



Concorde Investment Services, LLC
COMMISSION STATEMENT
May 31, 2018

05/30/2018
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>								
05/17/2018	KAUFFMAN, JAN	AM FUNDS GLOBAL BALANCED A	4,000.00	200.00	22.00	178.00	80.0	142.40
05/17/2018	KAUFFMAN, JOHN	AM FUNDS GLOBAL BALANCED A	4,000.00	170.00	22.00	148.00	80.0	118.40
05/17/2018	FEDLER, CHARLES	AM FUNDS GLOBAL BALANCED A	3,000.00	150.00	22.00	128.00	80.0	102.40
05/17/2018	FEDLER, CHARLES	FIDELITY SELECT ENERGY PORTFOLIO	2,000.00	0.00	22.00	-22.00	80.0	-17.60
05/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
05/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
05/17/2018	ELLIOTT, RANDALL	VANGUARD HIGH DIVIDEND YIELD INDEX	48,000.00	0.00	22.00	-22.00	80.0	-17.60
* MUTUAL FUNDS SUBTOTAL *			\$61,175.00	\$520.00	\$134.00	\$386.00		\$308.80
<u>PRODUCT CATEGORY: STOCKS</u>								
05/17/2018	KAUFFMAN, JOHN	SPDR DOW JONES INDL AVERAGE ETF TR	4,945.64	50.00	22.50	27.50	80.0	22.00
* STOCKS SUBTOTAL *			\$4,945.64	\$50.00	\$22.50	\$27.50		\$22.00
*** CLEARING TRANSACTIONS TOTAL ***			\$66,120.64	\$570.00	\$156.50	\$413.50		\$330.80

DIRECT TRANSACTIONS

<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
05/21/2018	DERBYSHIRE, JAMES	BR TOTAL INC & REAL ESTATE FUND C	28,183.66	23.16	0.00	23.16	80.0	18.53
05/21/2018	HARMEYER, SHARYN	BR TOTAL INC & REAL ESTATE FUND C	45,087.12	37.05	0.00	37.05	80.0	29.64
05/21/2018	BYRUM, GERALD	BR TOTAL INC & REAL ESTATE FUND C	50,247.44	41.29	0.00	41.29	80.0	33.03
05/21/2018	BUSH, SANDRA	BR TOTAL INC & REAL ESTATE FUND C	39,046.99	32.09	0.00	32.09	80.0	25.67
05/21/2018	DIETSCH, RHONDA	BR TOTAL INC & REAL ESTATE FUND C	33,417.62	27.47	0.00	27.47	80.0	21.98
05/21/2018	PEPPLE, GLEN	BR TOTAL INC & REAL ESTATE FUND C	16,693.03	13.72	0.00	13.72	80.0	10.98
05/21/2018	WILLING, LEONARD	BR TOTAL INC & REAL ESTATE FUND C	42,881.93	35.24	0.00	35.24	80.0	28.19
05/21/2018	MURPHY, SUSAN	BR TOTAL INC & REAL ESTATE FUND C	53,904.10	44.31	0.00	44.31	80.0	35.45
05/21/2018	LOWDEN TRUST, KATHERINE	BR TOTAL INC & REAL ESTATE FUND C	45,129.76	37.09	0.00	37.09	80.0	29.67
05/21/2018	ZINN, JEANETTE	BR TOTAL INC & REAL ESTATE FUND C	77,023.90	63.31	0.00	63.31	80.0	50.65

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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: INTERVAL FUNDS</u>								
05/21/2018	DERBYSHIRE TRUST, KAREN	BR TOTAL INC & REAL ESTATE FUND C	28,443.19	23.37	0.00	23.37	80.0	18.70
04/30/2018	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND C	43,527.06	35.77	0.00	35.77	80.0	28.62
04/30/2018	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	71,175.43	58.51	0.00	58.51	80.0	46.81
* INTERVAL FUNDS SUBTOTAL *			\$574,761.23	\$472.38	\$0.00	\$472.38		\$377.92
<u>PRODUCT CATEGORY: FIXED INDEX ANNUITIES</u>								
02/28/2018	WITMER, R KARIN	VOYA FIA	88,324.38	3,974.60	0.00	3,974.60	80.0	3,179.68
* FIXED INDEX ANNUITIES SUBTOTAL *			\$88,324.38	\$3,974.60	\$0.00	\$3,974.60		\$3,179.68
<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	2.50	0.00	2.50	80.0	2.00
/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	2.00	0.00	2.00	80.0	1.60
/ /	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	0.00	0.71	0.00	0.71	80.0	0.57
05/18/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
05/18/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
05/18/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
/ /	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	2.38	0.00	2.38	80.0	1.90
/ /	BENEFICIARY, VALERIE	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	23.75	0.00	23.75	80.0	19.00
05/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
05/08/2018	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	168.00	7.98	0.00	7.98	80.0	6.38
05/18/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	41.60	1.66	0.00	1.66	80.0	1.33
05/18/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
05/18/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
/ /	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	0.71	0.00	0.71	80.0	0.57
05/18/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
05/18/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
05/18/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
05/14/2018	BENEFICIARY, VALERIE	INA EMERGINING MARKETS EQUITY INDEX	50.00	23.75	0.00	23.75	80.0	19.00
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.63	0.00	1.63	80.0	1.30
05/07/2018	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	50.00	1.63	0.00	1.63	80.0	1.30
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	1.63	0.00	1.63	80.0	1.30
05/07/2018	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	50.00	1.63	0.00	1.63	80.0	1.30
05/18/2018	BENEFICIARY, VALERIE	INA TIPS INDEX PORT CLASS A	8.25	65.00	0.00	65.00	80.0	52.00
* 529 PLANS SUBTOTAL *			\$625.85	\$147.65	\$0.00	\$147.65		\$118.07

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
05/10/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
05/10/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
05/15/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
05/15/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
05/07/2018	HERBER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
05/15/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
05/07/2018	HERBER, TRINA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.38	0.00	1.38	80.0	1.10
05/10/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
05/15/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
05/18/2018	SIMPSON, LYLE	AM FUNDS GROWTH FUND OF AMERICA A	1,000.00	27.50	0.00	27.50	80.0	22.00
05/10/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
05/18/2018	SIMPSON, LYLE	AM FUNDS NEW PERSPECTIVE A	1,000.00	27.50	0.00	27.50	80.0	22.00
05/15/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
05/16/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
05/18/2018	SIMPSON, LYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	1,000.00	27.50	0.00	27.50	80.0	22.00
/ /	FREEZE, CORTNEY	ASCENSUS INA PIMCO TOTAL RETURN POR	0.00	0.49	0.00	0.49	80.0	0.39
05/07/2018	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	50.00	1.63	0.00	1.63	80.0	1.30
05/08/2018	SIEGER, NORMAN	ASCENSUS INA PIMCO TOTAL RETURN POR	42.00	1.37	0.00	1.37	80.0	1.10
05/08/2018	GOODMAN, LAUREN	ASCENSUS INA PIMCO TOTAL RETURN POR	168.00	1.63	0.00	1.63	80.0	1.30
05/14/2018	BENEFICIARY, VALERIE	ASCENSUS INA PIMCO TOTAL RETURN POR	2,000.00	65.00	0.00	65.00	80.0	52.00
05/18/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	13.87	0.45	0.00	0.45	80.0	0.36
05/18/2018	GALENTINE, STEPHANIE	ASCENSUS INA PIMCO TOTAL RETURN POR	27.73	0.90	0.00	0.90	80.0	0.72
/ /	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	0.00	1.66	0.00	1.66	80.0	1.33
05/08/2018	SIEGER, NORMAN	ASCENSUS INA T ROWE PRICE LG CAP GR	42.00	7.98	0.00	7.98	80.0	6.38
05/18/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	48.53	1.94	0.00	1.94	80.0	1.55
05/18/2018	GALENTINE, STEPHANIE	ASCENSUS INA T ROWE PRICE LG CAP GR	34.67	1.39	0.00	1.39	80.0	1.11
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	2.61	0.00	2.61	80.0	2.09
05/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
05/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
05/15/2018	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
/ /	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	9.50	0.00	9.50	80.0	7.60
05/15/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$6,881.80	\$235.91	\$0.00	\$235.91		\$188.69

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/15/2018	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
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	HODAPP, CYNTHIA	BLACKROCK 19452P784	0.00	0.11	0.00	0.11	80.0	0.09
04/30/2018	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.37	0.00	0.37	80.0	0.30
04/30/2018	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.56	0.00	0.56	80.0	0.45
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1.04	\$0.00	\$1.04		\$0.84
		*** DIRECT TRANSACTIONS TOTAL ***	\$670,643.26	\$4,832.58	\$0.00	\$4,832.58		\$3,866.00

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

05/14/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	2,000.00	0.57	0.00	0.57	80.0	0.46
05/14/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	500.00	0.17	0.00	0.17	80.0	0.14
05/18/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
05/18/2018	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 *	\$2,600.00	\$1.75	\$0.00	\$1.75		\$1.41

BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209

05/17/2018	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	350.00	6.12	7.70	-1.58	80.0	-1.26
05/17/2018	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	1,000.00	17.50	7.70	9.80	80.0	7.84
05/17/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
05/15/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
05/17/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00
05/18/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.10	0.00	0.10	80.0	0.08
05/21/2018	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	52,679.63	15.15	0.00	15.15	80.0	12.12
04/30/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	52,546.70	15.11	0.00	15.11	80.0	12.09
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.13	0.00	0.13	80.0	0.10
05/18/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
05/18/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
05/18/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
05/14/2018	SITES, TEGAN	LORD ABBETT SHORT DURATION INCOME A	0.00	0.14	0.00	0.14	80.0	0.11

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: WILLIAM, L129 LAYMAN #207</u>								
		* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/	Subtotal *	\$107,873.08	\$77.28	\$15.40	\$61.88	\$49.51
		*** SPLIT TRANSACTIONS TOTAL ***		\$110,473.08	\$79.03	\$15.40	\$63.63	\$50.92

<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: WILLIAM, L129 LAYMAN #207</u>								
05/15/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
		* WILLIAM, L129 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	\$4,196.80
Split Transactions	\$50.92
Override Transactions	\$6.75
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-615.99
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,638.48
Year-to-date Gross	\$21,043.55
Year-to-date Earnings	\$19,982.29

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