

# STATEMENT

## January 20, 2018

DEAN WELLS  
689 W Morgan St  
SUITE 620  
Spencer, IN 47460

BROKER #: 156  
BRANCH:

### COMMISSION STATEMENT for DEAN WELLS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
11/16/2017	#00214767874	PUTNAM EQUITY INCOME FUND NEW-CL A	25.00	1.25	90.0	0.00	1.13	0.00	1.13
11/16/2017	#00214738435	PUTNAM GROWTH OPPORTUNITIES FUND-CL	25.00	1.25	90.0	0.00	1.13	0.00	1.13
11/30/2017	#62060070403	LEFFEL, KEVIN COLLEGE C	0.00	0.26	90.0	0.00	0.23	0.00	0.23
11/30/2017	#62060070404	LEFFEL, KEVIN COLLEGE C	0.00	0.26	90.0	0.00	0.23	0.00	0.23
11/30/2017	#62060070403	LEFFEL, KEVIN LARGE CAP INDEX PORTFOLIO CLASS C	0.00	0.34	90.0	0.00	0.31	0.00	0.31
11/30/2017	#62060070404	LEFFEL, KEVIN LARGE CAP INDEX PORTFOLIO CLASS C	0.00	0.34	90.0	0.00	0.31	0.00	0.31
11/30/2017	#62060070403	LEFFEL, KEVIN PIMCO TOTAL RETURN PORTFOLIO CLASS	0.00	0.15	90.0	0.00	0.14	0.00	0.14
11/30/2017	#62060070404	LEFFEL, KEVIN PIMCO TOTAL RETURN PORTFOLIO CLASS	0.00	0.15	90.0	0.00	0.14	0.00	0.14
12/06/2017	#62664558602	BLANDFORD, COLLEGE PORTFOLIO CLASS C	0.00	9.02	90.0	0.00	8.12	0.00	8.12
12/12/2017	#62256659201	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	4.85	90.0	0.00	4.37	0.00	4.37
12/12/2017	#62256659202	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	4.85	90.0	0.00	4.37	0.00	4.37
12/12/2017	#62347804301	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	1.62	90.0	0.00	1.46	0.00	1.46
12/12/2017	#62347804302	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	8.08	90.0	0.00	7.27	0.00	7.27
12/12/2017	#62347804302	HOOVER, DANIEL INA SMALL CAP EQUITY INDEX PORT A	0.00	8.08	90.0	0.00	7.27	0.00	7.27
12/12/2017	#62256659201	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	4.70	90.0	0.00	4.23	0.00	4.23
12/12/2017	#62256659202	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	4.70	90.0	0.00	4.23	0.00	4.23
12/12/2017	#62347804301	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	1.57	90.0	0.00	1.41	0.00	1.41
12/12/2017	#62347804302	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	15.68	90.0	0.00	14.11	0.00	14.11
12/12/2017	#62256659201	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	4.70	90.0	0.00	4.23	0.00	4.23
12/12/2017	#62256659202	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	4.70	90.0	0.00	4.23	0.00	4.23
12/12/2017	#62347804301	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	1.57	90.0	0.00	1.41	0.00	1.41
12/12/2017	#62347804302	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	15.68	90.0	0.00	14.11	0.00	14.11
12/14/2017	#62664558602	BLANDFORD, COLLEGE PORTFOLIO CLASS C	0.00	1.00	90.0	0.00	0.90	0.00	0.90
12/14/2017	#62281123602	BLANDFORD, LARGE CAP INDEX PORTFOLIO CLASS A	0.00	1.19	90.0	0.00	1.07	0.00	1.07
12/18/2017	# YAPP, BERNADETTE	ARTISAN FUNDS INC MID CAP FUND	300.00	0.00	90.0	0.00	0.00	20.00	-20.00
12/18/2017	#00214767874	PUTNAM EQUITY INCOME FUND NEW-CL A	25.00	1.25	90.0	0.00	1.13	0.00	1.13
12/18/2017	#00214738435	PUTNAM GROWTH OPPORTUNITIES FUND-CL	25.00	1.25	90.0	0.00	1.13	0.00	1.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
* MUTUAL FUNDS SUBTOTAL *			\$400.00	\$98.49		\$0.00	\$88.67	\$20.00	\$68.67
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>									
12/15/2017	#00007718267	BRINSON, BRIGHTHOUSE/METLIFE	0.00	0.18	90.0	0.00	0.16	0.00	0.16
12/15/2017	#00007718268	BRINSON, BRIGHTHOUSE/METLIFE	0.00	0.39	90.0	0.00	0.35	0.00	0.35
12/15/2017	#00007718269	BRINSON, BRIGHTHOUSE/METLIFE	0.00	0.35	90.0	0.00	0.32	0.00	0.32
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$0.92		\$0.00	\$0.83	\$0.00	\$0.83
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
12/01/2017	#00929134691	IN/UTMA AMCAP FUND INC CLASS A	0.00	5.66	90.0	0.00	5.09	0.00	5.09
12/01/2017	#00929134692	IN/UTMA AMCAP FUND INC CLASS A	0.00	2.34	90.0	0.00	2.11	0.00	2.11
12/01/2017	#00929134693	IN/UTMA AMCAP FUND INC CLASS A	0.00	5.37	90.0	0.00	4.83	0.00	4.83
12/01/2017	#00075993930	DAVIES, DAVE AMCAP FUND INC CLASS A	0.00	2.49	90.0	0.00	2.24	0.00	2.24
12/01/2017	#00081632391	HOOVER, DANIEL AMCAP FUND INC CLASS A	0.00	6.11	90.0	0.00	5.50	0.00	5.50
12/01/2017	#00083302166	04/05/2006, UDT AMCAP FUND INC CLASS A	0.00	1.02	90.0	0.00	0.92	0.00	0.92
12/01/2017	#00929134691	IN/UTMA AMERICAN BALANCED FUND INC CLASS A	0.00	4.43	90.0	0.00	3.99	0.00	3.99
12/01/2017	#00929134692	IN/UTMA AMERICAN BALANCED FUND INC CLASS A	0.00	1.27	90.0	0.00	1.14	0.00	1.14
12/01/2017	#00929134693	IN/UTMA AMERICAN BALANCED FUND INC CLASS A	0.00	4.21	90.0	0.00	3.79	0.00	3.79
12/01/2017	#00089585778	AMERICAN BALANCED FUND INC CLASS A	0.00	1.13	90.0	0.00	1.02	0.00	1.02
12/01/2017	#00089589105	AMERICAN BALANCED FUND INC CLASS A	0.00	0.61	90.0	0.00	0.55	0.00	0.55
12/01/2017	#00083302166	04/05/2006, UDT AMERICAN FDS DEVELOPING WORLD GROWT	0.00	1.03	90.0	0.00	0.93	0.00	0.93
12/01/2017	#00073380549	FLORES, KATHRYN AMERICAN FUNDS 023375405	0.00	4.08	90.0	0.00	3.67	0.00	3.67
12/01/2017	#00073380549	FLORES, KATHRYN AMERICAN FUNDS 643822406	0.00	4.35	90.0	0.00	3.92	0.00	3.92
12/01/2017	#00082116492	KOGER, CONNIE AMERICAN FUNDS INCOME SERIES U S GO	0.00	4.98	90.0	0.00	4.48	0.00	4.48
12/01/2017	#00089585778	AMERICAN MUTUAL FUND INC CLASS A	0.00	1.16	90.0	0.00	1.04	0.00	1.04
12/01/2017	#00089589105	AMERICAN MUTUAL FUND INC CLASS A	0.00	0.63	90.0	0.00	0.57	0.00	0.57
12/01/2017	#00087294755	AMERICAN MUTUAL FUND INC CLASS A	0.00	9.45	90.0	0.00	8.51	0.00	8.51
12/01/2017	#00083302166	04/05/2006, UDT AMERICAN MUTUAL FUND INC CLASS A	0.00	0.98	90.0	0.00	0.88	0.00	0.88
12/01/2017	#00082515422	YEISER, THOMAS CAPITAL INCOME BUILDER FD CL A	0.00	3.97	90.0	0.00	3.57	0.00	3.57
12/01/2017	#00083163028	CAPITAL INCOME BUILDER FD CL A	0.00	7.13	90.0	0.00	6.42	0.00	6.42
12/01/2017	#00064822273	CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.24	90.0	0.00	2.92	0.00	2.92
12/01/2017	#00087229992	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.23	90.0	0.00	0.21	0.00	0.21
12/01/2017	#00081842320	STURGEON, CAPITAL WORLD GROWTH & INCOME FUND	0.00	19.75	90.0	0.00	17.78	0.00	17.78
12/01/2017	#00082515422	YEISER, THOMAS CAPITAL WORLD GROWTH & INCOME FUND	0.00	4.60	90.0	0.00	4.14	0.00	4.14
12/01/2017	#00083163028	CAPITAL WORLD GROWTH & INCOME FUND	0.00	14.90	90.0	0.00	13.41	0.00	13.41
12/01/2017	#00083319810	UNTIL AGE 21, CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.00	90.0	0.00	2.70	0.00	2.70
12/01/2017	#00084191746	NEWGENT, DAVID CAPITAL WORLD GROWTH & INCOME FUND	0.00	5.88	90.0	0.00	5.29	0.00	5.29
12/01/2017	#00084199984	NEWGENT, DAVID CAPITAL WORLD GROWTH & INCOME FUND	0.00	6.20	90.0	0.00	5.58	0.00	5.58
12/01/2017	#00064822273	EURO PACIFIC GROWTH FUND CLASS A	0.00	2.90	90.0	0.00	2.61	0.00	2.61
12/01/2017	#00075993930	DAVIES, DAVE GLOBAL BALANCED FUND-A	0.00	1.77	90.0	0.00	1.59	0.00	1.59

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00087229992	GLOBAL GROWTH PORTFOLIO-A	0.00	0.24	90.0	0.00	0.22	0.00	0.22
12/01/2017	#00084191746 NEWGENT, DAVID	GROWTH FUND AMER INC CL C	0.00	11.44	90.0	0.00	10.30	0.00	10.30
12/01/2017	#00084199984 NEWGENT, DAVID	GROWTH FUND AMER INC CL C	0.00	12.04	90.0	0.00	10.84	0.00	10.84
12/01/2017	#00064822273	GROWTH FUND AMERICA INC CLASS A	0.00	10.13	90.0	0.00	9.12	0.00	9.12
12/01/2017	#00089585778	GROWTH FUND AMERICA INC CLASS A	0.00	1.26	90.0	0.00	1.13	0.00	1.13
12/01/2017	#00089589105	GROWTH FUND AMERICA INC CLASS A	0.00	0.68	90.0	0.00	0.61	0.00	0.61
12/01/2017	#00083163028	GROWTH FUND AMERICA INC CLASS A	0.00	12.35	90.0	0.00	11.12	0.00	11.12
12/01/2017	#00089585778	INCOME FUND OF AMERICA INC CLASS A	0.00	1.12	90.0	0.00	1.01	0.00	1.01
12/01/2017	#00089589105	INCOME FUND OF AMERICA INC CLASS A	0.00	0.61	90.0	0.00	0.55	0.00	0.55
12/01/2017	#00081842320 STURGEON,	INCOME FUND OF AMERICA INC CLASS A	0.00	6.56	90.0	0.00	5.90	0.00	5.90
12/01/2017	#00082515422 YEISER, THOMAS	INCOME FUND OF AMERICA INC CLASS A	0.00	4.61	90.0	0.00	4.15	0.00	4.15
12/01/2017	#00064822273	INVESTMENT CO AMER CLASS A	0.00	9.91	90.0	0.00	8.92	0.00	8.92
12/01/2017	#00087294755	INVESTMENT CO AMER CLASS A	0.00	11.83	90.0	0.00	10.65	0.00	10.65
12/01/2017	#00081632391 HOOVER, DANIEL	INVESTMENT CO AMER CLASS A	0.00	6.27	90.0	0.00	5.64	0.00	5.64
12/01/2017	#00082515422 YEISER, THOMAS	INVESTMENT CO AMER CLASS A	0.00	3.93	90.0	0.00	3.54	0.00	3.54
12/01/2017	#00083302166 04/05/2006, UDT	INVESTMENT CO AMER CLASS A	0.00	1.00	90.0	0.00	0.90	0.00	0.90
12/01/2017	#00081632391 HOOVER, DANIEL	NEW ECONOMY FUND SBI CLASS A	0.00	8.32	90.0	0.00	7.49	0.00	7.49
12/01/2017	#00082515422 YEISER, THOMAS	NEW ECONOMY FUND SBI CLASS A	0.00	15.85	90.0	0.00	14.27	0.00	14.27
12/01/2017	#00993518657 DAVIES, DAVE	NEW WORLD FUND INC NEW	0.00	0.60	90.0	0.00	0.54	0.00	0.54
12/01/2017	#00084191746 NEWGENT, DAVID	SMALLCAP WORLD FUND INC CL C	0.00	7.50	90.0	0.00	6.75	0.00	6.75
12/01/2017	#00084199984 NEWGENT, DAVID	SMALLCAP WORLD FUND INC CL C	0.00	8.06	90.0	0.00	7.25	0.00	7.25
12/01/2017	#00064822273	SMALLCAP WORLD FUND INC CLASS A	0.00	9.91	90.0	0.00	8.92	0.00	8.92
12/01/2017	#00929134691 IN/UTMA	SMALLCAP WORLD FUND INC CLASS A	0.00	7.06	90.0	0.00	6.35	0.00	6.35
12/01/2017	#00929134692 IN/UTMA	SMALLCAP WORLD FUND INC CLASS A	0.00	3.59	90.0	0.00	3.23	0.00	3.23
12/01/2017	#00929134693 IN/UTMA	SMALLCAP WORLD FUND INC CLASS A	0.00	6.68	90.0	0.00	6.01	0.00	6.01
12/01/2017	#00075993930 DAVIES, DAVE	SMALLCAP WORLD FUND INC CLASS A	0.00	2.24	90.0	0.00	2.02	0.00	2.02
12/01/2017	#00082515422 YEISER, THOMAS	SMALLCAP WORLD FUND INC CLASS A	0.00	3.13	90.0	0.00	2.82	0.00	2.82
12/01/2017	#00083163028	SMALLCAP WORLD FUND INC CLASS A	0.00	6.30	90.0	0.00	5.67	0.00	5.67
12/01/2017	#00073380549 FLORES, KATHRYN	THE INVESTMENT COMPANY OF AMERICA F	0.00	4.18	90.0	0.00	3.76	0.00	3.76
12/01/2017	#00084191746 NEWGENT, DAVID	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	10.33	90.0	0.00	9.30	0.00	9.30
12/01/2017	#00084199984 NEWGENT, DAVID	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	10.34	90.0	0.00	9.31	0.00	9.31
12/01/2017	#00064822273	WASHINGTON MUTUAL INVS FD CLASS A	0.00	10.61	90.0	0.00	9.55	0.00	9.55
12/01/2017	#00087294755	WASHINGTON MUTUAL INVS FD CLASS A	0.00	10.69	90.0	0.00	9.62	0.00	9.62
12/11/2017	# BUELL, ROBERTA	DAIN TRAILER	0.00	2.15	90.0	0.00	1.94	0.00	1.94
12/11/2017	# BUELL, ROBERTA	DAIN TRAILER	0.00	2.89	90.0	0.00	2.60	0.00	2.60
12/11/2017	# BUELL, ROBERTA	DAIN TRAILER	0.00	2.16	90.0	0.00	1.94	0.00	1.94

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
12/11/2017 #	YAPP, BERNADETTE	DAIN TRAILER	0.00	0.01	90.0	0.00	0.01	0.00	0.01
12/11/2017 #	YAPP, BERNADETTE	DAIN TRAILER	0.00	0.40	90.0	0.00	0.36	0.00	0.36
12/11/2017 #	MCCALLISTER, ROBIN	DAIN TRAILER	0.00	0.61	90.0	0.00	0.55	0.00	0.55
12/11/2017 #	MCCALLISTER, ROBIN	DAIN TRAILER	0.00	1.01	90.0	0.00	0.91	0.00	0.91
12/11/2017 #	MCCALLISTER, ROBIN	DAIN TRAILER	0.00	0.81	90.0	0.00	0.73	0.00	0.73
12/11/2017 #	WELLS, INA	DAIN TRAILER	0.00	2.70	90.0	0.00	2.43	0.00	2.43
12/11/2017 #	LEFFEL, KEVIN	DAIN TRAILER	0.00	13.67	90.0	0.00	12.30	0.00	12.30
12/11/2017 #	CRAIG, CHERYL	DAIN TRAILER	0.00	1.54	90.0	0.00	1.39	0.00	1.39
12/22/2017 #	CRAIG, CHERYL	DAIN TRAILER	0.00	0.46	90.0	0.00	0.41	0.00	0.41
01/02/2018 #00214767874		PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	7.69	90.0	0.00	6.92	0.00	6.92
01/02/2018 #00214738435		PUTNAM GROWTH OPPORTUNITIES FUND-CL	0.00	8.66	90.0	0.00	7.79	0.00	7.79
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$399.00</b>		<b>\$0.00</b>	<b>\$359.14</b>	<b>\$0.00</b>	<b>\$359.14</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$400.00</b>	<b>\$498.41</b>		<b>\$0.00</b>	<b>\$448.64</b>	<b>\$20.00</b>	<b>\$428.64</b>

**ADJUSTMENTS**

01/20/2018	BETA BACK OFFICE: ADMIN FEE	-320.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
01/20/2018	CIRCLEBLACK: CIRCLEBLACK	-175.00
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$-674.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$428.64
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-674.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,168.62
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$-1,413.98</b>
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