



Concorde Investment Services, LLC

09/28/2017  
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# COMMISSION STATEMENT September 30, 2017

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>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN BALANCED A	0.00	4.60	0.00	4.60	48.0	2.21
09/01/2017	BOWLAND, TERRI	AM FUNDS AMERICAN BALANCED A	0.00	7.09	0.00	7.09	48.0	3.40
09/01/2017	SCHONFELD, NANCY	AM FUNDS AMERICAN BALANCED A	0.00	4.47	0.00	4.47	48.0	2.15
09/01/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.22	0.00	1.22	48.0	0.59
09/01/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.95	0.00	3.95	48.0	1.90
09/01/2017	SCHONFELD, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.65	0.00	2.65	48.0	1.27
09/01/2017	SCHONFELD, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.12	0.00	3.12	48.0	1.50
09/01/2017	BOWLAND, BOBBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.56	0.00	3.56	48.0	1.71
09/01/2017	BOWLAND, TERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.46	0.00	5.46	48.0	2.62
09/01/2017	STEPHENS, BRAZOS	AM FUNDS GROWTH PORT 529A	0.00	8.63	0.00	8.63	48.0	4.14
09/01/2017	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	0.00	5.81	0.00	5.81	48.0	2.79
09/15/2017	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	50.00	2.13	0.00	2.13	48.0	1.02
09/01/2017	MOLINA, JEREMY	AM FUNDS ICA A	0.00	7.20	0.00	7.20	48.0	3.46
09/01/2017	MCGINNIS, KANDACE	AM FUNDS ICA A	0.00	5.08	0.00	5.08	48.0	2.44
09/01/2017	BOWLAND, BOBBY	AM FUNDS NEW PERSPECTIVE A	0.00	3.46	0.00	3.46	48.0	1.66
09/01/2017	BOWLAND, TERRI	AM FUNDS NEW PERSPECTIVE A	0.00	4.99	0.00	4.99	48.0	2.40
09/01/2017	MOLINA, JEREMY	AM FUNDS NEW PERSPECTIVE A	0.00	2.79	0.00	2.79	48.0	1.34
09/01/2017	MCGINNIS, KANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	2.09	0.00	2.09	48.0	1.00
09/01/2017	VOORHEES, CLIFFORD	AM FUNDS PRESERVATION PORT A	0.00	12.37	0.00	12.37	48.0	5.94
09/01/2017	VOORHEES, CINDY	AM FUNDS PRESERVATION PORT A	0.00	12.38	0.00	12.38	48.0	5.94
09/01/2017	MOLINA, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.82	0.00	3.82	48.0	1.83
09/01/2017	MCGINNIS, KANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.57	0.00	2.57	48.0	1.23
09/01/2017	WILLIAMS, JUANA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	4.28	0.00	4.28	48.0	2.05
09/01/2017	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	20,000.00	200.00	0.00	200.00	48.0	96.00
/ /	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

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>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.08	0.00	0.08	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.04	0.00	0.04	48.0	0.02
/ /	SCHONFELD, NANCY	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	7.22	0.00	7.22	48.0	3.47
* MUTUAL FUNDS SUBTOTAL *			\$20,050.00	\$321.19	\$0.00	\$321.19		\$154.18
*** BROKER TRANSACTIONS TOTAL ***			\$20,050.00	\$321.19	\$0.00	\$321.19		\$154.18

<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARK-S148 SMITH #401</u></b>								
09/05/2017	BOMMARITO, VICTORIA	FOUNDING FUNDS 529 PORTFOLIO - CLAS	50.00	2.50	0.00	2.50	0.0	1.20
09/05/2017	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	0.0	1.44
* MARK-S148 SMITH SUBTOTAL *			\$350.00	\$5.50	\$0.00	\$5.50		\$2.64
*** OVERRIDE TRANSACTIONS TOTAL ***			\$350.00	\$5.50	\$0.00	\$5.50		\$2.64

<b><u>BROKER COMMISSION TOTALS</u></b>	
Broker Transactions	\$154.18
Split Transactions	\$0.00
Override Transactions	\$2.64
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-593.36
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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Balance Forward	\$-436.54
Year-to-date Gross	\$5,159.55
Year-to-date Earnings	\$2,479.16

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