



COMMISSION STATEMENT January 17, 2017

L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/FCCU
11617 Coldwater Road
Suite 103
Fort Wayne, IN 46845

BROKER #: L131
BRANCH: APPLE TREE FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^01/04/2017	SORG, RICHARD	DODGE & COX INCOME FUND	7,400.00	0.00	0.00	0.00	90.0	0.00
^01/04/2017	SORG, RICHARD	T ROWE PRICE GLOBAL MULTI-SECTOR BO	8,900.00	0.00	0.00	0.00	90.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$16,300.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
^01/04/2017	SORG, RICHARD	COLUMBIA ETF TR CORE BD ETF	-8,946.00	0.00	0.00	0.00	90.0	0.00
^12/28/2016	HAMM, GAIL	CONOCOPHILLIPS COM	-45,994.76	0.00	0.00	0.00	90.0	0.00
^12/28/2016	HAMM, GAIL	IRON MTN INC NEW COM	25,903.12	0.00	0.00	0.00	90.0	0.00
^12/28/2016	HAMM, GAIL	PUBLIC STORAGE	19,634.22	0.00	0.00	0.00	90.0	0.00
^12/28/2016	HAMM, GAIL	SPDR SER TR BARCLAYS TIIPS ETF	46,960.20	0.00	0.00	0.00	90.0	0.00
^12/28/2016	HAMM, GAIL	VANGUARD BD INDEX FD INC INTERMEDIA	-47,407.33	0.00	0.00	0.00	90.0	0.00
^01/04/2017	SORG, RICHARD	VANGUARD BD INDEX FD INC INTERMEDIA	-7,470.00	0.00	0.00	0.00	90.0	0.00
* STOCKS SUBTOTAL *			\$-17,320.55	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: RIA</u>								
^01/05/2017	HAMM, GAIL	PERSHING	241,230.71	892.22	0.00	892.22	90.0	0.00
^01/05/2017	HAMM, GAIL	PERSHING	98,783.92	365.37	0.00	365.37	90.0	0.00
^01/05/2017	HAMM, GAIL	PERSHING	99,401.77	367.65	0.00	367.65	90.0	0.00
^01/05/2017	EISERLE, DAVID	PERSHING	18,224.41	67.41	0.00	67.41	90.0	0.00
^01/05/2017	NOVELL, DEANA	PERSHING	95,881.75	354.63	0.00	354.63	90.0	0.00
^01/05/2017	GROTE, DONALD	PERSHING	110,849.22	409.99	0.00	409.99	90.0	0.00
^01/05/2017	GROTE, DONALD	PERSHING	28,115.90	103.99	0.00	103.99	90.0	0.00
^01/05/2017	CHIDDISTER, LISA	PERSHING	157.53	0.58	0.00	0.58	90.0	0.00
^01/05/2017	KAISER, ROBIN	PERSHING	43,253.52	159.98	0.00	159.98	90.0	0.00
^01/05/2017	KAISER, ROBERT	PERSHING	14,528.74	53.74	0.00	53.74	90.0	0.00
^01/05/2017	GAY, RICHARD	PERSHING	21,232.65	78.53	0.00	78.53	90.0	0.00
^01/05/2017	SORG, RICHARD	PERSHING	80,767.63	199.15	0.00	199.15	90.0	0.00

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>								
PRODUCT CATEGORY: RIA								
^01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	19.18	0.00	19.18	90.0	0.00
^01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	576.99	0.00	576.99	90.0	0.00
* RIA SUBTOTAL *			\$1,164,427.75	\$3,649.41	\$0.00	\$3,649.41		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$1,163,407.20	\$3,649.41	\$0.00	\$3,649.41		\$0.00

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

01/04/2017	SORG, RICHARD	COLUMBIA ETF TR CORE BD ETF	-8,946.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	CONOCOPHILLIPS COM	-45,994.76	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	DODGE & COX INCOME FUND	7,400.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	IRON MTN INC NEW COM	25,903.12	0.00	0.00	0.00	90.0	0.00
01/05/2017	HAMM, GAIL	PERSHING	241,230.71	267.67	0.00	267.67	90.0	240.90
01/05/2017	HAMM, GAIL	PERSHING	98,783.92	109.61	0.00	109.61	90.0	98.65
01/05/2017	HAMM, GAIL	PERSHING	99,401.77	110.30	0.00	110.30	90.0	99.27
01/05/2017	EISERLE, DAVID	PERSHING	18,224.41	20.22	0.00	20.22	90.0	18.20
01/05/2017	NOVELL, DEANA	PERSHING	95,881.75	106.39	0.00	106.39	90.0	95.75
01/05/2017	GROTE, DONALD	PERSHING	110,849.22	123.00	0.00	123.00	90.0	110.70
01/05/2017	GROTE, DONALD	PERSHING	28,115.90	31.20	0.00	31.20	90.0	28.08
01/05/2017	CHIDDISTER, LISA	PERSHING	157.53	0.17	0.00	0.17	90.0	0.15
01/05/2017	KAISER, ROBIN	PERSHING	43,253.52	47.99	0.00	47.99	90.0	43.19
01/05/2017	KAISER, ROBERT	PERSHING	14,528.74	16.12	0.00	16.12	90.0	14.51
01/05/2017	GAY, RICHARD	PERSHING	21,232.65	23.56	0.00	23.56	90.0	21.20
01/05/2017	SORG, RICHARD	PERSHING	80,767.63	59.75	0.00	59.75	90.0	53.78
01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	5.75	0.00	5.75	90.0	5.18
01/05/2017	BURTNETTE, PATRICIA	PERSHING	156,000.00	173.10	0.00	173.10	90.0	155.79
12/28/2016	HAMM, GAIL	PUBLIC STORAGE	19,634.22	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	SPDR SER TR BARCLAYS TIIPS ETF	46,960.20	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	T ROWE PRICE GLOBAL MULTI-SECTOR BO	8,900.00	0.00	0.00	0.00	90.0	0.00
12/28/2016	HAMM, GAIL	VANGUARD BD INDEX FD INC INTERMEDIA	-47,407.33	0.00	0.00	0.00	90.0	0.00
01/04/2017	SORG, RICHARD	VANGUARD BD INDEX FD INC INTERMEDIA	-7,470.00	0.00	0.00	0.00	90.0	0.00
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$1,163,407.20	\$1,094.83	\$0.00	\$1,094.83		\$985.35
*** SPLIT TRANSACTIONS TOTAL ***			\$1,163,407.20	\$1,094.83	\$0.00	\$1,094.83		\$985.35

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

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$985.35
Override Transactions	\$0.00
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	\$985.35
Year-to-date Gross	\$1,094.83
Year-to-date Earnings	\$985.35