



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2017

03/14/2017
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JOEL WOODS
1412 Blue Quail Run

Crowley, TX 76036-

BROKER #: W143
BRANCH: WOODS FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
02/27/2017	SHERRIEB, HAROLD	GPB WASTE MANAGEMENT LP	50,000.00	3,500.00	0.00	3,500.00	92.0	3,220.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$50,000.00	\$3,500.00	\$0.00	\$3,500.00		\$3,220.00
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
02/27/2017	TMICO	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.13	0.00	0.13	90.0	0.12
02/27/2017	TMICO	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.71	0.00	0.71	90.0	0.64
		* INTERVAL FUNDS SUBTOTAL *	\$0.00	\$0.84	\$0.00	\$0.84		\$0.76
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ST JOHN, FINN	AMERICAN FUNDS COLLEGE 2033 FUND-52	100.00	3.50	0.00	3.50	90.0	3.15
02/09/2017	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	7.23	0.00	7.23	90.0	6.51
02/17/2017	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	147.00	22.00	0.00	22.00	90.0	19.80
02/09/2017	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	10.58	0.00	10.58	90.0	9.52
02/17/2017	MELTON, PAMELA	INVESCO BALANCED-RISK ALLOCATION-C	147.00	22.00	0.00	22.00	90.0	19.80
02/21/2017	CROSS, BETTY	MFS UTILITIES A	0.00	0.22	0.00	0.22	90.0	0.20
02/21/2017	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	1.40	0.00	1.40	90.0	1.26
02/09/2017	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	1.55	0.00	1.55	90.0	1.40
02/21/2017	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	1.55	0.00	1.55	90.0	1.40
03/02/2017	U/A DTD 07-19-2007	TRANSAMERICA MLP & ENERGY INC - C	0.00	12.92	0.00	12.92	90.0	11.63
		* MUTUAL FUNDS SUBTOTAL *	\$394.00	\$82.95	\$0.00	\$82.95		\$74.67
<u>PRODUCT CATEGORY: STOCKS</u>								
01/30/2017	THREADGILL TRUST	FS INVESTMENT CORPORATION	33,164.37	331.64	22.00	309.64	90.0	278.68
		* STOCKS SUBTOTAL *	\$33,164.37	\$331.64	\$22.00	\$309.64		\$278.68
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2017	HENSLEE, CHARLES	JNL PERSPECTIVE	8,730.81	1.82	0.00	1.82	90.0	1.64
02/28/2017	MARKS, FRANCES	JNL PERSPECTIVE L	48,104.20	52.11	0.00	52.11	90.0	46.90

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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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
02/28/2017	MARKS, RICHARD	JNL PERSPECTIVE L	48,180.22	52.20	0.00	52.20	90.0	46.98
02/28/2017	LILES, ROBERT	JOHN HANCOCK VENTURE III	190,691.53	158.91	0.00	158.91	90.0	143.02
* VARIABLE ANNUITIES SUBTOTAL *			\$295,706.76	\$265.04	\$0.00	\$265.04		\$238.54
*** BROKER TRANSACTIONS TOTAL ***			\$379,265.13	\$4,180.47	\$22.00	\$4,158.47		\$3,812.65

VERRIDE TRANSACTIONS**BROKER: MARK-S141 REG SMITH #367**

02/09/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	48.0	0.01
02/09/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	48.0	0.01
03/01/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.16	0.00	1.16	48.0	0.49
03/01/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.76	0.00	3.76	48.0	1.58
03/01/2017	STEPHENS, BRAZOS	AM FUNDS GROWTH PORT 529A	0.00	1.60	0.00	1.60	48.0	0.67
02/09/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.04	0.00	0.04	48.0	0.02
02/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.04	0.00	0.04	48.0	0.02
02/09/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.02	0.00	0.02	48.0	0.01
02/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.02	0.00	0.02	48.0	0.01
02/09/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.05	0.00	0.05	48.0	0.02
02/09/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.05	0.00	0.05	48.0	0.02
02/27/2017	RODAK, MARVIN	AXA STRUCTURED CAP STRATEGIES 16 SE	31,055.19	1,552.76	0.00	1,552.76	48.0	652.16
02/21/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.03	0.00	0.03	48.0	0.01
02/09/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.31	0.00	0.31	48.0	0.13
* MARK-S141 REG SMITH SUBTOTAL *			\$31,055.19	\$1,559.88	\$0.00	\$1,559.88		\$655.16

BROKER: MARK-S142 ALTS SMITH #368

02/27/2017	TMICO	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.32	0.00	0.32	49.0	0.14
* MARK-S142 ALTS SMITH SUBTOTAL *			\$0.00	\$0.32	\$0.00	\$0.32		\$0.14
*** OVERRIDE TRANSACTIONS TOTAL ***			\$31,055.19	\$1,560.20	\$0.00	\$1,560.20		\$655.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*RBC: MCAT FEES	0.00					-540.00
03/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,115.00

BROKER COMMISSION TOTALS

Broker Transactions	\$3,812.65
Split Transactions	\$0.00
Override Transactions	\$655.30
Adjustments	\$-1,115.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,352.95
Year-to-date Gross	\$20,012.78
Year-to-date Earnings	\$49,761.66

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