



Concorde Investment Services, LLC
COMMISSION STATEMENT
July 15, 2018

07/16/2018
Page No. 1

MARK-S141 REG SMITH

BROKER #: S141
BRANCH: WOODS FINANCIAL

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/11/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.34	0.00	4.34	48.0	2.08
06/11/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
06/11/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.57	0.00	6.57	48.0	3.15
06/11/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	48.0	1.79
06/11/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.58	0.00	0.58	48.0	0.28
06/11/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	48.0	0.83
06/11/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	48.0	0.28
06/11/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.29	0.00	4.29	48.0	2.06
06/11/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.56	0.00	0.56	48.0	0.27
06/11/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.08
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.08
06/11/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	48.0	1.04
06/11/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.53	0.00	3.53	48.0	1.69
06/11/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.54	0.00	0.54	48.0	0.26
06/11/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
06/11/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.11
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.11
06/11/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.44	0.00	0.44	48.0	0.21
06/11/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.97	0.00	0.97	48.0	0.47
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$31.08	\$0.00	\$31.08		\$14.93
<u>PRODUCT CATEGORY: STOCKS</u>								
06/12/2018	HEAD, HOWARD	ENTERPRISE PRODS PARTNERS L P COM U	5,873.32	60.00	22.00	38.00	48.0	18.24
* STOCKS SUBTOTAL *			\$5,873.32	\$60.00	\$22.00	\$38.00		\$18.24

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
<u>DIRECT TRANSACTIONS</u>								
*** CLEARING TRANSACTIONS TOTAL ***			\$5,873.32	\$91.08	\$22.00	\$69.08		\$33.17
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
07/02/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
* MUTUAL FUNDS SUBTOTAL *			\$300.00	\$15.00	\$0.00	\$15.00		\$7.20
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/09/2018	SMITH, RICHARD	JNL PERSPECTIVE II 04/14	50,000.00	3,500.00	0.00	3,500.00	48.0	1,680.00
* VARIABLE ANNUITIES SUBTOTAL *			\$50,000.00	\$3,500.00	\$0.00	\$3,500.00		\$1,680.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/02/2018	HORNE, CHARLES	PUTNAM EQUITY INCOME A	0.00	3.39	0.00	3.39	48.0	1.63
07/02/2018	HORNE, CHARLES	PUTNAM GLOBAL HEALTH CARE A	0.00	3.20	0.00	3.20	48.0	1.54
07/02/2018	HORNE, CHARLES	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.36	0.00	2.36	48.0	1.13
07/02/2018	HORNE, CHARLES	PUTNAM MULTI-CAP VALUE A	0.00	3.03	0.00	3.03	48.0	1.45
07/02/2018	AARY, HARLEY	PUTNAM SMALL CAP GROWTH-A	0.00	0.35	0.00	0.35	48.0	0.17
07/02/2018	HORNE, CHARLES	PUTNAM SMALL CAP VALUE A	0.00	1.05	0.00	1.05	48.0	0.50
07/02/2018	HORNE, CHARLES	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.48	0.00	0.48	48.0	0.23
/ /	BONGIORNO, JANET	RYDEX BIOTECHNOLOGY A	0.00	0.04	0.00	0.04	48.0	0.02
/ /	BONGIORNO, JANET	RYDEX GUGG REAL ESTATE A	0.00	0.09	0.00	0.09	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.07	0.00	0.07	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
07/03/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.25	0.00	10.25	48.0	4.92
07/03/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.16	0.00	4.16	48.0	2.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$28.52	\$0.00	\$28.52		\$13.68
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
06/30/2018	WISE, LUCILE	LFG TRAILS	91,559.90	228.90	0.00	228.90	48.0	109.87
06/29/2018	WU, PEILI	AXA 00246Q312	0.00	294.31	0.00	294.31	48.0	141.27

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
06/29/2018	WALRAVEN, VIRGINIA	AXA ACCUM 07 ELITE (RO IRA)	0.00	34.20	0.00	34.20	48.0	16.42
06/29/2018	GODWIN, SANDRA	HARTFORD PHCM V	0.00	16.36	0.00	16.36	48.0	7.85
06/30/2018	BRIDGES, JANIS	JNL ELITE ACCESS	0.00	90.99	0.00	90.99	48.0	43.68
06/30/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	0.00	63.70	0.00	63.70	48.0	30.58
06/30/2018	CROWTHER, JOHN	JNL ELITE ACCESS	0.00	12.31	0.00	12.31	48.0	5.91
06/30/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	0.00	33.62	0.00	33.62	48.0	16.14
06/30/2018	REEDER, WESLEY	JNL PERSPECTIVE L	0.00	19.63	0.00	19.63	48.0	9.42
06/30/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	0.00	39.01	0.00	39.01	48.0	18.72
06/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	40.85	0.00	40.85	48.0	19.61
06/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	44.36	0.00	44.36	48.0	21.29
06/30/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	0.00	25.45	0.00	25.45	48.0	12.22
06/30/2018	JEFFERS, LARRY	PRU AS APEX II	0.00	99.53	0.00	99.53	48.0	47.77
06/30/2018	JEFFERS, LARRY	PRU AS APEX II	0.00	24.88	0.00	24.88	48.0	11.94
06/28/2018	BURNS, ANNE	SEC BEN 814121158	0.00	28.45	0.00	28.45	48.0	13.66
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$91,559.90	\$1,096.55	\$0.00	\$1,096.55		\$526.35
*** DIRECT TRANSACTIONS TOTAL ***			\$141,859.90	\$4,640.07	\$0.00	\$4,640.07		\$2,227.23
<u>ADJUSTMENTS</u>								
07/15/2018		*AI INSIGHT: AI INSIGHT - CURRENT MONTH	0.00					-7.00
07/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
07/15/2018		*LASER APP: LASER APP - CURRENT MONTH	0.00					-18.00
07/15/2018		*RBC: CORRISPONDANCE FEE 7A503056	0.00					-25.00
07/15/2018		*RBC: WEALTHSTATION	0.00					-25.00
07/15/2018		*RBC: WEALTHSTATION - INMAN	0.00					-25.00
07/15/2018		*TECHNOLOGY: ADMIN - D INMAN	0.00					-130.00
07/15/2018		*TECHNOLOGY: CURRENT MONTH - BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-710.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$2,260.40
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-710.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,550.40
Year-to-date Gross	\$72,037.48
Year-to-date Earnings	\$34,536.03