



Concorde Investment Services, LLC

02/14/2017
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COMMISSION STATEMENT

February 15, 2017

G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRELLI/
417 E. Main Street
3rd Floor
Port Jefferson, NY 11777

BROKER #: G0B
BRANCH: FORTITUDE INVESTMENT

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| ^02/02/2017 | JOHNSON, JAMES | MAINSTAY CUSHING MLP PREMIER FUND C | 30,000.00 | 1,425.00 | 22.00 | 1,403.00 | 100.0 | 0.00 |
| ^02/02/2017 | JOHNSON, JAMES | OPPENHEIMER ROCHESTER MUNICIPALS A | 50,000.00 | 2,000.00 | 22.00 | 1,978.00 | 100.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$80,000.00 | \$3,425.00 | \$44.00 | \$3,381.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| ^01/05/2017 | JOHNSON, GLORIA | NEW YORK REIT INC COM | 10,637.11 | -150.00 | -23.65 | -126.35 | 100.0 | 0.00 |
| ^01/05/2017 | JOHNSON, GLORIA | NEW YORK REIT INC COM | -10,637.11 | 150.00 | 23.65 | 126.35 | 100.0 | 0.00 |
| ^01/05/2017 | JOHNSON FAMILY TRUST | NEW YORK REIT INC COM | 26,994.80 | -400.00 | -26.20 | -373.80 | 100.0 | 0.00 |
| ^01/05/2017 | JOHNSON FAMILY TRUST | NEW YORK REIT INC COM | -26,994.80 | 400.00 | 26.20 | 373.80 | 100.0 | 0.00 |
| ^01/05/2017 | JOHNSON, JAMES | NEW YORK REIT INC COM | 10,642.67 | -150.00 | -23.66 | -126.34 | 100.0 | 0.00 |
| ^01/05/2017 | JOHNSON, JAMES | NEW YORK REIT INC COM | -10,642.67 | 150.00 | 23.66 | 126.34 | 100.0 | 0.00 |
| ^01/18/2017 | RYDER, THOMAS | NEW YORK REIT INC COM | 28,654.90 | -500.00 | -26.35 | -473.65 | 100.0 | 0.00 |
| ^01/18/2017 | RYDER, THOMAS | NEW YORK REIT INC COM | -28,654.90 | 500.00 | 26.35 | 473.65 | 100.0 | 0.00 |
| * STOCKS SUBTOTAL * | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$80,000.00 | \$3,425.00 | \$44.00 | \$3,381.00 | | \$0.00 |
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 02/15/2017 | | *PERSHING: MARK UPS-G0B | 0.00 | | | | | 0.00 |
| 02/15/2017 | | *PERSHING: MF PROSPECTUS | 0.00 | | | | | 0.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$0.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.04 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

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

| | |
|------------------------------|---------------|
| Balance Forward | \$0.04 |
| Year-to-date Gross | \$0.00 |
| Year-to-date Earnings | \$0.00 |