



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**January 17, 2017**

01/13/2017  
 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	100.00	4.25	0.00	4.25	90.0	3.83
12/27/2016	HALE, AMBER	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
12/28/2016	ISLEY, TERRY	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	4.50
12/28/2016	LOWE, MELISSA	AM FUNDS AMERICAN BALANCED A	500.00	25.00	0.00	25.00	90.0	22.50
12/30/2016	PATTERSON, JANITA	AM FUNDS AMERICAN BALANCED A	70.00	1.93	0.00	1.93	90.0	1.74
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
01/03/2017	SEELY, BRENDAN	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
01/06/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	75.00	3.19	0.00	3.19	90.0	2.87
01/06/2017	MCFEETERS, RYAN	AM FUNDS AMERICAN BALANCED A	75.00	3.19	0.00	3.19	90.0	2.87
12/29/2016	KAUFFMAN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	1,500.00	75.00	22.00	53.00	90.0	47.70
12/30/2016	PATTERSON, JANITA	AM FUNDS CAPITAL INCOME BUILDER A	60.00	1.65	0.00	1.65	90.0	1.49
01/03/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	60.00	2.25	0.00	2.25	90.0	2.03
12/28/2016	HERRIMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92
12/30/2016	PATTERSON, JANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	90.0	1.24
01/03/2017	HUNTER, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	60.00	2.25	0.00	2.25	90.0	2.03
12/27/2016	BURNS, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	20.69	0.33	0.00	0.33	90.0	0.30
12/27/2016	BURNS, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	6.20	0.10	0.00	0.10	90.0	0.09
12/30/2016	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
12/30/2016	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
12/30/2016	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
12/30/2016	SIEBER, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	50.08	1.00	0.00	1.00	90.0	0.90
01/03/2017	BURNS, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	22.03	0.35	0.00	0.35	90.0	0.32
01/03/2017	BURNS, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	6.60	0.11	0.00	0.11	90.0	0.10
01/03/2017	HUNTER, JENNIFER	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.13	0.00	2.13	90.0	1.92

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
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 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/27/2016	JORDAN, NEAL	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.75	0.00	3.75	90.0	3.38
12/27/2016	BURNS, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	20.69	0.33	0.00	0.33	90.0	0.30
12/27/2016	BURNS, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	6.21	0.10	0.00	0.10	90.0	0.09
12/27/2016	ROEMER, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
12/27/2016	WIKTOROWICZ, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	250.00	12.50	0.00	12.50	90.0	11.25
12/27/2016	JORDAN, NEAL	AM FUNDS GROWTH FUND OF AMERICA A	-75.00	-3.75	0.00	-3.75	90.0	-3.38
12/29/2016	SAMUDIO, SHERRY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
12/30/2016	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
12/30/2016	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
12/30/2016	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
12/30/2016	SIEBER, AARON	AM FUNDS GROWTH FUND OF AMERICA A	200.34	4.01	0.00	4.01	90.0	3.61
12/30/2016	MULLINS, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/03/2017	HUNTER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
01/03/2017	BURNS, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	22.02	0.35	0.00	0.35	90.0	0.32
01/03/2017	BURNS, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	6.61	0.11	0.00	0.11	90.0	0.10
01/06/2017	MCFEETERS, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	0.00	3.19	90.0	2.87
01/06/2017	MCFEETERS, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	0.00	3.19	90.0	2.87
12/30/2016	PATTERSON, JANITA	AM FUNDS INCOME FUND OF AMERICA A	50.00	1.38	0.00	1.38	90.0	1.24
12/30/2016	PATTERSON, JANITA	AM FUNDS INTERMEDIATE BOND FUND OF	50.00	1.00	0.00	1.00	90.0	0.90
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS INTERMEDIATE BOND FUND OF	50.00	1.00	0.00	1.00	90.0	0.90
12/27/2016	JORDAN, NEAL	AM FUNDS NEW ECONOMY A	75.00	3.75	0.00	3.75	90.0	3.38
12/27/2016	BURNS, MICHELLE	AM FUNDS NEW ECONOMY A	21.31	0.34	0.00	0.34	90.0	0.31
12/27/2016	BURNS, MICHELLE	AM FUNDS NEW ECONOMY A	6.40	0.10	0.00	0.10	90.0	0.09
12/27/2016	JORDAN, NEAL	AM FUNDS NEW ECONOMY A	-75.00	-3.75	0.00	-3.75	90.0	-3.38
12/30/2016	HEIDENREICH, PATRICK	AM FUNDS NEW ECONOMY A	75.00	3.19	0.00	3.19	90.0	2.87
01/03/2017	BURNS, MICHELLE	AM FUNDS NEW ECONOMY A	22.69	0.36	0.00	0.36	90.0	0.32
01/03/2017	BURNS, MICHELLE	AM FUNDS NEW ECONOMY A	6.81	0.11	0.00	0.11	90.0	0.10
01/03/2017	DAGER, DONNA	AM FUNDS NEW ECONOMY A	100.00	5.00	0.00	5.00	90.0	4.50
01/03/2017	HUNTER, JENNIFER	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	90.0	1.92
12/30/2016	PATTERSON, JANITA	AM FUNDS SHORT TERM BND FUND OF AM	50.00	1.00	0.00	1.00	90.0	0.90
01/03/2017	KINDSCHY, CYNTHIA	AM FUNDS SHORT TERM BND FUND OF AM	60.00	1.20	0.00	1.20	90.0	1.08
01/03/2017	GALENTINE, ASHLEY	AM FUNDS SMALLCAP WORLD A	300.00	12.75	0.00	12.75	90.0	11.48

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
12/29/2016	SAMUDIO, SHERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	90.0	4.50
12/30/2016	HEIDENREICH, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	75.00	3.19	0.00	3.19	90.0	2.87
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	0.86	0.00	0.86	90.0	0.77
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.67	0.00	1.67	90.0	1.50
/ /	SULTAN, LYDIA	ASCENSUS COLLEGE SAV 194524518	0.00	1.50	0.00	1.50	90.0	1.35
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	1.62	0.00	1.62	90.0	1.46
/ /	FREEZE, CORTNEY	ASCENSUS COLLEGE SAV 194524518	0.00	2.38	0.00	2.38	90.0	2.14
/ /	PEPPLE, GLEN	ASCENSUS COLLEGE SAV 194524518	0.00	1.30	0.00	1.30	90.0	1.17
/ /	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	0.00	0.77	0.00	0.77	90.0	0.69
/ /	GEVERINK, ANN	ASCENSUS COLLEGE SAV 194524518	0.00	4.28	0.00	4.28	90.0	3.85
/ /	HOEFFEL, MARCIA	ASCENSUS COLLEGE SAV 194524518	0.00	0.08	0.00	0.08	90.0	0.07
/ /	HELLER, ADAM	ASCENSUS COLLEGE SAV 194524518	0.00	0.53	0.00	0.53	90.0	0.48
/ /	BERNDT, JAMIE	ASCENSUS COLLEGE SAV 194524518	0.00	0.06	0.00	0.06	90.0	0.05
/ /	BERNDT, JAMIE	ASCENSUS COLLEGE SAV 194524518	0.00	0.13	0.00	0.13	90.0	0.12
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	1.77	0.00	1.77	90.0	1.59
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	1.24	0.00	1.24	90.0	1.12
/ /	GALENTINE, STEPHANIE	ASCENSUS COLLEGE SAV 194524518	0.00	2.10	0.00	2.10	90.0	1.89
/ /	SLATER, JUSTIN	ASCENSUS COLLEGE SAV 194524518	0.00	3.42	0.00	3.42	90.0	3.08
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.07	0.00	1.07	90.0	0.96
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	1.55	0.00	1.55	90.0	1.40
/ /	COCKROFT, MARK	ASCENSUS COLLEGE SAV 194524518	0.00	0.66	0.00	0.66	90.0	0.59
/ /	DAVID, SCOTT	ASCENSUS COLLEGE SAV 194524518	0.00	3.01	0.00	3.01	90.0	2.71
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.66	0.00	0.66	90.0	0.59
/ /	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	0.00	0.67	0.00	0.67	90.0	0.60
12/27/2016	MARKS, GAREN	ASCENSUS COLLEGE SAV 194524518	22.50	1.07	0.00	1.07	90.0	0.96
01/03/2017	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS COLLEGE SAV 194524518	25.00	1.19	0.00	1.19	90.0	1.07
/ /	MULLINS, CYNTHIA	ASCENSUS COLLEGE SAV INA 2016 ENROL	0.00	0.02	0.00	0.02	90.0	0.02
/ /	DRUHOT, SCOTT	ASCENSUS INA 2022 ENROLLMENT PTF C	0.00	28.52	0.00	28.52	90.0	25.67
01/03/2017	DRUHOT, SCOTT	ASCENSUS INA 2022 ENROLLMENT PTF C	5,000.00	50.00	0.00	50.00	90.0	45.00
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.28	0.00	1.28	90.0	1.15

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SULTAN, LYDIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.24	0.00	1.24	90.0	1.12
/ /	FREEZE, CORTNEY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.36	0.00	1.36	90.0	1.22
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.88	0.00	2.88	90.0	2.59
/ /	SIEBER, PAUL	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.57	0.00	2.57	90.0	2.31
/ /	LINNEMEIER, JAY	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.33	0.00	1.33	90.0	1.20
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	7.93	0.00	7.93	90.0	7.14
/ /	MOSURE, MONICA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	7.78	0.00	7.78	90.0	7.00
/ /	PEPPLE, GLEN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.16	0.00	1.16	90.0	1.04
/ /	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.67	0.00	0.67	90.0	0.60
/ /	GEVERINK, ANN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.95	0.00	2.95	90.0	2.66
/ /	HOEFFEL, MARCIA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.14	0.00	0.14	90.0	0.13
/ /	HELLER, ADAM	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.95	0.00	1.95	90.0	1.76
/ /	SIEGER, NORMAN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.22	0.00	0.22	90.0	0.20
/ /	ARCHBOLD, PAMELA	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.89	0.00	0.89	90.0	0.80
/ /	BERNDT, JAMIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.05	0.00	0.05	90.0	0.05
/ /	BERNDT, JAMIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.11	0.00	0.11	90.0	0.10
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.35	0.00	1.35	90.0	1.22
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	0.97	0.00	0.97	90.0	0.87
/ /	GALENTINE, STEPHANIE	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.58	0.00	1.58	90.0	1.42
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.89	0.00	1.89	90.0	1.70
/ /	SLATER, JUSTIN	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	1.89	0.00	1.89	90.0	1.70
/ /	DAVID, SCOTT	ASCENSUS INA AMERICAN FUNDS EUROPAC	0.00	2.30	0.00	2.30	90.0	2.07
01/03/2017	SAYA, CHRISTINE	ASCENSUS INA AMERICAN FUNDS EUROPAC	2.50	0.12	0.00	0.12	90.0	0.11
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	4.17	0.00	4.17	90.0	3.75
/ /	PATTERSON, JANITA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	0.12	0.00	0.12	90.0	0.11
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	0.12	0.00	0.12	90.0	0.11
/ /	PEPPLE, GLEN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	3.41	0.00	3.41	90.0	3.07
/ /	ROSS, AARON	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	4.40	0.00	4.40	90.0	3.96
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.23	0.00	1.23	90.0	1.11
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	2.59	0.00	2.59	90.0	2.33
/ /	MULLINS, CYNTHIA	ASCENSUS INA COLLEGE PORTFOLIO CL C	0.00	1.13	0.00	1.13	90.0	1.02
/ /	PATTERSON, JANITA	ASCENSUS INA CORE BOND INDEX PORTFO	0.00	8.34	0.00	8.34	90.0	7.51
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA CORE BOND INDEX PORTFO	0.00	6.39	0.00	6.39	90.0	5.75

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	GOULET, LETTA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.33	0.00	1.33	90.0	1.20
/ /	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	2.30	0.00	2.30	90.0	2.07
/ /	PEE, MICHAEL	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	3.69	0.00	3.69	90.0	3.32
/ /	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.63	0.00	0.63	90.0	0.57
/ /	HOEFFEL, MARCIA	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.07	0.00	0.07	90.0	0.06
/ /	HELLER, ADAM	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.61	0.00	0.61	90.0	0.55
/ /	SLATER, JUSTIN	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.28	0.00	0.28	90.0	0.25
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.94	0.00	0.94	90.0	0.85
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	1.10	0.00	1.10	90.0	0.99
/ /	COCKROFT, MARK	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.62	0.00	0.62	90.0	0.56
/ /	LAYMAN, KEITH	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.22	0.00	0.22	90.0	0.20
12/27/2016	MARKS, GAREN	ASCENSUS INA INTERNATIONAL EQ INDEX	22.50	1.07	0.00	1.07	90.0	0.96
01/03/2017	FREEZE, CORTNEY	ASCENSUS INA INTERNATIONAL EQ INDEX	25.00	1.19	0.00	1.19	90.0	1.07
/ /	PATTERSON, JANITA	ASCENSUS INA LG CAP INDEX PORTFOLIO	0.00	6.91	0.00	6.91	90.0	6.22
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA LG CAP INDEX PORTFOLIO	0.00	8.65	0.00	8.65	90.0	7.79
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	10.61	0.00	10.61	90.0	9.55
/ /	PATTERSON, JANITA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	13.64	0.00	13.64	90.0	12.28
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	14.93	0.00	14.93	90.0	13.44
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.28	0.00	1.28	90.0	1.15
/ /	SULTAN, LYDIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.78	0.00	0.78	90.0	0.70
/ /	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.50	0.00	1.50	90.0	1.35
/ /	PEE, MICHAEL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	10.20	0.00	10.20	90.0	9.18
/ /	WILLIAMS, BEVERLY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.09	0.00	3.09	90.0	2.78
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.13	0.00	5.13	90.0	4.62
/ /	SIEBER, PAUL	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.18	0.00	5.18	90.0	4.66
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.01	0.00	4.01	90.0	3.61
/ /	LINNEMEIER, JAY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.52	0.00	1.52	90.0	1.37
/ /	PEPPLE, GLEN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	5.02	0.00	5.02	90.0	4.52
/ /	DERBYSHIRE, KAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.11	0.00	3.11	90.0	2.80
/ /	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.38	0.00	1.38	90.0	1.24
/ /	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.94	0.00	1.94	90.0	1.75
/ /	GEVERINK, ANN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	4.11	0.00	4.11	90.0	3.70
/ /	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.23	0.00	0.23	90.0	0.21

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\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	FEDLER, CHARLES	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	3.01	0.00	3.01	90.0	2.71
/ /	BERNDT, JAMIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.16	0.00	0.16	90.0	0.14
/ /	BERNDT, JAMIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.37	0.00	0.37	90.0	0.33
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.93	0.00	0.93	90.0	0.84
/ /	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	2.20	0.00	2.20	90.0	1.98
/ /	SHADY, HARRY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.02	0.00	0.02	90.0	0.02
/ /	LINSKY, MARCIA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.91	0.00	0.91	90.0	0.82
/ /	RUSK, RANDALL F	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.22	0.00	1.22	90.0	1.10
12/27/2016	MARKS, GAREN	ASCENSUS INA PIMCO TOTAL RETURN POR	45.00	1.46	0.00	1.46	90.0	1.31
01/03/2017	SAYA, CHRISTINE	ASCENSUS INA PIMCO TOTAL RETURN POR	5.00	0.16	0.00	0.16	90.0	0.14
01/03/2017	SHERBURNE, STEVEN	ASCENSUS INA PIMCO TOTAL RETURN POR	150.00	4.88	0.00	4.88	90.0	4.39
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA SHORT ERM TREASURY IND	0.00	5.90	0.00	5.90	90.0	5.31
/ /	PATTERSON, JANITA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	0.36	0.00	0.36	90.0	0.32
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA SHORT ERM TREASURY IND	0.00	0.37	0.00	0.37	90.0	0.33
/ /	PEPPLE, GLEN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	1.96	0.00	1.96	90.0	1.76
/ /	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.69	0.00	0.69	90.0	0.62
/ /	FEDLER, CHARLES	ASCENSUS INA SHORT TERM TREASURY IN	0.00	2.75	0.00	2.75	90.0	2.48
/ /	BERNDT, JAMIE	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.05	0.00	0.05	90.0	0.05
/ /	LINSKY, MARCIA	ASCENSUS INA SHORT TERM TREASURY IN	0.00	1.67	0.00	1.67	90.0	1.50
/ /	RUSK, RANDALL F	ASCENSUS INA SHORT TERM TREASURY IN	0.00	0.52	0.00	0.52	90.0	0.47
12/27/2016	MARKS, GAREN	ASCENSUS INA SHORT TERM TREASURY IN	15.00	0.49	0.00	0.49	90.0	0.44
/ /	GOULET, LETTA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.15	0.00	2.15	90.0	1.94
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.73	0.00	3.73	90.0	3.36
/ /	SULTAN, LYDIA	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.30	0.00	3.30	90.0	2.97
/ /	PEE, MICHAEL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	9.04	0.00	9.04	90.0	8.14
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.49	0.00	3.49	90.0	3.14
/ /	SIEBER, PAUL	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.91	0.00	3.91	90.0	3.52
/ /	LINNEMEIER, JAY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	2.29	0.00	2.29	90.0	2.06
/ /	PEPPLE, GLEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.69	0.00	1.69	90.0	1.52
/ /	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.29	0.00	3.29	90.0	2.96
/ /	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.30	0.00	1.30	90.0	1.17
/ /	GEVERINK, ANN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	7.99	0.00	7.99	90.0	7.19
/ /	SHERBURNE, STEVEN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.06	0.00	0.06	90.0	0.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.92	0.00	0.92	90.0	0.83
/ /	BERNDT, JAMIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.21	0.00	0.21	90.0	0.19
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.04	0.00	4.04	90.0	3.64
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.22	0.00	3.22	90.0	2.90
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	4.03	0.00	4.03	90.0	3.63
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.02	0.00	1.02	90.0	0.92
/ /	SLATER, JUSTIN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.46	0.00	0.46	90.0	0.41
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.11	0.00	0.11	90.0	0.10
/ /	SAMELS, GREGORY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.11	0.00	0.11	90.0	0.10
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.83	0.00	1.83	90.0	1.65
/ /	MCGUIRE, EDWARD	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.83	0.00	1.83	90.0	1.65
/ /	DAVID, SCOTT	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.85	0.00	3.85	90.0	3.47
/ /	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	3.59	0.00	3.59	90.0	3.23
12/27/2016	MARKS, GAREN	ASCENSUS INA T ROWE PRICE LG CAP GR	22.50	1.07	0.00	1.07	90.0	0.96
01/03/2017	SAYA, CHRISTINE	ASCENSUS INA T ROWE PRICE LG CAP GR	8.75	0.42	0.00	0.42	90.0	0.38
01/04/2017	GALENTINE, ASHLEY	ASCENSUS INA T ROWE PRICE LG CAP GR	50.00	2.38	0.00	2.38	90.0	2.14
/ /	BENEFICIARY, ELLIOTT	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	3.69	0.00	3.69	90.0	3.32
/ /	PATTERSON, JANITA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	11.99	0.00	11.99	90.0	10.79
/ /	KINDSCHY, CYNTHIA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	11.97	0.00	11.97	90.0	10.77
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	4.17	0.00	4.17	90.0	3.75
/ /	SIEBER, PAUL	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	2.94	0.00	2.94	90.0	2.65
/ /	LINNEMEIER, JAY	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	1.46	0.00	1.46	90.0	1.31
/ /	PEPPLE, GLEN	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	2.67	0.00	2.67	90.0	2.40
/ /	FEDLER, CHARLES	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	2.79	0.00	2.79	90.0	2.51
/ /	BERNDT, JAMIE	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.08	0.00	0.08	90.0	0.07
/ /	BERNDT, JAMIE	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	LINSKY, MARCIA	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.88	0.00	0.88	90.0	0.79
/ /	RUSK, RANDALL F	ASCENSUS INA TIPS PORTFOLIO CL A	0.00	0.87	0.00	0.87	90.0	0.78
/ /	GOULET, LETTA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.83	0.00	1.83	90.0	1.65
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.85	0.00	2.85	90.0	2.57
/ /	SULTAN, LYDIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.07	0.00	3.07	90.0	2.76
/ /	PEE, MICHAEL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	9.18	0.00	9.18	90.0	8.26
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.77	0.00	2.77	90.0	2.49

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SIEBER, PAUL	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.19	0.00	3.19	90.0	2.87
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	5.50	0.00	5.50	90.0	4.95
/ /	LINNEMEIER, JAY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.98	0.00	1.98	90.0	1.78
/ /	PEPPLE, GLEN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.28	0.00	1.28	90.0	1.15
/ /	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.03	0.00	3.03	90.0	2.73
/ /	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.20	0.00	1.20	90.0	1.08
/ /	GEVERINK, ANN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	6.91	0.00	6.91	90.0	6.22
/ /	HOEFFEL, MARCIA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.20	0.00	0.20	90.0	0.18
/ /	SIEGER, NORMAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.93	0.00	0.93	90.0	0.84
/ /	ARCHBOLD, PAMELA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.33	0.00	2.33	90.0	2.10
/ /	BERNDT, JAMIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.06	0.00	0.06	90.0	0.05
/ /	BERNDT, JAMIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.20	0.00	0.20	90.0	0.18
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.58	0.00	3.58	90.0	3.22
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	2.92	0.00	2.92	90.0	2.63
/ /	GALENTINE, STEPHANIE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.54	0.00	3.54	90.0	3.19
/ /	SLATER, JUSTIN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.83	0.00	0.83	90.0	0.75
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.80	0.00	1.80	90.0	1.62
/ /	MCGUIRE, EDWARD	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	1.80	0.00	1.80	90.0	1.62
/ /	JACKSON, BRENDA	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.09	0.00	0.09	90.0	0.08
/ /	MESSER, JENNIFER	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	4.29	0.00	4.29	90.0	3.86
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.25	0.00	0.25	90.0	0.23
/ /	BAILEY, BRUCE	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.75	0.00	0.75	90.0	0.68
/ /	GALENTINE, ASHLEY	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	3.32	0.00	3.32	90.0	2.99
12/27/2016	MARKS, GAREN	ASCENSUS-INA BLACKROCK LG CAP VALUE	22.50	1.07	0.00	1.07	90.0	0.96
01/03/2017	SAYA, CHRISTINE	ASCENSUS-INA BLACKROCK LG CAP VALUE	8.75	0.42	0.00	0.42	90.0	0.38
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	1.07
01/04/2017	GALENTINE, ASHLEY	ASCENSUS-INA BLACKROCK LG CAP VALUE	50.00	2.38	0.00	2.38	90.0	2.14
/ /	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.91	0.00	0.91	90.0	0.82
/ /	HOEFFEL, MARCIA	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.07	0.00	0.07	90.0	0.06
/ /	HELLER, ADAM	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.25	0.00	0.25	90.0	0.23
/ /	BERNDT, JAMIE	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.08	0.00	0.08	90.0	0.07
/ /	BERNDT, JAMIE	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.13	0.00	0.13	90.0	0.12
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.67	0.00	0.67	90.0	0.60

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	1.48	0.00	1.48	90.0	1.33
/ /	COCKROFT, MARK	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.53	0.00	0.53	90.0	0.48
/ /	RUSK, RANDALL F	ASCENSUS-INA CORE BOND INDEX PF CL	0.00	0.86	0.00	0.86	90.0	0.77
01/03/2017	FREEZE, CORTNEY	ASCENSUS-INA CORE BOND INDEX PF CL	10.00	0.33	0.00	0.33	90.0	0.30
/ /	GOULET, LETTA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	2.01	0.00	2.01	90.0	1.81
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	3.89	0.00	3.89	90.0	3.50
/ /	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	6.48	0.00	6.48	90.0	5.83
/ /	WILLIAMS, BEVERLY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	3.36	0.00	3.36	90.0	3.02
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.89	0.00	0.89	90.0	0.80
/ /	SCHUCH, AUTUMN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.94	0.00	0.94	90.0	0.85
/ /	LINNEMEIER, JAY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.60	0.00	0.60	90.0	0.54
/ /	PEPPLE, GLEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	3.62	0.00	3.62	90.0	3.26
/ /	HOEFFEL, MARCIA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.22	0.00	0.22	90.0	0.20
/ /	STEBING, MATTHEW	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.43	0.00	0.43	90.0	0.39
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.87	0.00	0.87	90.0	0.78
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.63	0.00	0.63	90.0	0.57
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.59	0.00	0.59	90.0	0.53
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	HELLER, ADAM	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.62	0.00	1.62	90.0	1.46
/ /	SAMELS, GREGORY	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.17	0.00	0.17	90.0	0.15
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	1.83	0.00	1.83	90.0	1.65
/ /	COCKROFT, MARK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.90	0.00	0.90	90.0	0.81
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.50	0.00	0.50	90.0	0.45
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.35	0.00	0.35	90.0	0.32
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.29	0.00	0.29	90.0	0.26
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.20	0.00	0.20	90.0	0.18
/ /	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.19	0.00	0.19	90.0	0.17
/ /	JACKSON, NICK	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.27	0.00	0.27	90.0	0.24
01/03/2017	FREEZE, CORTNEY	ASCENSUS-INA LG CAP INDEX PF CL A	47.00	2.23	0.00	2.23	90.0	2.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	150.00	7.13	0.00	7.13	90.0	6.42
01/03/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	150.00	7.13	0.00	7.13	90.0	6.42
01/03/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	150.00	7.13	0.00	7.13	90.0	6.42
01/03/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	150.00	7.13	0.00	7.13	90.0	6.42
01/03/2017	SHERBURNE, STEVEN	ASCENSUS-INA LG CAP INDEX PF CL A	150.00	7.13	0.00	7.13	90.0	6.42
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
01/03/2017	JACKSON, BRENDA	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	1.07
/ /	MULLINS, CYNTHIA	COLLEGECHOICE ADV 529 2016 ENROLLME	0.00	0.13	0.00	0.13	90.0	0.12
12/29/2016	KAUFFMAN, JAN	FIDELITY SELECT ENERGY PORTFOLIO	-5,870.30	15.00	22.00	-7.00	90.0	-6.30
12/29/2016	KAUFFMAN, JOHN	FIDELITY SELECT ENERGY PORTFOLIO	-4,503.33	15.00	22.00	-7.00	90.0	-6.30
/ /	DRUHOT, SCOTT	INA 2025 ENROLLMENT PORTFOLIO CLAS	0.00	6.80	0.00	6.80	90.0	6.12
12/27/2016	KAUFFMAN, KATIE	INFLATION LINKED BOND FUND A	2,000.00	40.00	0.00	40.00	90.0	36.00
12/29/2016	KAUFFMAN, JAN	INFLATION LINKED BOND FUND A	5,900.00	118.00	22.00	96.00	90.0	86.40
12/29/2016	KAUFFMAN, JOHN	INFLATION LINKED BOND FUND A	3,000.00	60.00	22.00	38.00	90.0	34.20
/ /	JACOT, ROBERT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	22.54	0.00	22.54	90.0	20.29
/ /	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	9.09	0.00	9.09	90.0	8.18
/ /	GOODLANDER, GERALD	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.21	0.00	1.21	90.0	1.09
/ /	SEELY, CHARLES	OPPENHEIMER CAPITAL INCOME FUND C	0.00	39.14	0.00	39.14	90.0	35.23
/ /	SEELY, CHARLES	OPPENHEIMER CAPITAL INCOME FUND C	0.00	22.28	0.00	22.28	90.0	20.05
/ /	SEELY, CHARLES	OPPENHEIMER CORPORATE BOND FUND C	0.00	18.56	0.00	18.56	90.0	16.70
/ /	SEELY, CHARLES	OPPENHEIMER CORPORATE BOND FUND C	0.00	11.29	0.00	11.29	90.0	10.16
/ /	ZINN, DIANE	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	ZINN, JEFFREY	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	JACOT, ROBERT	OPPENHEIMER DISCOVERY A	0.00	23.93	0.00	23.93	90.0	21.54
/ /	JACOT, ROBERT	OPPENHEIMER EQUITY A	0.00	27.40	0.00	27.40	90.0	24.66
/ /	HODAPP, PETER	OPPENHEIMER EQUITY INCOME A	0.00	3.63	0.00	3.63	90.0	3.27
/ /	ZINN, DIANE	OPPENHEIMER GLOBAL A	0.00	0.98	0.00	0.98	90.0	0.88
/ /	ZINN, JEFFREY	OPPENHEIMER GLOBAL A	0.00	0.98	0.00	0.98	90.0	0.88
/ /	ZINN, JEFFREY	OPPENHEIMER GLOBAL A	0.00	1.84	0.00	1.84	90.0	1.66
/ /	MCDONALD, TINA	OPPENHEIMER GLOBAL HIGH YIELD FUND	0.00	2.10	0.00	2.10	90.0	1.89

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	JACOT, CAROL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.74	0.00	7.74	90.0	6.97
/ /	JACOT, ROBERT	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.74	0.00	7.74	90.0	6.97
/ /	STEURY, MICHAEL	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	3.93	0.00	3.93	90.0	3.54
/ /	OAR, WARREN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.25	0.00	4.25	90.0	3.83
/ /	SEELY, CHARLES	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	11.00	0.00	11.00	90.0	9.90
/ /	BERNDT, GARY	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	7.94	0.00	7.94	90.0	7.15
/ /	MCDONALD, TINA	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	2.09	0.00	2.09	90.0	1.88
/ /	SEELY, CHARLES	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	17.64	0.00	17.64	90.0	15.88
/ /	GALENTINE, JUSTIN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.71	0.00	0.71	90.0	0.64
/ /	OAR, WARREN	OPPENHEIMER INTL BOND A	0.00	3.56	0.00	3.56	90.0	3.20
/ /	JACOT, ROBERT	OPPENHEIMER INTL GROWTH A	0.00	22.91	0.00	22.91	90.0	20.62
/ /	ZINN, DIANE	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.60	0.00	0.60	90.0	0.54
/ /	ZINN, JEFFREY	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.60	0.00	0.60	90.0	0.54
/ /	BERNDT, GARY	OPPENHEIMER LIMITED-TERM GOV'T FUND	0.00	4.96	0.00	4.96	90.0	4.46
/ /	JACOT, ROBERT	OPPENHEIMER MAIN STREET A	0.00	26.79	0.00	26.79	90.0	24.11
/ /	ZINN, DIANE	OPPENHEIMER MAIN STREET OPP A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET OPP A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	1.53	0.00	1.53	90.0	1.38
/ /	ZINN, DIANE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.37	0.00	2.37	90.0	2.13
/ /	ZINN, JEFFREY	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.37	0.00	2.37	90.0	2.13
/ /	STEURY, MICHAEL	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	6.63	0.00	6.63	90.0	5.97
/ /	SCHUELKE, THOMAS	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	3.01	0.00	3.01	90.0	2.71
/ /	HARTOG, MAX	OPPENHEIMER PORTF SER: ACTV ALLOC F	0.00	6.82	0.00	6.82	90.0	6.14
/ /	SHOCK, JACK	OPPENHEIMER PORTF SER: ACTV ALLOC F	0.00	2.66	0.00	2.66	90.0	2.39
/ /	GOODLANDER, GERALD	OPPENHEIMER PORTF SER: MOD INV FUND	0.00	3.26	0.00	3.26	90.0	2.93
/ /	STEURY, MICHAEL	OPPENHEIMER PORTF SER: MOD INV FUND	0.00	5.28	0.00	5.28	90.0	4.75
/ /	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	11.35	0.00	11.35	90.0	10.22
/ /	ZINN, DIANE	OPPENHEIMER RISING DIVIDENDS A	0.00	1.36	0.00	1.36	90.0	1.22
/ /	ZINN, JEFFREY	OPPENHEIMER RISING DIVIDENDS A	0.00	1.36	0.00	1.36	90.0	1.22
/ /	OAR, WARREN	OPPENHEIMER SENIOR FLOATING RATE A	0.00	3.22	0.00	3.22	90.0	2.90
/ /	ZINN, DIANE	OPPENHEIMER SENIOR FLOATING RATE A	0.00	1.85	0.00	1.85	90.0	1.67
/ /	ZINN, JEFFREY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	1.85	0.00	1.85	90.0	1.67
/ /	STEURY, MICHAEL	OPPENHEIMER SENIOR FLOATING RATE A	0.00	3.01	0.00	3.01	90.0	2.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SEELY, CHARLES	OPPENHEIMER SENIOR FLOATING RATE C	0.00	11.89	0.00	11.89	90.0	10.70
/ /	MESEKE, GILBERT	OPPENHEIMER SENIOR FLOATING RATE C	0.00	18.32	0.00	18.32	90.0	16.49
/ /	SEELY, CHARLES	OPPENHEIMER SENIOR FLOATING RATE C	0.00	5.74	0.00	5.74	90.0	5.17
/ /	BERNDT, GARY	OPPENHEIMER SENIOR FLOATING RATE C	0.00	8.62	0.00	8.62	90.0	7.76
/ /	MCDONALD, TINA	OPPENHEIMER SENIOR FLOATING RATE C	0.00	8.74	0.00	8.74	90.0	7.87
12/27/2016	MCDONALD, TINA	OPPENHEIMER SENIOR FLOATING RATE C	25.00	0.25	0.00	0.25	90.0	0.23
/ /	BERNDT, GARY	OPPENHEIMER US GOVT TRUST C	0.00	5.08	0.00	5.08	90.0	4.57
/ /	SEELY, CHARLES	OPPENHEIMER US GOVT TRUST C	0.00	11.35	0.00	11.35	90.0	10.22
/ /	SEELY, CHARLES	OPPENHEIMER US GOVT TRUST C	0.00	5.46	0.00	5.46	90.0	4.91
01/04/2017	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	0.00	13.21	0.00	13.21	90.0	11.89
01/03/2017	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.75	0.00	4.75	90.0	4.28
01/04/2017	RUSSELL, TAYLOR	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.32	0.00	0.32	90.0	0.29
01/04/2017	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.71	0.00	1.71	90.0	1.54
01/04/2017	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	11.26	0.00	11.26	90.0	10.13
01/04/2017	URICK, DANIEL	TRANSAMERICA MULTI-MANAGED BAL A	0.00	2.33	0.00	2.33	90.0	2.10
01/04/2017	LUDWIG, KENDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.31	0.00	2.31	90.0	2.08
01/04/2017	URICK, DANIEL	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	1.99	0.00	1.99	90.0	1.79
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$12,938.31</b>	<b>\$1,579.16</b>	<b>\$110.00</b>	<b>\$1,469.16</b>		<b>\$1,322.42</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
12/31/2016	POSTMA, THELMA	JNL PERSPECTIVE II	19,830.56	8.26	0.00	8.26	90.0	7.43
12/31/2016	SIEBER, JANE	JNL PERSPECTIVE II	32,186.14	13.41	0.00	13.41	90.0	12.07
12/31/2016	SIEBER, PAUL	JNL PERSPECTIVE II	65,579.60	27.32	0.00	27.32	90.0	24.59
12/31/2016	RUSK, RANDALL	JNL PERSPECTIVE II	95,633.94	39.85	0.00	39.85	90.0	35.87
01/05/2017	SLATER, JUSTIN	NWL BOA NG FP VUL	29.17	0.58	0.00	0.58	90.0	0.52
01/05/2017	SLATER, TRACI	NWL BOA NG FP VUL	26.25	0.53	0.00	0.53	90.0	0.48
12/25/2016	ZINN, JEFFREY	NWL BOA NG SUR VUL	600.00	12.00	0.00	12.00	90.0	10.80
12/31/2016	SENGER, LYNDA	PRU AS LIFEVEST II	97,818.85	61.14	0.00	61.14	90.0	55.03
12/31/2016	SENGER, LYNDA	PRU AS LIFEVEST II	97,818.85	183.41	0.00	183.41	90.0	165.07
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$409,523.36</b>	<b>\$346.50</b>	<b>\$0.00</b>	<b>\$346.50</b>		<b>\$311.86</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
12/31/2016	MORHART, JAMES	LFG TRAILS	0.00	109.51	0.00	109.51	90.0	98.56
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$109.51</b>	<b>\$0.00</b>	<b>\$109.51</b>		<b>\$98.56</b>

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<b><u>SPLIT TRANSACTIONS</u></b>								
*** BROKER TRANSACTIONS TOTAL ***			\$422,461.67	\$2,035.17	\$110.00	\$1,925.17		\$1,732.84

<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b>								
12/30/2016	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	2.06	0.00	2.06	90.0	1.85
12/30/2016	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	2.97	0.00	2.97	90.0	2.67
12/30/2016	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	114.50	1.71	0.00	1.71	90.0	1.54
12/30/2016	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	114.50	1.71	0.00	1.71	90.0	1.54
12/30/2016	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	4.12	0.00	4.12	90.0	3.71
12/30/2016	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	2.06	0.00	2.06	90.0	1.85
12/30/2016	TOURNEY, JOSEPH	AM FUNDS AMCAP A	200.00	2.97	0.00	2.97	90.0	2.67
12/30/2016	TOURNEY, JOSEPH	AM FUNDS AMCAP A	120.00	1.78	0.00	1.78	90.0	1.60
12/30/2016	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.75	0.00	1.75	90.0	1.58
12/28/2016	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.87	0.00	0.87	90.0	0.78
/ /	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	0.00	0.35	0.00	0.35	90.0	0.32
12/27/2016	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	0.84	0.00	0.84	90.0	0.76
/ /	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	0.68	0.00	0.68	90.0	0.61
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	6.51	0.00	6.51	90.0	5.86
/ /	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	0.00	4.62	0.00	4.62	90.0	4.16
12/30/2016	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
12/30/2016	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.17	0.00	0.17	90.0	0.15
01/03/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.10	0.00	0.10	90.0	0.09
/ /	CRAWFORD, JOHN	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.01	0.00	0.01	90.0	0.01
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.69	0.00	1.69	90.0	1.52
/ /	BAILEY, LAURIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.11	0.00	0.11	90.0	0.10
/ /	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	0.00	0.13	0.00	0.13	90.0	0.12
12/30/2016	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.13	0.00	0.13	90.0	0.12
/ /	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	1.54	0.00	1.54	90.0	1.39
/ /	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.14	0.00	0.14	90.0	0.13
12/30/2016	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	90.0	0.09
01/03/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.24	0.00	0.24	90.0	0.22
/ /	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	0.29	0.00	0.29	90.0	0.26

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</b>								
01/03/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.41	0.00	0.41	90.0	0.37
/ /	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	0.00	1.54	0.00	1.54	90.0	1.39
01/03/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.24	0.00	0.24	90.0	0.22
/ /	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.29	0.00	0.29	90.0	0.26
/ /	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	0.00	0.38	0.00	0.38	90.0	0.34
12/30/2016	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
01/03/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.41	0.00	0.41	90.0	0.37
/ /	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.69	0.00	0.69	90.0	0.62
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.40	0.00	0.40	90.0	0.36
/ /	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	0.00	0.40	0.00	0.40	90.0	0.36
12/30/2016	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.64	0.00	0.64	90.0	0.58
12/30/2016	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
12/30/2016	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.41	0.00	0.41	90.0	0.37
/ /	SITES, EDWARD	COLLEGECHOICE ADV 529 2016 ENROLLME	0.00	0.07	0.00	0.07	90.0	0.06
/ /	WALLS, ELENA	INA 2025 ENROLLMENT PORTFOLIO CLASS	0.00	1.20	0.00	1.20	90.0	1.08
/ /	WALLS, THOMAS	INA 2028 ENROLLMENT PORT CL A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	HEFFELFINGER, TAMMY	INA 2028 ENROLLMENT PORT CL A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	0.00	0.67	0.00	0.67	90.0	0.60
01/03/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.10	0.00	0.10	90.0	0.09
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	90.0	0.39
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CORE BOND A	0.00	0.77	0.00	0.77	90.0	0.69
/ /	GUNZENHAUSER, MARK	OPPENHEIMER CORE BOND FUND C	0.00	0.98	0.00	0.98	90.0	0.88
/ /	LINN, JASON	OPPENHEIMER CORE BOND FUND C	0.00	1.42	0.00	1.42	90.0	1.28
/ /	FIRKS, RICHARD	OPPENHEIMER CORE BOND FUND C	0.00	3.84	0.00	3.84	90.0	3.46
/ /	LINN, JASON	OPPENHEIMER CORPORATE BOND FUND C	0.00	1.43	0.00	1.43	90.0	1.29
/ /	SALGUERO, ANNA	OPPENHEIMER EQUITY A	0.00	0.15	0.00	0.15	90.0	0.14
/ /	GUNZENHAUSER, MARK	OPPENHEIMER EQUITY INCOME A	0.00	0.31	0.00	0.31	90.0	0.28
/ /	FIRKS, RICHARD	OPPENHEIMER GLOBAL HIGH YIELD FUND	0.00	3.89	0.00	3.89	90.0	3.50
/ /	DEWART, BECKY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.29	0.00	0.29	90.0	0.26
/ /	DEWART, BECKY	OPPENHEIMER INTL BOND A	0.00	0.26	0.00	0.26	90.0	0.23
/ /	DEWART, BECKY	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	0.29	0.00	0.29	90.0	0.26
/ /	FIRKS, RICHARD	OPPENHEIMER LIMITED-TERM GOV'T FUND	0.00	4.66	0.00	4.66	90.0	4.19
/ /	GUNZENHAUSER, MARK	OPPENHEIMER SENIOR FLOATING RATE A	0.00	0.92	0.00	0.92	90.0	0.83

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b>								
/ /	DEWART, BECKY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	GUNZENHAUSER, MARK	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.04	0.00	2.04	90.0	1.84
/ /	LINN, JASON	OPPENHEIMER SENIOR FLOATING RATE C	0.00	2.61	0.00	2.61	90.0	2.35
/ /	FIRKS, RICHARD	OPPENHEIMER SENIOR FLOATING RATE C	0.00	4.04	0.00	4.04	90.0	3.64
/ /	SALGUERO, ANNA	OPPENHEIMER US GOVT TRUST A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	DEWART, BECKY	OPPENHEIMER US GOVT TRUST A	0.00	0.48	0.00	0.48	90.0	0.43
/ /	GUNZENHAUSER, MARK	OPPENHEIMER US GOVT TRUST C	0.00	1.80	0.00	1.80	90.0	1.62
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$1,982.84	\$81.85	\$0.00	\$81.85		\$73.71

<b><u>BROKER: L135-KEITH/JOE LAYMAN/WIEGAND #267</u></b>								
/ /	MARKS, RICHARD	ASCENSUS 529 2031 ENROLLMENT PORT A	0.00	0.33	0.00	0.33	90.0	0.30
* L135-KEITH/JOE LAYMAN/WIEGAND SUBTOTAL *			\$0.00	\$0.33	\$0.00	\$0.33		\$0.30
*** SPLIT TRANSACTIONS TOTAL ***			\$1,982.84	\$82.18	\$0.00	\$82.18		\$74.01

**VERRIDE TRANSACTIONS**

<b><u>BROKER: WILLIAM LAYMAN #207</u></b>								
12/27/2016	LAYMAN, GEOFFREY	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	1.13
* WILLIAM LAYMAN SUBTOTAL *			\$50.00	\$2.50	\$0.00	\$2.50		\$1.13
*** OVERRIDE TRANSACTIONS TOTAL ***			\$50.00	\$2.50	\$0.00	\$2.50		\$1.13

**ADJUSTMENTS**

01/17/2017	*EO INSURANCE: CURRENT MONTH INS	0.00						-300.00
01/17/2017	*EO INSURANCE: CURRENT MONTH INS-BI	0.00						-300.00
01/17/2017	*FINRA: FINGERPRINT-S BOHANNON	0.00						-25.00
01/17/2017	*PERSHING: BOOKS & RECORDS	0.00						-10.50
01/17/2017	*PERSHING: BOOKS & RECORDS	0.00						-1.05
01/17/2017	*PERSHING: MF PROSPECTUS	0.00						-6.53
01/17/2017	*TECH: ALBRIDGE FULL	0.00						-100.00
01/17/2017	*TECHNOLOGY: ADMIN - JAMIE BERNDT	0.00						-100.00
01/17/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00

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\*\* - Indicates adjustment is not included in Totals or Commissions

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>ADJUSTMENTS</u></b>								
01/17/2017		*TECHNOLOGY: CURRENT MONTH TECH (BI	0.00					-275.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-1,393.08

**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,732.84
Split Transactions	\$74.01
Override Transactions	\$1.13
Adjustments	\$-1,393.08
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-66.24
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$348.66
Year-to-date Gross	\$2,117.35
Year-to-date Earnings	\$1,807.98

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