

All Companies
STATEMENT
August 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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
07/03/0018	#62664558602	BLANDFORD, COLLEGE PORTFOLIO CLASS C	200.00	2.00	90.0	0.00	1.80	0.00	1.80
07/03/0018	#62281123602	BLANDFORD, LARGE CAP INDEX PORTFOLIO CLASS A	25.00	1.19	90.0	0.00	1.07	0.00	1.07
07/03/0018	#7158291	ENGLISH, DAVID VALIC UITG	200.00	1.35	90.0	0.00	1.22	0.00	1.22
07/03/0018	#7158253	HARTMAN, ARNOLD VALIC UITG	300.00	2.03	90.0	0.00	1.83	0.00	1.83
07/03/0018	#7158237	WOODRUFF, CATHERINE VALIC UITG	200.00	1.35	90.0	0.00	1.22	0.00	1.22
06/30/0201	#62932702301	CLAMPITT 2028 ENROLLMENT PORTFOLIO CLASS A	0.00	0.62	90.0	0.00	0.56	0.00	0.56
06/30/0201	#62060070404	LEFFEL, KEVIN COLLEGE C	0.00	2.99	90.0	0.00	2.69	0.00	2.69
06/30/0201	#62347804301	HOOVER, DANIEL COLLEGE C	0.00	2.30	90.0	0.00	2.07	0.00	2.07
06/30/0201	#62468040402	DAVIES, DAVE COLLEGE CHOICE	0.00	0.24	90.0	0.00	0.22	0.00	0.22
06/30/0201	#62664558602	BLANDFORD, COLLEGE CHOICE	0.00	4.46	90.0	0.00	4.01	0.00	4.01
06/30/0201	#62281123601	WILLIAMS, COLLEGE CHOICE 194524385	0.00	0.01	90.0	0.00	0.01	0.00	0.01
06/30/0201	#62281123602	BLANDFORD, COLLEGE CHOICE 194524385	0.00	0.05	90.0	0.00	0.05	0.00	0.05
06/30/0201	#62664558602	BLANDFORD, COLLEGE PORTFOLIO CLASS C	0.00	0.06	90.0	0.00	0.05	0.00	0.05
06/30/0201	#62060070404	LEFFEL, KEVIN INA DIAMOND HILL SMALL MID CAP PORT	0.00	1.13	90.0	0.00	1.02	0.00	1.02
06/30/0201	#62256659201	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	2.86	90.0	0.00	2.57	0.00	2.57
06/30/0201	#62281123601	WILLIAMS, INA DIAMOND HILL SMALL MID CAP PORT	0.00	0.01	90.0	0.00	0.01	0.00	0.01
06/30/0201	#62281123602	BLANDFORD, INA DIAMOND HILL SMALL MID CAP PORT	0.00	0.05	90.0	0.00	0.05	0.00	0.05
06/30/0201	#62347804301	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	1.97	90.0	0.00	1.77	0.00	1.77
06/30/0201	#62347804302	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	0.33	90.0	0.00	0.30	0.00	0.30
06/30/0201	#62256629202	HOOVER, DANIEL INA DIAMOND HILL SMALL MID CAP PORT	0.00	2.07	90.0	0.00	1.86	0.00	1.86
06/30/0201	#62281123601	WILLIAMS, INA INTER EQTY INDEX PORT A	0.00	0.01	90.0	0.00	0.01	0.00	0.01
06/30/0201	#62281123602	BLANDFORD, INA INTER EQTY INDEX PORT A	0.00	0.01	90.0	0.00	0.01	0.00	0.01
06/30/0201	#62347804302	HOOVER, DANIEL INA SMALL CAP EQUITY INDEX PORT A	0.00	0.36	90.0	0.00	0.32	0.00	0.32
06/30/0201	#62347804301	HOOVER, DANIEL INA T ROWE PRICE LG CAP GROWTH PO C	0.00	2.86	90.0	0.00	2.57	0.00	2.57
06/30/0201	#62576293101	WELLS, DEAN INA T ROWE PRICE LG CAP GROWTH PO C	0.00	3.36	90.0	0.00	3.02	0.00	3.02
06/30/0201	#62060070404	LEFFEL, KEVIN LARGE CAP INDEX PORTFOLIO CLASS A	0.00	1.24	90.0	0.00	1.12	0.00	1.12
06/30/0201	#62256659201	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	2.91	90.0	0.00	2.62	0.00	2.62
06/30/0201	#62281123601	WILLIAMS, LARGE CAP INDEX PORTFOLIO CLASS A	0.00	0.02	90.0	0.00	0.02	0.00	0.02

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/30/0201	#62281123602	BLANDFORD, LARGE CAP INDEX PORTFOLIO CLASS A	0.00	1.34	90.0	0.00	1.21	0.00	1.21
06/30/0201	#62347804301	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	2.02	90.0	0.00	1.82	0.00	1.82
06/30/0201	#62347804302	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	0.68	90.0	0.00	0.61	0.00	0.61
06/30/0201	#62256629202	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS A	0.00	2.12	90.0	0.00	1.91	0.00	1.91
06/30/0201	#62060070404	LEFFEL, KEVIN LARGE CAP INDEX PORTFOLIO CLASS C	0.00	4.26	90.0	0.00	3.83	0.00	3.83
06/30/0201	#62347804301	HOOVER, DANIEL LARGE CAP INDEX PORTFOLIO CLASS C	0.00	2.35	90.0	0.00	2.12	0.00	2.12
06/30/0201	#62060070404	LEFFEL, KEVIN PIMCO TOTAL RETURN PORTFOLIO CLASS	0.00	1.42	90.0	0.00	1.28	0.00	1.28
06/30/0201	#62060070404	LEFFEL, KEVIN PIMCO TOTAL RETURN PORTFOLIO CLASS	0.00	0.58	90.0	0.00	0.52	0.00	0.52
06/30/0201	#62256659201	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	3.53	90.0	0.00	3.18	0.00	3.18
06/30/0201	#62281123601	WILLIAMS, T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	0.02	90.0	0.00	0.02	0.00	0.02
06/30/0201	#62281123602	BLANDFORD, T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	0.07	90.0	0.00	0.06	0.00	0.06
06/30/0201	#62347804301	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	2.44	90.0	0.00	2.20	0.00	2.20
06/30/0201	#62347804302	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	0.78	90.0	0.00	0.70	0.00	0.70
06/30/0201	#62256629202	HOOVER, DANIEL T ROWE PRICE LARGE CAP GROWTH CLASS	0.00	2.56	90.0	0.00	2.30	0.00	2.30
07/10/2018	#04000958059	BLANDFORD, CAPITAL WORLD GROWTH & INCOME FUND	50.00	2.50	90.0	0.00	2.25	0.00	2.25
07/16/2018	#00214767874	PUTNAM EQUITY INCOME FUND NEW-CL A	25.00	1.25	90.0	0.00	1.13	0.00	1.13
07/16/2018	#00214738435	PUTNAM GROWTH OPPORTUNITIES FUND-CL	25.00	1.25	90.0	0.00	1.13	0.00	1.13
07/17/2018	# YAPP, BERNADETTE	ARTISAN FUNDS INC MID CAP FUND	250.00	0.00	90.0	0.00	0.00	20.00	-20.00
* MUTUAL FUNDS SUBTOTAL *			\$1,275.00	\$67.01		\$0.00	\$60.34	\$20.00	\$40.34
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/06/0018	#00007718267	BRINSON, BRIGHTHOUSE MVLAC	11.79	0.18	90.0	0.00	0.16	0.00	0.16
07/06/0018	#00007718268	BRINSON, BRIGHTHOUSE MVLAC	25.87	0.39	90.0	0.00	0.35	0.00	0.35
07/06/0018	#00007718269	BRINSON, BRIGHTHOUSE MVLAC	23.40	0.35	90.0	0.00	0.32	0.00	0.32
06/30/0201	#711369612	BUELL, ROBERTA HARTFORD LIFE	0.00	23.84	90.0	0.00	21.46	0.00	21.46
06/30/0201	#712514366	KOGER, CONNIE HARTFORD LIFE	0.00	1.83	90.0	0.00	1.65	0.00	1.65
* VARIABLE ANNUITIES SUBTOTAL *			\$61.06	\$26.59		\$0.00	\$23.94	\$0.00	\$23.94
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/01/2018	#06910177592	VARIOUS WELLS INVESCO CASH RESERVE SHARES	0.00	0.34	90.0	0.00	0.31	0.00	0.31
07/01/2018	#06910177592	VARIOUS WELLS INVESCO DEVELOPING MARKETS FUND CL	0.00	0.77	90.0	0.00	0.69	0.00	0.69
07/01/2018	#06910177592	VARIOUS WELLS INVESCO HIGH YIELD FUND CL A SHS	0.00	0.88	90.0	0.00	0.79	0.00	0.79
07/01/2018	#06910177592	VARIOUS WELLS INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	2.28	90.0	0.00	2.05	0.00	2.05
07/01/2018	#06910177592	VARIOUS WELLS INVESCO VAN KAMPEN MID CAP GROWTH F	0.00	1.64	90.0	0.00	1.48	0.00	1.48
07/01/2018	#06910177592	VARIOUS WELLS INVESCO VAN KAMPEN VALUE OPPORTUNIT	0.00	1.43	90.0	0.00	1.29	0.00	1.29
07/03/2018	#08900056028	WELLS, MICHELLE BLUE CHIP (A)	0.00	0.66	90.0	0.00	0.59	0.00	0.59

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/03/2018	#08900056028	WELLS, MICHELLE LARGECAP GROWTH I (A)	0.00	0.16	90.0	0.00	0.14	0.00	0.14
07/03/2018	#08900056028	WELLS, MICHELLE ORIGIN EMERGING MARKETS (A)	0.00	0.15	90.0	0.00	0.14	0.00	0.14
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL FDS INC GLOBAL DIVERSIFIE	0.00	0.31	90.0	0.00	0.28	0.00	0.28
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL FDS INC SML MIDCAP DIVIDE	0.00	0.40	90.0	0.00	0.36	0.00	0.36
07/03/2018	#08900039892	WELLS UTMA IN, PRINCIPAL INVS FD INC	0.00	0.12	90.0	0.00	0.11	0.00	0.11
07/03/2018	#08900039893	WELLS UTMA IN, PRINCIPAL INVS FD INC	0.00	0.12	90.0	0.00	0.11	0.00	0.11
07/03/2018	#08900039898	WELLS UTMA IN, PRINCIPAL INVS FD INC	0.00	0.10	90.0	0.00	0.09	0.00	0.09
07/03/2018	#08900056028	WELLS, MICHELLE PRINCIPAL INVS FD INC	0.00	0.31	90.0	0.00	0.28	0.00	0.28
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL INVS FD INC CAPITAL APPRE	0.00	0.41	90.0	0.00	0.37	0.00	0.37
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL INVS FD INC EQUITY INCOME	0.00	0.38	90.0	0.00	0.34	0.00	0.34
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL INVS FD INC MIDCAP BLEND	0.00	0.43	90.0	0.00	0.39	0.00	0.39
07/03/2018	#08900012357	MONIX, EDWARD PRINCIPAL INVS FD INC REAL ESTATE S	0.00	0.31	90.0	0.00	0.28	0.00	0.28
07/03/2018	#00015232446	FYAN, THOMAS PRINCIPAL INVS FD INC STRTC ASST MG	0.00	2.80	90.0	0.00	2.52	0.00	2.52
07/03/2018	#08900023334	DUNCAN, LACEY PRINCIPAL INVS FD INC STRTC ASST MG	0.00	0.86	90.0	0.00	0.77	0.00	0.77
07/03/2018	#08900044381	BLANDFORD, PRINCIPAL INVS FD INC STRTC ASST MG	0.00	1.48	90.0	0.00	1.33	0.00	1.33
07/03/2018	#08900044535	BLANDFORD, PRINCIPAL INVS FD INC STRTC ASST MG	0.00	1.20	90.0	0.00	1.08	0.00	1.08
07/03/2018	#08900014069	WILLIAMS, S A M BALANCED PORTFOLIO (C)	0.00	13.26	90.0	0.00	11.93	0.00	11.93
07/03/2018	#08900032969	MCKINZIE, SARAH S A M CONSERVATIVE GROWTH PORT (C)	0.00	2.75	90.0	0.00	2.48	0.00	2.48
07/03/2018	#08900032968	MCKINZIE, S A M STRATEGIC GROWTH PORTFOLIO (C	0.00	9.16	90.0	0.00	8.24	0.00	8.24
07/11/2018	#	BUELL, ROBERTA DAIN TRAILER	0.00	37.67	90.0	0.00	33.90	0.00	33.90
07/11/2018	#	BUELL, ROBERTA DAIN TRAILER	0.00	2.08	90.0	0.00	1.87	0.00	1.87
07/11/2018	#	BUELL, ROBERTA DAIN TRAILER	0.00	3.02	90.0	0.00	2.72	0.00	2.72
07/11/2018	#	BUELL, ROBERTA DAIN TRAILER	0.00	2.20	90.0	0.00	1.98	0.00	1.98
07/11/2018	#	YAPP, BERNADETTE DAIN TRAILER	0.00	0.50	90.0	0.00	0.45	0.00	0.45
07/11/2018	#	MCCALLISTER, ROBIN DAIN TRAILER	0.00	0.61	90.0	0.00	0.55	0.00	0.55
07/11/2018	#	MCCALLISTER, ROBIN DAIN TRAILER	0.00	1.05	90.0	0.00	0.95	0.00	0.95
07/11/2018	#	MCCALLISTER, ROBIN DAIN TRAILER	0.00	0.91	90.0	0.00	0.82	0.00	0.82
07/11/2018	#	LEFFEL, KEVIN DAIN TRAILER	0.00	14.11	90.0	0.00	12.70	0.00	12.70
07/11/2018	#	CRAIG, CHERYL DAIN TRAILER	0.00	1.10	90.0	0.00	0.99	0.00	0.99
07/11/2018	#	CRAIG, CHERYL DAIN TRAILER	0.00	1.74	90.0	0.00	1.57	0.00	1.57
07/13/2018	#00036085741	VARIOUS WELLS IVY HIGH INCOME C	0.00	87.49	90.0	0.00	78.74	0.00	78.74
07/19/2018	#	CRAIG, CHERYL DAIN TRAILER	0.00	0.45	90.0	0.00	0.41	0.00	0.41
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$195.64		\$0.00	\$176.09	\$0.00	\$176.09
*** BROKER TRANSACTIONS TOTAL ***			\$1,336.06	\$289.24		\$0.00	\$260.37	\$20.00	\$240.37

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ADJUSTMENTS

08/20/2018		BETA BACK OFFICE: ADMIN FEE							-390.00
08/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
08/20/2018		CIRCLEBLACK: CIRCLEBLACK							-175.00
*** ADJUSTMENTS TOTAL ***									<u>\$-744.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$240.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-744.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-2,722.12
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	<u>\$-3,225.75</u>
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