6.49 |
| / / | SHOCK, JACK | OPPENHEIMER PORTF SER: ACTV ALLOC F | 0.00 | 3.05 | 0.00 | 3.05 | 80.0 | 2.44 |
| / / | GOODLANDER, GERALD | OPPENHEIMER PORTF SER: MOD INV FUND | 0.00 | 3.75 | 0.00 | 3.75 | 80.0 | 3.00 |
| / / | STEURY, MICHAEL | OPPENHEIMER PORTF SER: MOD INV FUND | 0.00 | 0.99 | 0.00 | 0.99 | 80.0 | 0.79 |
| / / | GALENTINE, JUSTIN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 11.15 | 0.00 | 11.15 | 80.0 | 8.92 |
| / / | ZINN, DIANE | OPPENHEIMER RISING DIVIDENDS A | 0.00 | 1.62 | 0.00 | 1.62 | 80.0 | 1.30 |
| / / | ZINN, JEFFREY | OPPENHEIMER RISING DIVIDENDS A | 0.00 | 1.62 | 0.00 | 1.62 | 80.0 | 1.30 |
| / / | STEURY, MICHAEL | OPPENHEIMER RISING DIVIDENDS A | 0.00 | 1.22 | 0.00 | 1.22 | 80.0 | 0.98 |
| / / | OAR, WARREN | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 3.36 | 0.00 | 3.36 | 80.0 | 2.69 |
| / / | ZINN, DIANE | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 1.93 | 0.00 | 1.93 | 80.0 | 1.54 |
| / / | ZINN, JEFFREY | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 1.93 | 0.00 | 1.93 | 80.0 | 1.54 |
| / / | SEELY, CHARLES | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 12.30 | 0.00 | 12.30 | 80.0 | 9.84 |
| / / | MESEKE, GILBERT | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 18.94 | 0.00 | 18.94 | 80.0 | 15.15 |
| / / | SEELY, CHARLES | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 6.95 | 0.00 | 6.95 | 80.0 | 5.56 |
| / / | BERNDT, GARY | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 8.92 | 0.00 | 8.92 | 80.0 | 7.14 |
| / / | MCDONALD, TINA | OPPENHEIMER SMALL MID CAP VALUE C | 0.00 | 7.91 | 0.00 | 7.91 | 80.0 | 6.33 |
| / / | BERNDT, GARY | OPPENHEIMER US GOVT TRUST C | 0.00 | 5.02 | 0.00 | 5.02 | 80.0 | 4.02 |
| / / | SEELY, CHARLES | OPPENHEIMER US GOVT TRUST C | 0.00 | 11.22 | 0.00 | 11.22 | 80.0 | 8.98 |
| / / | SEELY, CHARLES | OPPENHEIMER US GOVT TRUST C | 0.00 | 5.39 | 0.00 | 5.39 | 80.0 | 4.31 |
| 03/15/2018 | ELLIOTT, RANDALL | TEMPLETON WORLD A | 0.00 | 10.44 | 0.00 | 10.44 | 80.0 | 8.35 |
| 04/03/2018 | URICK, DANIEL | TRANSAMERICA CAPITAL GROWTH A | 0.00 | 20.75 | 0.00 | 20.75 | 80.0 | 16.60 |
| 04/03/2018 | RUSSELL, TAYLOR | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 04/03/2018 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 2.27 | 0.00 | 2.27 | 80.0 | 1.82 |
| 04/03/2018 | URICK, DANIEL | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 15.98 | 0.00 | 15.98 | 80.0 | 12.78 |
| 03/20/2018 | ZINN, ROBERT | TRANSAMERICA FLEXIBLE INCOME A | 0.00 | 6.94 | 0.00 | 6.94 | 80.0 | 5.55 |
| 04/03/2018 | URICK, DANIEL | TRANSAMERICA MULTI-MANAGED BAL A | 0.00 | 2.65 | 0.00 | 2.65 | 80.0 | 2.12 |
| 04/03/2018 | LUDWIG, KENDRA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 2.58 | 0.00 | 2.58 | 80.0 | 2.06 |
| 04/03/2018 | URICK, DANIEL | TRANSAMERICA SMALL/MID CAP VALUE A | 0.00 | 2.39 | 0.00 | 2.39 | 80.0 | 1.91 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$43,387.96 | \$1,042.77 | \$0.00 | \$1,042.77 | | \$834.18 |

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|--|----------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 03/31/2018 | SIEBER, PAUL | ING ESII | 120,114.56 | 75.07 | 0.00 | 75.07 | 80.0 | 60.06 |
| 03/31/2018 | MORHART, JAMES | LINCOLN BENEFIT TRAIL RENEWALS | 126,769.72 | 126.77 | 0.00 | 126.77 | 80.0 | 101.42 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$246,884.28 | \$201.84 | \$0.00 | \$201.84 | | \$161.48 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$546,581.22 | \$1,846.02 | \$0.00 | \$1,846.02 | | \$1,476.72 |

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

| | | | | | | | | |
|---|------------------|-------------------------------------|-----------------|---------------|---------------|---------------|------|---------------|
| 03/27/2018 | JOHNSON, ERIC | INA 2022 ENROLLMENT PORT CLASS A | 100.00 | 1.66 | 0.00 | 1.66 | 80.0 | 1.33 |
| / / | EGLY, KEITH | INA BOSTON COMPANY DYNAMIC LARGE CA | 0.00 | 0.17 | 0.00 | 0.17 | 80.0 | 0.14 |
| 03/29/2018 | HABESHY, BARBARA | INA BOSTON COMPANY DYNAMIC LARGE CA | 30.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 03/29/2018 | PETERSON, BRYAN | INA BOSTON COMPANY DYNAMIC LARGE CA | 25.00 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 04/06/2018 | EGLY, KEITH | INA BOSTON COMPANY DYNAMIC LARGE CA | 50.00 | 0.17 | 0.00 | 0.17 | 80.0 | 0.14 |
| 04/06/2018 | EGLY, KEITH | INA BOSTON COMPANY DYNAMIC LARGE CA | 50.00 | 0.84 | 0.00 | 0.84 | 80.0 | 0.67 |
| 03/29/2018 | HABESHY, BARBARA | INA TIPS INDEX PORT CLASS C | 70.00 | 0.24 | 0.00 | 0.24 | 80.0 | 0.19 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL * | | | \$325.00 | \$3.59 | \$0.00 | \$3.59 | | \$2.88 |

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

| | | | | | | | | |
|------------|------------------|-------------------------------------|--------|------|------|------|------|------|
| 03/29/2018 | ROEBEL, DAVID | AM FUNDS 2020 TARGET DATE-A | 207.69 | 2.72 | 0.00 | 2.72 | 80.0 | 2.18 |
| 03/29/2018 | ROEBEL, DAVID | AM FUNDS 2020 TARGET DATE-A | 300.00 | 3.93 | 0.00 | 3.93 | 80.0 | 3.14 |
| 03/29/2018 | RICE, SCOTT | AM FUNDS 2025 TARGET DATE-A | 176.04 | 2.31 | 0.00 | 2.31 | 80.0 | 1.85 |
| 03/29/2018 | RICE, SCOTT | AM FUNDS 2025 TARGET DATE-A | 176.04 | 2.31 | 0.00 | 2.31 | 80.0 | 1.85 |
| 03/29/2018 | SCOTT, JAMES | AM FUNDS 2040 TARGET DATE-A | 207.69 | 2.72 | 0.00 | 2.72 | 80.0 | 2.18 |
| 03/29/2018 | SCOTT, JAMES | AM FUNDS 2040 TARGET DATE-A | 415.38 | 5.46 | 0.00 | 5.46 | 80.0 | 4.37 |
| 03/15/2018 | BRAUTZSCH, CHRIS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.28 | 0.00 | 0.28 | 80.0 | 0.22 |
| 03/15/2018 | CRAWFORD, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.19 | 0.00 | 0.19 | 80.0 | 0.15 |
| 03/15/2018 | COOK, JEANNIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 03/15/2018 | SORG, DAWN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.12 | 0.00 | 0.12 | 80.0 | 0.10 |
| 03/15/2018 | SORG, MAURICE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.39 | 0.00 | 0.39 | 80.0 | 0.31 |
| 03/15/2018 | CRAWFORD, GERALD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.14 | 0.00 | 0.14 | 80.0 | 0.11 |
| 03/15/2018 | BRAUTZSCH, CHRIS | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.28 | 0.00 | 0.28 | 80.0 | 0.22 |
| 03/15/2018 | CRAWFORD, JOHN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.22 | 0.00 | 0.22 | 80.0 | 0.18 |
| 03/15/2018 | CLINE, DAVIS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| 03/15/2018 | BRAUTZSCH, CHRIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.14 | 0.00 | 0.14 | 80.0 | 0.11 |

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|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u> | | | | | | | | |
| 03/15/2018 | BRAUTZSCH, CHRISTINE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.19 | 0.00 | 0.19 | 80.0 | 0.15 |
| 04/02/2018 | SHERWOOD, JULIE | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 0.87 | 0.00 | 0.87 | 80.0 | 0.70 |
| 03/15/2018 | BRAUTZSCH, CHRIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.17 | 0.00 | 0.17 | 80.0 | 0.14 |
| 03/15/2018 | CLINE, DAVIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 03/28/2018 | GATER-BITTING, DEVIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 0.87 | 0.00 | 0.87 | 80.0 | 0.70 |
| 03/29/2018 | RABER, DANIEL | AM FUNDS GROWTH FUND OF AMERICA A | 350.00 | 6.12 | 0.00 | 6.12 | 80.0 | 4.90 |
| 03/15/2018 | BRAUTZSCH, CHRISTINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.17 | 0.00 | 0.17 | 80.0 | 0.14 |
| 03/15/2018 | BRAUTZSCH, CHRISTINE | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.24 | 0.00 | 0.24 | 80.0 | 0.19 |
| 03/15/2018 | BRAUTZSCH, CHRISTINE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.18 | 0.00 | 0.18 | 80.0 | 0.14 |
| 03/29/2018 | HABESHY, BARBARA | ASCENSUS INA PIMCO TOTAL RETURN POR | 70.00 | 0.24 | 0.00 | 0.24 | 80.0 | 0.19 |
| 04/06/2018 | LINN, JASON | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 03/29/2018 | PETERSON, BRYAN | ASCENSUS INA T ROWE PRICE LG CAP GR | 25.00 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 03/19/2018 | FLECK, KATHIE | FEDERATED KAUFMANN FUND A | 0.00 | 1.10 | 0.00 | 1.10 | 80.0 | 0.88 |
| 03/20/2018 | FLECK, KATHIE | FIDELITY ADV NEW INSIGHTS C | 0.00 | 4.53 | 0.00 | 4.53 | 80.0 | 3.62 |
| 03/21/2018 | FLECK, KATHIE | FIRST EAGLE GLOBAL FUND CL A | 0.00 | 0.17 | 0.00 | 0.17 | 80.0 | 0.14 |
| 03/21/2018 | FLECK, KATHIE | GOLDMAN SACHS SMALL CAP VALUE FUND- | 0.00 | 0.62 | 0.00 | 0.62 | 80.0 | 0.50 |
| 04/06/2018 | LINN, JASON | INA INTER EQTY INDEX PORTF A | 8.25 | 0.13 | 0.00 | 0.13 | 80.0 | 0.10 |
| 04/06/2018 | LINN, JASON | INA LG CAP INDEX PORT CLASS A | 38.50 | 0.64 | 0.00 | 0.64 | 80.0 | 0.51 |
| 04/06/2018 | HINTON, SCOTT | INA LG CAP INDEX PORT CLASS A | 25.00 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 04/06/2018 | HINTON, SCOTT | INA LG CAP INDEX PORT CLASS A | 25.00 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 03/29/2018 | HABESHY, BARBARA | INA T ROWE PRICE LARGE CAP GR CLASS | 30.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 03/15/2018 | CRAWFORD, JOHN | INFLATION LINKED BOND FUND A | 0.00 | 0.28 | 0.00 | 0.28 | 80.0 | 0.22 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CORE BOND A | 0.00 | 0.77 | 0.00 | 0.77 | 80.0 | 0.62 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER CORE BOND FUND C | 0.00 | 0.96 | 0.00 | 0.96 | 80.0 | 0.77 |
| / / | LINN, JASON | OPPENHEIMER CORE BOND FUND C | 0.00 | 1.41 | 0.00 | 1.41 | 80.0 | 1.13 |
| / / | LINN, JASON | OPPENHEIMER CORPORATE BOND FUND C | 0.00 | 1.44 | 0.00 | 1.44 | 80.0 | 1.15 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER EQUITY INCOME A | 0.00 | 0.35 | 0.00 | 0.35 | 80.0 | 0.28 |
| / / | DEWART, BECKY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 0.12 | 0.00 | 0.12 | 80.0 | 0.10 |
| / / | DEWART, BECKY | OPPENHEIMER INTL BOND A | 0.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| / / | DEWART, BECKY | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00 | 0.11 | 0.00 | 0.11 | 80.0 | 0.09 |
| / / | SALGUERO, ANNA | OPPENHEIMER MAIN STREET A | 0.00 | 0.18 | 0.00 | 0.18 | 80.0 | 0.14 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 0.96 | 0.00 | 0.96 | 80.0 | 0.77 |

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>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209 | | | | | | | | |
| / / | DEWART, BECKY | OPPENHEIMER SENIOR FLOATING RATE A | 0.00 | 0.26 | 0.00 | 0.26 | 80.0 | 0.21 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 2.11 | 0.00 | 2.11 | 80.0 | 1.69 |
| / / | LINN, JASON | OPPENHEIMER SENIOR FLOATING RATE C | 0.00 | 2.69 | 0.00 | 2.69 | 80.0 | 2.15 |
| / / | SALGUERO, ANNA | OPPENHEIMER US GOVT TRUST A | 0.00 | 0.12 | 0.00 | 0.12 | 80.0 | 0.10 |
| / / | DEWART, BECKY | OPPENHEIMER US GOVT TRUST A | 0.00 | 0.19 | 0.00 | 0.19 | 80.0 | 0.15 |
| / / | GUNZENHAUSER, MARK | OPPENHEIMER US GOVT TRUST C | 0.00 | 1.78 | 0.00 | 1.78 | 80.0 | 1.42 |
| 03/21/2018 | BROCKMYER, PHYLLIS | PIMCO INCOME FUND C | 0.00 | 1.17 | 0.00 | 1.17 | 80.0 | 0.94 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL * | | | \$2,162.84 | \$54.58 | \$0.00 | \$54.58 | | \$43.69 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$2,487.84 | \$58.17 | \$0.00 | \$58.17 | | \$46.57 |

| | | | | | | | | |
|--|----------------|-----------------------|---------------------|-----------------|---------------|-----------------|------|----------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| BROKER: WILLIAM, L129 LAYMAN #207 | | | | | | | | |
| 03/31/2018 | SCHULER, CINDY | MASS MUTUAL 575769484 | 132,656.27 | 110.55 | 0.00 | 110.55 | 45.0 | 49.75 |
| * WILLIAM, L129 LAYMAN SUBTOTAL * | | | \$132,656.27 | \$110.55 | \$0.00 | \$110.55 | | \$49.75 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$132,656.27 | \$110.55 | \$0.00 | \$110.55 | | \$49.75 |

| | | | | | | | | |
|---------------------------|--|---|------|--|--|--|--|---------|
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 04/15/2018 | | *ALBRIDGE: LIGH USER | 0.00 | | | | | -76.00 |
| 04/15/2018 | | *EO INSURANCE: CURRENT MONTH INS | 0.00 | | | | | -300.00 |
| 04/15/2018 | | *EO INSURANCE: CURRENT MONTH INS-BILL | 0.00 | | | | | -300.00 |
| 04/15/2018 | | *GLOBAL RELAY: WEBSITE | 0.00 | | | | | -15.00 |
| 04/15/2018 | | *LASER APP: CURRENT MONTH - KEITH | 0.00 | | | | | -18.00 |
| 04/15/2018 | | *LASER APP: LASER APP - BILL | 0.00 | | | | | -18.00 |
| 04/15/2018 | | *PERSHING: BLOCK TRADE REBALANCE | 0.00 | | | | | -42.00 |
| 04/15/2018 | | *PERSHING: COST BASIS TRACKING 130 ACCTS | 0.00 | | | | | -130.00 |
| 04/15/2018 | | *PERSHING: MAINTENANCE CHRГ - NICOLET | 0.00 | | | | | -51.00 |
| 04/15/2018 | | *PERSHING: MF PROSPECTUS MAILING | 0.00 | | | | | -1.50 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------|--------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 04/15/2018 | | *PERSHING: MF PROSPECTUS MAILING | 0.00 | | | | | -0.54 |
| 04/15/2018 | | *PERSHING: BOOKS & RECORDS | 0.00 | | | | | -1.98 |
| 04/15/2018 | | *TECHNOLOGY: ADMIN - JAMIE BERNDT | 0.00 | | | | | -130.00 |
| 04/15/2018 | | *TECHNOLOGY: CURRENT MONTH BASIC | 0.00 | | | | | -180.00 |
| 04/15/2018 | | *TECHNOLOGY: CURRENT MONTH BASIC - BILL | 0.00 | | | | | -180.00 |
| 04/15/2018 | | *TECHNOLOGY: LIMITED ADMIN - S BONANNON | 0.00 | | | | | -60.00 |
| 04/15/2018 | | *TECHNOLOGY: LIMITED ADMIN J WRIGHT | 0.00 | | | | | -60.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-1,564.02 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$1,441.52 |
| Split Transactions | \$46.57 |
| Override Transactions | \$49.75 |
| Adjustments | \$-1,564.02 |
| 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 | \$-26.18 |
| Year-to-date Gross | \$17,257.68 |
| Year-to-date Earnings | \$13,898.29 |

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