



Concorde Investment Services, LLC

04/17/2018

Page No. 1

# COMMISSION STATEMENT

April 15, 2018

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
04/02/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	3.95	0.00	3.95	48.0	1.90
04/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.07	0.00	0.07	48.0	0.03
03/09/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.07	0.00	0.07	48.0	0.03
03/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.01	0.00	6.01	48.0	2.88
04/02/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.36	0.00	3.36	48.0	1.61
03/09/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	48.0	0.25
04/02/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.20
04/02/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	48.0	0.75
04/02/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	48.0	0.25
04/02/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
04/02/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
03/09/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	3.91	0.00	3.91	48.0	1.88
03/09/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.51	0.00	0.51	48.0	0.24
03/09/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.21	0.00	3.21	48.0	1.54
03/09/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.50	0.00	0.50	48.0	0.24
03/09/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	48.0	0.07
03/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	48.0	0.07
03/09/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.98	0.00	1.98	48.0	0.95
03/09/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.06	0.00	0.06	48.0	0.03
03/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.06	0.00	0.06	48.0	0.03

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

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
03/09/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
03/09/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
03/09/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.59	0.00	0.59	48.0	0.28
03/09/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.88	0.00	0.88	48.0	0.42
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$450.00</b>	<b>\$50.94</b>	<b>\$0.00</b>	<b>\$50.94</b>		<b>\$24.45</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/27/2018	WALLACE, DEBORREH	AM GEN POLARIS PLATINUM III	85,361.05	5,335.07	0.00	5,335.07	48.0	2,560.83
03/29/2018	WU, PEILI	AXA 00246Q312	119,319.56	298.30	0.00	298.30	48.0	143.18
03/29/2018	WALRAVEN, VIRGINIA	AXA ACCUM 07 ELITE (RO IRA)	14,575.46	36.44	0.00	36.44	48.0	17.49
03/27/2018	SMITH, ROGER	AXA EQUITABLE 00248C626	21,653.16	1,299.19	0.00	1,299.19	48.0	623.61
03/27/2018	SMITH, ROGER	AXA EQUITABLE 00248C626	2,961.10	177.67	0.00	177.67	48.0	85.28
03/29/2018	GODWIN, SANDRA	HARTFORD PHCM V	15,796.71	15.80	0.00	15.80	48.0	7.58
03/31/2018	BRIDGES, JANIS	JNL ELITE ACCESS	104,824.73	87.35	0.00	87.35	48.0	41.93
03/31/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	76,120.07	63.43	0.00	63.43	48.0	30.45
03/31/2018	CROWTHER, JOHN	JNL ELITE ACCESS	58,820.54	12.25	0.00	12.25	48.0	5.88
03/31/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	29,938.11	32.43	0.00	32.43	48.0	15.57
03/31/2018	REEDER, WESLEY	JNL PERSPECTIVE L	17,419.76	18.87	0.00	18.87	48.0	9.06
03/31/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	35,859.73	38.85	0.00	38.85	48.0	18.65
03/31/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	48,445.54	40.37	0.00	40.37	48.0	19.38
03/31/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	36,762.34	39.83	0.00	39.83	48.0	19.12
03/31/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,352.75	25.29	0.00	25.29	48.0	12.14
03/31/2018	JEFFERS, LARRY	PRU AS APEX II	122,356.41	305.89	0.00	305.89	48.0	146.83
03/31/2018	JEFFERS, LARRY	PRU AS APEX II	122,356.41	76.47	0.00	76.47	48.0	36.71
03/28/2018	BURNS, ANNE	SEC BEN 814121158	34,289.79	28.56	0.00	28.56	48.0	13.71
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$977,213.22</b>	<b>\$7,932.06</b>	<b>\$0.00</b>	<b>\$7,932.06</b>		<b>\$3,807.40</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	ORR, RICHARD	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	5.24	0.00	5.24	48.0	2.52
04/02/2018	HORNE, CHARLES	PUTNAM EQUITY INCOME A	0.00	3.39	0.00	3.39	48.0	1.63
04/02/2018	HORNE, CHARLES	PUTNAM GLOBAL HEALTH CARE A	0.00	3.20	0.00	3.20	48.0	1.54
04/02/2018	HORNE, CHARLES	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.34	0.00	2.34	48.0	1.12
04/02/2018	HORNE, CHARLES	PUTNAM MULTI-CAP VALUE A	0.00	3.00	0.00	3.00	48.0	1.44
04/02/2018	AARY, HARLEY	PUTNAM SMALL CAP GROWTH-A	0.00	0.33	0.00	0.33	48.0	0.16

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/02/2018	HORNE, CHARLES	PUTNAM SMALL CAP VALUE A	0.00	1.03	0.00	1.03	48.0	0.49
04/02/2018	HORNE, CHARLES	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.47	0.00	0.47	48.0	0.23
04/03/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.71	0.00	10.71	48.0	5.14
04/03/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.31	0.00	4.31	48.0	2.07
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$34.02	\$0.00	\$34.02		\$16.34
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
03/31/2018	WISE, LUCILE	LINCOLN BENEFIT TRAIL RENEWALS	93,134.81	232.84	0.00	232.84	48.0	111.76
03/27/2018	PHILLIPS, GAY	PAC LIFE PACIFIC CHOICE	0.00	4,182.28	0.00	4,182.28	48.0	2,007.49
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$93,134.81	\$4,415.12	\$0.00	\$4,415.12		\$2,119.25
*** DIRECT TRANSACTIONS TOTAL ***			\$1,070,798.03	\$12,432.14	\$0.00	\$12,432.14		\$5,967.44
<b><u>ADJUSTMENTS</u></b>								
04/15/2018		*ADVANCE: ADVANCE	0.00					-2,000.00
04/15/2018		*AI INSIGHT: AI INSIGHT - CURRENT MONTH	0.00					-7.00
04/15/2018		*BAL CARRIED FORWARD: BAL CARRIED FORWARD	0.00					206.76
04/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
04/15/2018		*LASER APP: LASER APP - CURRENT MONTH	0.00					-18.00
04/15/2018		*RBC: RBC CURRENT MONTH	0.00					-25.00
04/15/2018		*TECHNOLOGY: ADMIN - D INMAN	0.00					-130.00
04/15/2018		*TECHNOLOGY: CURRENT MONTH - BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,453.24

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$5,967.44
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,453.24
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-206.76
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,307.44
Year-to-date Gross	\$37,114.64
Year-to-date Earnings	\$17,783.70