



Concorde Investment Services, LLC

03/14/2017  
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# COMMISSION STATEMENT

March 15, 2017

DAVID KOTZ  
601 Mine Brook Rd

BROKER #: K135  
BRANCH: DAVID KOTZ

Far Hills, NJ 07931

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>								
03/01/2017	SHELLEY, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	116.36	0.00	116.36	80.0	93.09
02/09/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.93	0.00	3.93	80.0	3.14
02/09/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.87	0.00	0.87	80.0	0.70
03/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	259.36	0.00	259.36	80.0	207.49
03/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	333.67	0.00	333.67	80.0	266.94
03/01/2017	MILESニック, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	72.35	0.00	72.35	80.0	57.88
03/01/2017	MILESニック, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	34.02	0.00	34.02	80.0	27.22
02/09/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.21	0.00	8.21	80.0	6.57
02/09/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	23.31	0.00	23.31	80.0	18.65
02/09/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.91	0.00	8.91	80.0	7.13
02/09/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.11	0.00	2.11	80.0	1.69
02/09/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.11	0.00	2.11	80.0	1.69
02/09/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.13	0.00	2.13	80.0	1.70
02/09/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.27	0.00	0.27	80.0	0.22
02/09/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.98	0.00	2.98	80.0	2.38
02/09/2017	MCKAY, VERNA	BLACKROCK FUNDS US GOVERNMENT PORTE	0.00	2.30	0.00	2.30	80.0	1.84
02/09/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.64	0.00	1.64	80.0	1.31
02/09/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.26	0.00	2.26	80.0	1.81
02/09/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	1.67	0.00	1.67	80.0	1.34
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$878.46	\$0.00	\$878.46		\$702.79
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
02/06/2017	KLEINER BEIGEL, WENDY	BLACKROCK NEW YORK MUN INCOME TR II	1,896.00	62.78	22.00	40.78	80.0	32.62
02/06/2017	KLEINER BEIGEL, WENDY	BP PRUDHOE BAY ROYALTY TRUST	2,005.25	61.89	22.00	39.89	80.0	31.91
* STOCKS SUBTOTAL *			\$3,901.25	\$124.67	\$44.00	\$80.67		\$64.53
*** BROKER TRANSACTIONS TOTAL ***			\$3,901.25	\$1,003.13	\$44.00	\$959.13		\$767.32

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>ADJUSTMENTS</u></b>								
03/15/2017		*CONCIERGE SVC: 187443 CAPPARELL	0.00					-50.00
03/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					2,512.92
03/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*RBC: DEBIT BAL WRITE OFF	0.00					-142.59
03/15/2017		*RBC: ORDER ENTRY	0.00					-65.00
03/15/2017		*RBC: WEALTHSTATION ADMIN	0.00					-25.00
03/15/2017		*TECHNOLOGY: ADMIN - JENNIFER NEIST	0.00					-100.00
03/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$1,555.33</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$767.32
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,555.33
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,670.03
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$652.62
Year-to-date Gross	\$1,657.19
Year-to-date Earnings	\$1,202.55

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

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