



Concorde Investment Services, LLC
COMMISSION STATEMENT
April 30, 2018

05/02/2018
Page No. 1

KEITH, L128 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>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/16/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
04/16/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
* MUTUAL FUNDS SUBTOTAL *			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20
<u>PRODUCT CATEGORY: STOCKS</u>								
04/13/2018	VAN AUKEN, KAREN	BP PLC SPONS ADR	-8,452.05	75.00	22.50	52.50	80.0	42.00
04/13/2018	VAN AUKEN, KAREN	SPDR SER TR BARCLAYS HIGH YIELD BD	-2,170.32	50.00	22.50	27.50	80.0	22.00
* STOCKS SUBTOTAL *			\$-10,622.37	\$125.00	\$45.00	\$80.00		\$64.00
*** CLEARING TRANSACTIONS TOTAL ***			\$-10,447.37	\$125.00	\$69.00	\$56.00		\$44.80

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/31/2018	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND	43,244.81	36.73	0.00	36.73	80.0	29.38
03/31/2018	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	70,713.89	60.05	0.00	60.05	80.0	48.04
* INTERVAL FUNDS SUBTOTAL *			\$113,958.70	\$96.78	\$0.00	\$96.78		\$77.42
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/13/2018	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	15.00	0.71	0.00	0.71	80.0	0.57
04/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
04/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
04/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
04/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	41.60	1.66	0.00	1.66	80.0	1.33
04/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
04/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
04/13/2018	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	15.00	0.71	0.00	0.71	80.0	0.57
04/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
04/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
* 529 PLANS SUBTOTAL *			\$279.60	\$11.39	\$0.00	\$11.39		\$9.09
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
04/10/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
04/16/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
04/16/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
04/09/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
04/16/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
04/20/2018	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	80.0	2.00
04/09/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
04/10/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
04/16/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
04/10/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
04/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
04/16/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
04/13/2018	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	15.00	0.49	0.00	0.49	80.0	0.39
04/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	80.0	0.36
04/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	80.0	0.72
04/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	41.60	1.66	0.00	1.66	80.0	1.33
04/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	80.0	1.55
04/19/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	80.0	1.11
04/13/2018	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	55.00	2.61	0.00	2.61	80.0	2.09
04/13/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
04/13/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
04/16/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
04/03/2018	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$1,741.40	\$68.05	\$0.00	\$68.05		\$54.41
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
* VARIABLE ANNUITIES SUBTOTAL *			\$50.00	\$1.00	\$0.00	\$1.00		\$0.80

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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>								
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	10.55	0.00	10.55	80.0	8.44
/ /	PATTERSON, JANITA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	26.03	0.00	26.03	80.0	20.82
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	26.55	0.00	26.55	80.0	21.24
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.29	0.00	1.29	80.0	1.03
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.79	0.00	0.79	80.0	0.63
/ /	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.64	0.00	1.64	80.0	1.31
/ /	PEE, MICHAEL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	12.42	0.00	12.42	80.0	9.94
/ /	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.26	0.00	0.26	80.0	0.21
/ /	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.26	0.00	0.26	80.0	0.21
/ /	WILLIAMS, BEVERLY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.84	0.00	3.84	80.0	3.07
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.03	0.00	4.03	80.0	3.22
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.52	0.00	1.52	80.0	1.22
/ /	PEPPLE, GLEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.84	0.00	5.84	80.0	4.67
/ /	DERBYSHIRE, KAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.12	0.00	3.12	80.0	2.50
/ /	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.08	0.00	1.08	80.0	0.86
/ /	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.50	0.00	0.50	80.0	0.40
/ /	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.49	0.00	4.49	80.0	3.59
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.06	0.00	0.06	80.0	0.05
/ /	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.15	0.00	0.15	80.0	0.12
/ /	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.10	0.00	0.10	80.0	0.08
/ /	FEDLER, CHARLES	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.43	0.00	4.43	80.0	3.54
/ /	BERNDT, JAMIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.38	0.00	0.38	80.0	0.30
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.06	0.00	1.06	80.0	0.85
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	2.46	0.00	2.46	80.0	1.97
/ /	SHADY, HARRY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.02	0.00	0.02	80.0	0.02
/ /	STANSBERRY, NANCY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.74	0.00	0.74	80.0	0.59
/ /	LINSKY, MARCIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.86	0.00	0.86	80.0	0.69
/ /	RUSK, RANDALL F	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.22	0.00	0.22	80.0	0.18
/ /	GOULET, LETTA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.12	0.00	3.12	80.0	2.50
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.41	0.00	5.41	80.0	4.33
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.78	0.00	4.78	80.0	3.82
/ /	PEE, MICHAEL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	14.44	0.00	14.44	80.0	11.55
/ /	LINNEMEIER, JAY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.32	0.00	3.32	80.0	2.66

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	PEPPLE, GLEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.40	0.00	3.40	80.0	2.72
/ /	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.68	0.00	3.68	80.0	2.94
/ /	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.34	0.00	0.34	80.0	0.27
/ /	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	12.12	0.00	12.12	80.0	9.70
/ /	SHERBURNE, STEVEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.09	0.00	0.09	80.0	0.07
/ /	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.45	0.00	0.45	80.0	0.36
/ /	JOHNSON, JAMES	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.02	0.00	0.02	80.0	0.02
/ /	JOHNSON, JAMES	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.02	0.00	0.02	80.0	0.02
/ /	BERNDT, JAMIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.31	0.00	0.31	80.0	0.25
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	6.30	0.00	6.30	80.0	5.04
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.20	0.00	5.20	80.0	4.16
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	6.22	0.00	6.22	80.0	4.98
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.49	0.00	1.49	80.0	1.19
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.67	0.00	0.67	80.0	0.54
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.16	0.00	0.16	80.0	0.13
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.16	0.00	0.16	80.0	0.13
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.76	0.00	3.76	80.0	3.01
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.76	0.00	3.76	80.0	3.01
/ /	DAVID, SCOTT	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.58	0.00	5.58	80.0	4.46
/ /	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	5.75	0.00	5.75	80.0	4.60
/ /	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.98	0.00	0.98	80.0	0.78
/ /	HOEFFEL, MARCIA	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.07	0.00	0.07	80.0	0.06
/ /	HELLER, ADAM	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.25	0.00	0.25	80.0	0.20
/ /	BERNDT, JAMIE	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.12	0.00	0.12	80.0	0.10
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.55	0.00	1.55	80.0	1.24
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	2.64	0.00	2.64	80.0	2.11
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.41	0.00	1.41	80.0	1.13
/ /	RUSK, RANDALL F	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.16	0.00	0.16	80.0	0.13
03/31/2018	HODAPP, CYNTHIA	BLACKROCK 19452P784	0.00	0.11	0.00	0.11	80.0	0.09
03/31/2018	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.39	0.00	0.39	80.0	0.31
03/31/2018	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.57	0.00	0.57	80.0	0.46
04/02/2018	JACKSON, BRENDA	DAVIS NEW YORK VENTURE A	0.00	4.18	0.00	4.18	80.0	3.34
/ /	JOHNSON, JAMES	INA 2019 ENROLLMENT PORT CLASS A	0.00	3.04	0.00	3.04	80.0	2.43

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	DRUHOT, SCOTT	INA 2022 ENROLLMENT PORT CLASS A	0.00	3.31	0.00	3.31	80.0	2.65
/ /	DRUHOT, SCOTT	INA 2022 ENROLLMENT PORT CLASS C	0.00	35.99	0.00	35.99	80.0	28.79
/ /	DRUHOT, SCOTT	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.94	0.00	1.94	80.0	1.55
/ /	SHERBURNE, STEVEN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SHERBURNE, STEVEN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.10	0.00	0.10	80.0	0.08
/ /	SULTAN, LYDIA	INA AMER FDS EUROPAC GROWT A	0.00	1.65	0.00	1.65	80.0	1.32
/ /	SULTAN, LYDIA	INA AMER FDS EUROPAC GROWT A	0.00	1.61	0.00	1.61	80.0	1.29
/ /	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	0.00	1.91	0.00	1.91	80.0	1.53
/ /	LINNEMEIER, JAY	INA AMER FDS EUROPAC GROWT A	0.00	1.72	0.00	1.72	80.0	1.38
/ /	PEPPLE, GLEN	INA AMER FDS EUROPAC GROWT A	0.00	2.18	0.00	2.18	80.0	1.74
/ /	SAYA, CHRISTINE	INA AMER FDS EUROPAC GROWT A	0.00	0.67	0.00	0.67	80.0	0.54
/ /	GEVERINK, ANN	INA AMER FDS EUROPAC GROWT A	0.00	4.12	0.00	4.12	80.0	3.30
/ /	HOEFFEL, MARCIA	INA AMER FDS EUROPAC GROWT A	0.00	0.18	0.00	0.18	80.0	0.14
/ /	HELLER, ADAM	INA AMER FDS EUROPAC GROWT A	0.00	2.53	0.00	2.53	80.0	2.02
/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	0.11	0.00	0.11	80.0	0.09
/ /	ARCHBOLD, PAMELA	INA AMER FDS EUROPAC GROWT A	0.00	1.16	0.00	1.16	80.0	0.93
/ /	BERNDT, JAMIE	INA AMER FDS EUROPAC GROWT A	0.00	0.15	0.00	0.15	80.0	0.12
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	1.96	0.00	1.96	80.0	1.57
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	1.48	0.00	1.48	80.0	1.18
/ /	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	0.00	2.26	0.00	2.26	80.0	1.81
/ /	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	0.00	2.48	0.00	2.48	80.0	1.98
/ /	SLATER, JUSTIN	INA AMER FDS EUROPAC GROWT A	0.00	2.47	0.00	2.47	80.0	1.98
/ /	DAVID, SCOTT	INA AMER FDS EUROPAC GROWT A	0.00	2.99	0.00	2.99	80.0	2.39
/ /	BENEFICIARY, ELLIOTT	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	5.09	0.00	5.09	80.0	4.07
/ /	PATTERSON, JANITA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.75	0.00	3.75	80.0	3.00
/ /	KINDSCHY, CYNTHIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.83	0.00	3.83	80.0	3.06
/ /	GOULET, LETTA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.26	0.00	2.26	80.0	1.81
/ /	SULTAN, LYDIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.51	0.00	3.51	80.0	2.81
/ /	SULTAN, LYDIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.79	0.00	3.79	80.0	3.03
/ /	PEE, MICHAEL	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	12.59	0.00	12.59	80.0	10.07
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.28	0.00	0.28	80.0	0.22
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.28	0.00	0.28	80.0	0.22
/ /	LINNEMEIER, JAY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	6.78	0.00	6.78	80.0	5.42

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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>								
/ /	LINNEMEIER, JAY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.44	0.00	2.44	80.0	1.95
/ /	PEPPLE, GLEN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.23	0.00	2.23	80.0	1.78
/ /	SAYA, CHRISTINE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.90	0.00	2.90	80.0	2.32
/ /	MARKS, GAREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.30	0.00	0.30	80.0	0.24
/ /	GEVERINK, ANN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	9.00	0.00	9.00	80.0	7.20
/ /	HOEFFEL, MARCIA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.24	0.00	0.24	80.0	0.19
/ /	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.43	0.00	0.43	80.0	0.34
/ /	ARCHBOLD, PAMELA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.88	0.00	2.88	80.0	2.30
/ /	BERNDT, JAMIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.25	0.00	0.25	80.0	0.20
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.82	0.00	4.82	80.0	3.86
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.08	0.00	4.08	80.0	3.26
/ /	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.70	0.00	4.70	80.0	3.76
/ /	SLATER, JUSTIN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.04	0.00	1.04	80.0	0.83
/ /	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.17	0.00	3.17	80.0	2.54
/ /	MCGUIRE, EDWARD	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	3.17	0.00	3.17	80.0	2.54
/ /	STANSBERRY, NANCY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.83	0.00	0.83	80.0	0.66
/ /	JACKSON, BRENDA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.20	0.00	0.20	80.0	0.16
/ /	MESSER, JENNIFER	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	5.29	0.00	5.29	80.0	4.23
/ /	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.68	0.00	0.68	80.0	0.54
/ /	BAILEY, BRUCE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	1.30	0.00	1.30	80.0	1.04
/ /	GALENTINE, ASHLEY	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	4.58	0.00	4.58	80.0	3.66
/ /	PEPPLE, GLEN	INA COLLEGE PORT CLASS A	0.00	3.44	0.00	3.44	80.0	2.75
/ /	ROSS, AARON	INA COLLEGE PORT CLASS A	0.00	3.99	0.00	3.99	80.0	3.19
/ /	ROSS, MICHAEL	INA COLLEGE PORT CLASS A	0.00	0.63	0.00	0.63	80.0	0.50
/ /	BENEFICIARY, ELLIOTT	INA COLLEGE PORT CLASS C	0.00	2.59	0.00	2.59	80.0	2.07
/ /	SULTAN, LYDIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.86	0.00	1.86	80.0	1.49
/ /	SULTAN, LYDIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.67	0.00	1.67	80.0	1.34
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.94	0.00	1.94	80.0	1.55
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.82	0.00	2.82	80.0	2.26
/ /	PEPPLE, GLEN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.07	0.00	2.07	80.0	1.66
/ /	MARKS, GAREN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.25	0.00	0.25	80.0	0.20
/ /	GEVERINK, ANN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	5.04	0.00	5.04	80.0	4.03
/ /	HOEFFEL, MARCIA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.09	0.00	0.09	80.0	0.07

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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>								
/ /	HELLER, ADAM	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.59	0.00	0.59	80.0	0.47
/ /	BERNDT, JAMIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.15	0.00	0.15	80.0	0.12
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.16	0.00	2.16	80.0	1.73
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.57	0.00	1.57	80.0	1.26
/ /	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	2.52	0.00	2.52	80.0	2.02
/ /	SLATER, JUSTIN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	3.83	0.00	3.83	80.0	3.06
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.19	0.00	1.19	80.0	0.95
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.72	0.00	1.72	80.0	1.38
/ /	COCKROFT, MARK	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.74	0.00	0.74	80.0	0.59
/ /	DAVID, SCOTT	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	3.34	0.00	3.34	80.0	2.67
/ /	JACKSON, BRENDA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.80	0.00	0.80	80.0	0.64
/ /	JACKSON, BRENDA	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.82	0.00	0.82	80.0	0.66
/ /	GOULET, LETTA	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.35	0.00	0.35	80.0	0.28
/ /	FREEZE, CORTNEY	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.65	0.00	0.65	80.0	0.52
/ /	PEE, MICHAEL	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.98	0.00	0.98	80.0	0.78
/ /	MARKS, GAREN	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.05	0.00	0.05	80.0	0.04
/ /	HOEFFEL, MARCIA	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.02	0.00	0.02	80.0	0.02
/ /	HELLER, ADAM	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.16	0.00	0.16	80.0	0.13
/ /	SLATER, JUSTIN	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.08	0.00	0.08	80.0	0.06
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.25	0.00	0.25	80.0	0.20
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.29	0.00	0.29	80.0	0.23
/ /	COCKROFT, MARK	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.16	0.00	0.16	80.0	0.13
/ /	LAYMAN, KEITH	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.06	0.00	0.06	80.0	0.05
/ /	GOULET, LETTA	INA INTER EQTY INDEX PORTF A	0.00	1.34	0.00	1.34	80.0	1.07
/ /	FREEZE, CORTNEY	INA INTER EQTY INDEX PORTF A	0.00	2.51	0.00	2.51	80.0	2.01
/ /	PEE, MICHAEL	INA INTER EQTY INDEX PORTF A	0.00	4.34	0.00	4.34	80.0	3.47
/ /	MARKS, GAREN	INA INTER EQTY INDEX PORTF A	0.00	0.20	0.00	0.20	80.0	0.16
/ /	HOEFFEL, MARCIA	INA INTER EQTY INDEX PORTF A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	HELLER, ADAM	INA INTER EQTY INDEX PORTF A	0.00	0.61	0.00	0.61	80.0	0.49
/ /	SLATER, JUSTIN	INA INTER EQTY INDEX PORTF A	0.00	0.29	0.00	0.29	80.0	0.23
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	0.95	0.00	0.95	80.0	0.76
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	1.10	0.00	1.10	80.0	0.88
/ /	COCKROFT, MARK	INA INTER EQTY INDEX PORTF A	0.00	0.62	0.00	0.62	80.0	0.50

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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>								
/ /	LAYMAN, KEITH	INA INTER EQTY INDEX PORTF A	0.00	0.22	0.00	0.22	80.0	0.18
/ /	GOULET, LETTA	INA LG CAP INDEX PORT CLASS A	0.00	2.50	0.00	2.50	80.0	2.00
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	5.38	0.00	5.38	80.0	4.30
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	8.53	0.00	8.53	80.0	6.82
/ /	WILLIAMS, BEVERLY	INA LG CAP INDEX PORT CLASS A	0.00	5.00	0.00	5.00	80.0	4.00
/ /	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	0.00	1.35	0.00	1.35	80.0	1.08
/ /	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	0.00	1.41	0.00	1.41	80.0	1.13
/ /	LINNEMEIER, JAY	INA LG CAP INDEX PORT CLASS A	0.00	0.75	0.00	0.75	80.0	0.60
/ /	PEPPLE, GLEN	INA LG CAP INDEX PORT CLASS A	0.00	5.17	0.00	5.17	80.0	4.14
/ /	HOEFFEL, MARCIA	INA LG CAP INDEX PORT CLASS A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	STEBING, MATTHEW	INA LG CAP INDEX PORT CLASS A	0.00	0.53	0.00	0.53	80.0	0.42
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	1.25	0.00	1.25	80.0	1.00
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.95	0.00	0.95	80.0	0.76
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.90	0.00	0.90	80.0	0.72
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.62	0.00	0.62	80.0	0.50
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.18	0.00	0.18	80.0	0.14
/ /	SHERBURNE, STEVEN	INA LG CAP INDEX PORT CLASS A	0.00	0.07	0.00	0.07	80.0	0.06
/ /	HELLER, ADAM	INA LG CAP INDEX PORT CLASS A	0.00	2.02	0.00	2.02	80.0	1.62
/ /	SAMELS, GREGORY	INA LG CAP INDEX PORT CLASS A	0.00	0.21	0.00	0.21	80.0	0.17
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	1.24	0.00	1.24	80.0	0.99
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	2.28	0.00	2.28	80.0	1.82
/ /	COCKROFT, MARK	INA LG CAP INDEX PORT CLASS A	0.00	1.12	0.00	1.12	80.0	0.90
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.72	0.00	0.72	80.0	0.58
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.52	0.00	0.52	80.0	0.42
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.44	0.00	0.44	80.0	0.35
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.38	0.00	0.38	80.0	0.30
/ /	JACKSON, BRENDA	INA LG CAP INDEX PORT CLASS A	0.00	0.32	0.00	0.32	80.0	0.26
/ /	JACKSON, NICK	INA LG CAP INDEX PORT CLASS A	0.00	0.33	0.00	0.33	80.0	0.26
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.26	0.00	0.26	80.0	0.21
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.26	0.00	0.26	80.0	0.21
/ /	PEPPLE, GLEN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.92	0.00	1.92	80.0	1.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	MARKS, GAREN	INA SHORT TERM TREAS INDEX PORT A	0.00	0.17	0.00	0.17	80.0	0.14
/ /	FEDLER, CHARLES	INA SHORT TERM TREAS INDEX PORT A	0.00	4.30	0.00	4.30	80.0	3.44
/ /	STANSBERRY, NANCY	INA SHORT TERM TREAS INDEX PORT A	0.00	0.74	0.00	0.74	80.0	0.59
/ /	LINSKY, MARCIA	INA SHORT TERM TREAS INDEX PORT A	0.00	1.57	0.00	1.57	80.0	1.26
/ /	RUSK, RANDALL F	INA SHORT TERM TREAS INDEX PORT A	0.00	0.09	0.00	0.09	80.0	0.07
/ /	BENEFICIARY, ELLIOTT	INA SHORT TERM TREAS INDEX PORT C	0.00	5.74	0.00	5.74	80.0	4.59
/ /	PATTERSON, JANITA	INA SHORT TERM TREAS INDEX PORT C	0.00	9.45	0.00	9.45	80.0	7.56
/ /	KINDSCHY, CYNTHIA	INA SHORT TERM TREAS INDEX PORT C	0.00	9.64	0.00	9.64	80.0	7.71
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	0.26	0.00	0.26	80.0	0.21
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	0.26	0.00	0.26	80.0	0.21
/ /	LINNEMEIER, JAY	INA TIPS INDEX PORT CLASS A	0.00	1.44	0.00	1.44	80.0	1.15
/ /	PEPPLE, GLEN	INA TIPS INDEX PORT CLASS A	0.00	2.64	0.00	2.64	80.0	2.11
/ /	FEDLER, CHARLES	INA TIPS INDEX PORT CLASS A	0.00	3.74	0.00	3.74	80.0	2.99
/ /	BERNDT, JAMIE	INA TIPS INDEX PORT CLASS A	0.00	0.12	0.00	0.12	80.0	0.10
/ /	STANSBERRY, NANCY	INA TIPS INDEX PORT CLASS A	0.00	0.74	0.00	0.74	80.0	0.59
/ /	LINSKY, MARCIA	INA TIPS INDEX PORT CLASS A	0.00	0.83	0.00	0.83	80.0	0.66
/ /	RUSK, RANDALL F	INA TIPS INDEX PORT CLASS A	0.00	0.16	0.00	0.16	80.0	0.13
/ /	BENEFICIARY, ELLIOTT	INA TIPS INDEX PORT CLASS C	0.00	3.62	0.00	3.62	80.0	2.90
/ /	PATTERSON, JANITA	INA TIPS INDEX PORT CLASS C	0.00	25.73	0.00	25.73	80.0	20.58
/ /	KINDSCHY, CYNTHIA	INA TIPS INDEX PORT CLASS C	0.00	26.24	0.00	26.24	80.0	20.99
04/01/2018	MCBRIDE, KEITH	INVESCO AMERICAN FRANCHISE A	0.00	7.72	0.00	7.72	80.0	6.18
04/01/2018	DILLIE, KYLE	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	80.0	0.11
04/01/2018	DILLIE, KENNETH	INVESCO AMERICAN FRANCHISE A	0.00	64.84	0.00	64.84	80.0	51.87
04/01/2018	MOELLERING, STEVEN	INVESCO AMERICAN FRANCHISE A	0.00	4.35	0.00	4.35	80.0	3.48
04/01/2018	MOELLERING, STEVEN	INVESCO AMERICAN VALUE A	0.00	3.96	0.00	3.96	80.0	3.17
04/01/2018	MCBRIDE, KEITH	INVESCO GBL SMALL & MID CAP GROWTH	0.00	10.69	0.00	10.69	80.0	8.55
04/05/2018	ALANZA, SARAH	MAINSTAY BALANCED FUND INVESTOR CLA	0.00	4.69	0.00	4.69	80.0	3.75
04/05/2018	ALANZA, SARAH	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	4.42	0.00	4.42	80.0	3.54
04/05/2018	WILLIAMS, BARBARA	MAINSTAY HIGH YIELD CORP BOND INVES	0.00	0.71	0.00	0.71	80.0	0.57
04/05/2018	ALANZA, SARAH	MAINSTAY INTRNTL EQTY INVESTOR CLAS	0.00	4.40	0.00	4.40	80.0	3.52
04/05/2018	ALANZA, SARAH	MAINSTAY LARGE CAP GROWTH FUND A	0.00	10.00	0.00	10.00	80.0	8.00
04/05/2018	ALANZA, SARAH	MAINSTAY MAP INVESTOR CLASS	0.00	3.09	0.00	3.09	80.0	2.47
04/05/2018	ALANZA, SARAH	MAINSTAY US SMALL CAP INV	0.00	1.00	0.00	1.00	80.0	0.80

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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>								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$716.10	\$0.00	\$716.10		\$572.90
		*** DIRECT TRANSACTIONS TOTAL ***	\$116,029.70	\$893.32	\$0.00	\$893.32		\$714.62

<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10</u>								
04/13/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	50.00	0.84	0.00	0.84	80.0	0.67
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.17	0.00	0.17	80.0	0.14
04/20/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
04/20/2018	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 *	\$150.00	\$2.02	\$0.00	\$2.02		\$1.62
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
04/17/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
04/16/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
04/17/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00
/ /	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.72	0.00	1.72	80.0	1.38
/ /	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.19	0.00	0.19	80.0	0.15
04/20/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	80.0	0.08
/ /	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.51	0.00	0.51	80.0	0.41
03/31/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	52,717.75	15.67	0.00	15.67	80.0	12.54
/ /	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	0.00	0.15	0.00	0.15	80.0	0.12
/ /	JOHNSON, ERIC	INA 2022 ENROLLMENT PORT CLASS A	0.00	0.60	0.00	0.60	80.0	0.48
/ /	WALLS, ELENA	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.37	0.00	1.37	80.0	1.10
/ /	WALLS, THOMAS	INA 2028 ENROLLMENT PORT CL A	0.00	0.76	0.00	0.76	80.0	0.61
/ /	HEFFELFINGER, TAMMY	INA 2028 ENROLLMENT PORT CL A	0.00	0.04	0.00	0.04	80.0	0.03
/ /	LINN, ROSANNA	INA 2034 ENROLLMENT PORT CLASS A	0.00	0.00	0.00	0.00	80.0	0.00
/ /	HABESHY, BARBARA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.92	0.00	0.92	80.0	0.74
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	7.46	0.00	7.46	80.0	5.97
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	7.49	0.00	7.49	80.0	5.99
/ /	PETERSON, BRYAN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.44	0.00	0.44	80.0	0.35
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.59	0.00	0.59	80.0	0.47
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.65	0.00	0.65	80.0	0.52
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46

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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>								
/ /	CRAWFORD, JOHN	INA COLLEGE PORT CLASS A	0.00	0.01	0.00	0.01	80.0	0.01
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.20	0.00	0.20	80.0	0.16
/ /	HORNER, DOUGLAS	INA COLLEGE PORT CLASS A	0.00	0.11	0.00	0.11	80.0	0.09
/ /	BAILEY, LAURIE	INA COLLEGE PORT CLASS A	0.00	1.69	0.00	1.69	80.0	1.35
/ /	BAILEY, LAURIE	INA COLLEGE PORT CLASS A	0.00	1.11	0.00	1.11	80.0	0.89
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	1.25	0.00	1.25	80.0	1.00
/ /	HAMM, GAIL	INA COLLEGE PORT CLASS A	0.00	1.04	0.00	1.04	80.0	0.83
/ /	LINN, JASON	INA EMERGINING MARKETS EQUITY INDEX	0.00	0.04	0.00	0.04	80.0	0.03
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.18	0.00	0.18	80.0	0.14
04/20/2018	LINN, JASON	INA INTER EQTY INDEX PORTF A	8.25	0.13	0.00	0.13	80.0	0.10
/ /	LINN, JASON	INA LG CAP INDEX PORT CLASS A	0.00	1.15	0.00	1.15	80.0	0.92
/ /	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	0.00	0.68	0.00	0.68	80.0	0.54
/ /	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	0.00	0.68	0.00	0.68	80.0	0.54
04/20/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
04/20/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
04/20/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
/ /	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	0.00	1.07	0.00	1.07	80.0	0.86
/ /	LINN, ROSANNA	INA TIPS INDEX PORT CLASS A	0.00	0.28	0.00	0.28	80.0	0.22
/ /	HABESHY, BARBARA	INA TIPS INDEX PORT CLASS C	0.00	1.70	0.00	1.70	80.0	1.36
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$54,022.75	\$73.01	\$0.00	\$73.01		\$58.41
<u>BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #267</u>								
/ /	MARKS, RICHARD	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.40	0.00	0.40	80.0	0.32
* L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL *			\$0.00	\$0.40	\$0.00	\$0.40		\$0.32
*** SPLIT TRANSACTIONS TOTAL ***			\$54,172.75	\$75.43	\$0.00	\$75.43		\$60.35

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM, L129 LAYMAN #207 </u>								
04/16/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
/ /	BENEFICIAR, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	2.92	0.00	2.92	45.0	1.31
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2019 ENROLLMENT PORT CLASS A	0.00	1.62	0.00	1.62	45.0	0.73
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2022 ENROLLMENT PORT CLASS A	0.00	1.25	0.00	1.25	45.0	0.56
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.27	0.00	1.27	45.0	0.57
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.02	0.00	1.02	45.0	0.46
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.31	0.00	1.31	45.0	0.59
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2028 ENROLLMENT PORT CL A	0.00	1.31	0.00	1.31	45.0	0.59
/ /	BOUTWELL BENEFICIARY, LILLIAN	INA 2031 ENROLLMENT PORT CLASS A	0.00	0.64	0.00	0.64	45.0	0.29
* WILLIAM, L129 LAYMAN SUBTOTAL *			\$300.00	\$26.34	\$0.00	\$26.34		\$11.85
*** OVERRIDE TRANSACTIONS TOTAL ***			\$300.00	\$26.34	\$0.00	\$26.34		\$11.85

 BROKER COMMISSION TOTALS

Broker Transactions	\$759.42
Split Transactions	\$60.35
Override Transactions	\$11.85
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-26.18
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$805.44
Year-to-date Gross	\$18,351.43
Year-to-date Earnings	\$14,729.91

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