



Concorde Investment Services, LLC
COMMISSION STATEMENT
August 31, 2017

08/29/2017
 Page No. 1

KEITH 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>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 07/31/2017 | LOWDEN TRUST, KATHERINE | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 35.88 | 0.00 | 35.88 | 90.0 | 32.29 |
| | | * INTERVAL FUNDS SUBTOTAL * | \$0.00 | \$35.88 | \$0.00 | \$35.88 | | \$32.29 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS AMERICAN BALANCED 529A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 08/07/2017 | MCFEETERS, RYAN | AM FUNDS AMERICAN BALANCED A | 75.00 | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 08/10/2017 | GRIME, STEPHEN | AM FUNDS AMERICAN BALANCED A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 08/10/2017 | HERRIMAN, JANET | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/15/2017 | PEARSON, STACEY | AM FUNDS AMERICAN BALANCED A | 15.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 08/15/2017 | CACCAMO, MICHAEL | AM FUNDS AMERICAN BALANCED A | 540.00 | 22.95 | 0.00 | 22.95 | 90.0 | 20.66 |
| 08/15/2017 | WHITE, IAN | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | WEIMER, RITA | AM FUNDS AMERICAN BALANCED A | 300.00 | 15.00 | 0.00 | 15.00 | 90.0 | 13.50 |
| 08/21/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS AMERICAN BALANCED A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 08/23/2017 | EAGLESON, AMBER | AM FUNDS AMERICAN BALANCED A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 08/25/2017 | HALE, AMBER | AM FUNDS AMERICAN BALANCED A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/07/2017 | CAPPLEMAN, BETTIE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 500.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 08/07/2017 | CAPPLEMAN, BETTIE | AM FUNDS BOND FUND OF AMERICA C | 500.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL INCOME BUILDER 529 | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 08/21/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS CAPITAL INCOME BUILDER A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL INCOME BUILDER A | 65.00 | 2.44 | 0.00 | 2.44 | 90.0 | 2.20 |
| 08/07/2017 | CAPPLEMAN, BETTIE | AM FUNDS CAPITAL WORLD BOND C | 1,000.00 | 10.00 | 0.00 | 10.00 | 90.0 | 9.00 |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 08/07/2017 | CAPPLEMAN, BETTIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 496.70 | 21.11 | 0.00 | 21.11 | 90.0 | 19.00 |
| 08/07/2017 | HERBER, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 08/15/2017 | NEACE, VICTORIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/15/2017 | MUSKIN, VERONICA | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |

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> | | | | | | | | |
| 08/21/2017 | JACKSON, AIMEE | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 75.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 08/07/2017 | HERBER, TRINA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 08/07/2017 | MCFEETERS, VALERIE | AM FUNDS GROWTH FUND OF AMERICA A | 75.00 | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 08/10/2017 | GRIME, STEPHEN | AM FUNDS GROWTH FUND OF AMERICA A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 08/15/2017 | NEACE, VICTORIA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/15/2017 | MUSKIN, VERONICA | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 75.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| 08/24/2017 | ROEMER, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/15/2017 | NEWBAUER, CAMERON | AM FUNDS ICA 529A | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 08/10/2017 | GRIME, STEPHEN | AM FUNDS ICA A | 100.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 08/21/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS INCOME FUND OF AMERICA A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS INCOME FUND OF AMERICA A | 55.00 | 2.06 | 0.00 | 2.06 | 90.0 | 1.85 |
| 08/21/2017 | MURPHY REV LIV TRUST, WILLIAM | AM FUNDS NEW ECONOMY A | 300.00 | 3.60 | 0.00 | 3.60 | 90.0 | 3.24 |
| 08/15/2017 | MUSKIN, VERONICA | AM FUNDS NEW PERSPECTIVE A | 50.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS NEW PERSPECTIVE A | 65.00 | 2.44 | 0.00 | 2.44 | 90.0 | 2.20 |
| 08/15/2017 | ROEMER, SHERRI | AM FUNDS NEW WORLD A | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/16/2017 | MUSSEY, LORI | AM FUNDS NEW WORLD A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/23/2017 | EAGLESON, JOSEPH | AM FUNDS NEW WORLD A | 65.00 | 2.44 | 0.00 | 2.44 | 90.0 | 2.20 |
| 08/07/2017 | CAPPLEMAN, BETTIE | AM FUNDS U.S. GOVERNMENT SECURITIES | 400.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| / / | MARKS, GAREN | ASCENSUS COLLEGE SAV 194524518 | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 08/14/2017 | FREEZE, CORTNEY | ASCENSUS COLLEGE SAV 194524518 | 15.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS COLLEGE SAV 194524518 | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 08/24/2017 | GEVERINK, ANN | ASCENSUS COLLEGE SAV 194524518 | 30.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| / / | SIEGER, NORMAN | ASCENSUS INA AMERICAN FUNDS EUROPAC | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 08/07/2017 | SLATER, JUSTIN | ASCENSUS INA AMERICAN FUNDS EUROPAC | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 08/14/2017 | FREEZE, CORTNEY | ASCENSUS INA AMERICAN FUNDS EUROPAC | 15.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA AMERICAN FUNDS EUROPAC | 20.80 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| 08/18/2017 | 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> | | | | | | | | |
| 08/24/2017 | GEVERINK, ANN | ASCENSUS INA AMERICAN FUNDS EUROPAC | 30.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| 08/14/2017 | MULLINS, CYNTHIA | ASCENSUS INA COLLEGE PORTFOLIO CL C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/07/2017 | SLATER, JUSTIN | ASCENSUS INA INTERNATIONAL EQ INDEX | 12.50 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| 08/25/2017 | MARKS, GAREN | ASCENSUS INA INTERNATIONAL EQ INDEX | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/08/2017 | SIEGER, NORMAN | ASCENSUS INA PIMCO TOTAL RETURN POR | 40.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 08/14/2017 | FREEZE, CORTNEY | ASCENSUS INA PIMCO TOTAL RETURN POR | 15.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA PIMCO TOTAL RETURN POR | 13.87 | 0.45 | 0.00 | 0.45 | 90.0 | 0.41 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA PIMCO TOTAL RETURN POR | 27.73 | 0.90 | 0.00 | 0.90 | 90.0 | 0.81 |
| 08/24/2017 | GEVERINK, ANN | ASCENSUS INA PIMCO TOTAL RETURN POR | 40.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 08/25/2017 | MARKS, GAREN | ASCENSUS INA PIMCO TOTAL RETURN POR | 45.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA SHORT TERM TREASURY IN | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA SHORT TERM TREASURY IN | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/25/2017 | MARKS, GAREN | ASCENSUS INA SHORT TERM TREASURY IN | 15.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 08/07/2017 | SLATER, JUSTIN | ASCENSUS INA T ROWE PRICE LG CAP GR | 12.50 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| 08/08/2017 | SIEGER, NORMAN | ASCENSUS INA T ROWE PRICE LG CAP GR | 160.00 | 7.60 | 0.00 | 7.60 | 90.0 | 6.84 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 41.60 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 48.53 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS INA T ROWE PRICE LG CAP GR | 34.67 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 08/24/2017 | GEVERINK, ANN | ASCENSUS INA T ROWE PRICE LG CAP GR | 50.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 08/25/2017 | MARKS, GAREN | ASCENSUS INA T ROWE PRICE LG CAP GR | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA TIPS PORTFOLIO CL A | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS INA TIPS PORTFOLIO CL A | 50.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 50.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 08/07/2017 | GOODMAN, LAUREN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 50.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 08/08/2017 | SIEGER, NORMAN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 160.00 | 7.60 | 0.00 | 7.60 | 90.0 | 6.84 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 41.60 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 48.53 | 1.94 | 0.00 | 1.94 | 90.0 | 1.75 |
| 08/18/2017 | GALENTINE, STEPHANIE | ASCENSUS-INA BLACKROCK LG CAP VALUE | 34.67 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 08/24/2017 | GEVERINK, ANN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 50.00 | 2.38 | 0.00 | 2.38 | 90.0 | 2.14 |
| 08/25/2017 | MARKS, GAREN | ASCENSUS-INA BLACKROCK LG CAP VALUE | 22.50 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 08/14/2017 | FREEZE, CORTNEY | ASCENSUS-INA LG CAP INDEX PF CL A | 55.00 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 08/14/2017 | SCHUCH, AUTUMN | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 08/14/2017 | SCHUCH, AUTUMN | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 07/31/2017 | HODAPP, CYNTHIA | BLACKROCK 19452P784 | 0.00 | 0.06 | 0.00 | 0.06 | 90.0 | 0.05 |
| / / | MCFEETERS, VALERIE | BLK CAPITAL APPRECIATION A | 0.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 07/31/2017 | MCFEETERS, VALERIE | BLK CAPITAL APPRECIATION A | 0.00 | 0.29 | 0.00 | 0.29 | 90.0 | 0.26 |
| 07/31/2017 | GILROY, MATTHEW | BLK INTL OPP A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 08/15/2017 | SCHUCH, AUTUMN | OPPENHEIMER CAPITAL APPRECIATION A | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 08/15/2017 | SEELY, CHARLES | OPPENHEIMER CAPITAL INCOME FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/15/2017 | SEELY, CHARLES | OPPENHEIMER CORPORATE BOND FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/15/2017 | GALENTINE, JUSTIN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 200.00 | 9.50 | 0.00 | 9.50 | 90.0 | 8.55 |
| 08/15/2017 | URICK, DANIEL | TRANSAMERICA CAPITAL GROWTH A | 100.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 08/15/2017 | DELANEY, DIANA | VANGUARD 500 INDEX FUND INVESTOR SH | 150.00 | 0.00 | 12.00 | -12.00 | 90.0 | -10.80 |
| 08/15/2017 | DELANEY, MATTHEW | VANGUARD 500 INDEX FUND INVESTOR SH | 25.00 | 0.00 | 12.00 | -12.00 | 90.0 | -10.80 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$9,480.20 | \$274.83 | \$24.00 | \$250.83 | | \$225.82 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 08/28/2017 | GILROY, MATTHEW | ALPINE TOTAL DYNAMIC FD COM SH BEN | -43.35 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 08/28/2017 | GILROY, MATTHEW | FORD MOTOR CO DEL COM PAR | -1,076.01 | 50.00 | 22.50 | 27.50 | 90.0 | 24.75 |
| 08/28/2017 | GILROY, MATTHEW | NOKIA CORP SPONSORED ADR | -31.12 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 08/28/2017 | GILROY, MATTHEW | OSCEOLA GOLD INC COM | -0.41 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 08/28/2017 | GILROY, MATTHEW | SB FINL GROUP INC COM | -1,643.72 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 08/28/2017 | GILROY, MATTHEW | SPRINT CORP COM SER 1 | -49.81 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| * STOCKS SUBTOTAL * | | | \$-2,844.42 | \$94.00 | \$135.00 | \$-41.00 | | \$-36.90 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 08/15/2017 | 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: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 08/03/2017 | MARTZ, PHILLIS | ING ACCESS | 0.00 | 911.72 | 0.00 | 911.72 | 90.0 | 820.55 |
| 08/08/2017 | HEES, CHRISTEY | ING ESII | 0.00 | 68.41 | 0.00 | 68.41 | 90.0 | 61.57 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$980.13 | \$0.00 | \$980.13 | | \$882.12 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$6,685.78 | \$1,385.84 | \$159.00 | \$1,226.84 | | \$1,104.23 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u> | | | | | | | | |
| 08/15/2017 | DORSETT, LARA | AM FUNDS AMERICAN BALANCED A | 100.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 08/18/2017 | SITES, AMY | AM FUNDS AMERICAN BALANCED A | 125.00 | 2.18 | 0.00 | 2.18 | 90.0 | 1.96 |
| 08/17/2017 | KLINE, NANCY | AM FUNDS CAPITAL WORLD GRTH & INC A | 500.00 | 8.75 | 0.00 | 8.75 | 90.0 | 7.88 |
| 08/15/2017 | ROBERTSON, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A | 200.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| 08/17/2017 | KLINE, NANCY | AM FUNDS GROWTH FUND OF AMERICA A | 500.00 | 8.75 | 0.00 | 8.75 | 90.0 | 7.88 |
| 08/14/2017 | SHERWOOD, JULIE | ASCENSUS INA 2019 ENROLLMENT PORT C | 50.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 08/25/2017 | JOHNSON, ERIC | ASCENSUS INA 2022 ENROLLMENT PTF A | 100.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 08/11/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 08/11/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 08/25/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| 08/25/2017 | EGLY, KEITH | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00 | 0.17 | 0.00 | 0.17 | 90.0 | 0.15 |
| / / | SHERWOOD, JULIE | ASCENSUS INA COLLEGE PORTFOLIO CL A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 08/18/2017 | SITES, EDWARD | ASCENSUS INA COLLEGE PORTFOLIO CL A | 50.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 08/11/2017 | LINN, JASON | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 08/25/2017 | LINN, JASON | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 08/11/2017 | LINN, JASON | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 08/25/2017 | LINN, JASON | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25 | 0.10 | 0.00 | 0.10 | 90.0 | 0.09 |
| 08/11/2017 | EGLY, KEITH | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 08/25/2017 | EGLY, KEITH | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 08/11/2017 | LINN, JASON | ASCENSUS-INA LG CAP INDEX PF CL A | 38.50 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 08/11/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 08/11/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 08/25/2017 | LINN, JASON | ASCENSUS-INA LG CAP INDEX PF CL A | 38.50 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| 08/25/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 08/25/2017 | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A | 25.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.37 |
| 07/31/2017 | BURTNETTE, PATRICIA | GRIFFIN INST'L ACCESS R E FUND C | 0.00 | 15.76 | 0.00 | 15.76 | 90.0 | 14.18 |
| 08/14/2017 | SITES, TEGAN | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL * | | | \$2,085.00 | \$49.34 | \$0.00 | \$49.34 | | \$44.42 |
| <u>BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #267</u> | | | | | | | | |
| 08/14/2017 | MULLINS, JAMES | ASCENSUS INA 2022 ENROLLMENT PTF A | 50.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| * L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL * | | | \$50.00 | \$1.19 | \$0.00 | \$1.19 | | \$1.07 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$2,135.00 | \$50.53 | \$0.00 | \$50.53 | | \$45.49 |

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> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: WILLIAM LAYMAN #207</u> | | | | | | | | |
| 08/15/2017 | RABER, AMY | AM FUNDS AMERICAN MUTUAL A | 300.00 | 15.00 | 0.00 | 15.00 | 45.0 | 6.75 |
| | | * WILLIAM LAYMAN SUBTOTAL * | \$300.00 | \$15.00 | \$0.00 | \$15.00 | | \$6.75 |
| | | *** OVERRIDE TRANSACTIONS TOTAL *** | \$300.00 | \$15.00 | \$0.00 | \$15.00 | | \$6.75 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,104.23 |
| Split Transactions | \$45.49 |
| Override Transactions | \$6.75 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$7.05 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$1,163.52 |
| Year-to-date Gross | \$37,147.06 |
| Year-to-date Earnings | \$32,308.09 |

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