



Concorde Investment Services, LLC
COMMISSION STATEMENT
December 15, 2017

12/15/2017
Page No. 1

JOEL WOODS
1412 Blue Quail Run

BROKER #: W143
BRANCH: WOODS FINANCIAL

Crowley, TX 76036-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
11/09/2017	MASSEY, ARTHUR	COTTONWOOD RESIDENTIAL 2016 PREFR'D	-33,000.00	-2,310.00	0.00	-2,310.00	92.0	-2,125.20
		* PRIVATE PLACEMENT SUBTOTAL *	\$-33,000.00	\$-2,310.00	\$0.00	\$-2,310.00		\$-2,125.20
<u>PRODUCT CATEGORY: REIT</u>								
11/09/2017	MASSEY, ARTHUR	COTTONWOOD MULTIFAMILY REIT II	33,000.00	1,980.00	0.00	1,980.00	92.0	1,821.60
11/28/2017	THREADGILL, HEATHER	COTTONWOOD MULTIFAMILY REIT II	20,000.00	1,200.00	0.00	1,200.00	92.0	1,104.00
		* REIT SUBTOTAL *	\$53,000.00	\$3,180.00	\$0.00	\$3,180.00		\$2,925.60
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/04/2017	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
12/08/2017	GRAVES, BENJAMIN	AMERICAN FUNDS COLLEGE 2033 FUND-52	10.00	0.35	0.00	0.35	90.0	0.32
		* 529 PLANS SUBTOTAL *	\$135.00	\$6.60	\$0.00	\$6.60		\$5.95
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/10/2017	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.77	0.00	8.77	90.0	7.89
11/09/2017	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.51	0.00	7.51	90.0	6.76
11/09/2017	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	6.45	0.00	6.45	90.0	5.81
11/09/2017	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	12.55	0.00	12.55	90.0	11.30
11/09/2017	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	5.55	0.00	5.55	90.0	5.00
11/13/2017	THREADGILL, MICHELLE	INVESCO BALANCED-RISK ALLOCATION-C	15,000.00	0.00	0.00	0.00	90.0	0.00
11/09/2017	CROSS, BETTY	MFS UTILITIES A	0.00	3.90	0.00	3.90	90.0	3.51
11/09/2017	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	4.20	0.00	4.20	90.0	3.78
11/09/2017	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	5.55	0.00	5.55	90.0	5.00
		* MUTUAL FUNDS SUBTOTAL *	\$15,000.00	\$54.48	\$0.00	\$54.48		\$49.05
<u>PRODUCT CATEGORY: STOCKS</u>								
10/31/2017	TMICO TRUST CO	PREFERRED APT CMNTYS INC COM	60,534.30	300.00	22.00	278.00	90.0	250.20
11/01/2017	KLUCHER, WILLIAM	PREFERRED APT CMNTYS INC COM	2,006.24	50.00	22.00	28.00	90.0	25.20

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
11/01/2017	GRUMBLES, JACK	PREFERRED APT CMNTYS INC COM	19,994.62	190.00	22.00	168.00	90.0	151.20
11/13/2017	OXFORD, SCOTT	PREFERRED APT CMNTYS INC COM	42,871.20	300.00	22.00	278.00	90.0	250.20
11/15/2017	HICKMAN, FRANCES	PREFERRED APT CMNTYS INC COM	39,047.04	300.00	22.00	278.00	90.0	250.20
11/20/2017	BLOCKER, CAROLYN	PREFERRED APT CMNTYS INC COM	14,603.89	140.00	22.00	118.00	90.0	106.20
11/20/2017	GIBSON, TIMOTHY	PREFERRED APT CMNTYS INC COM	10,510.62	100.00	22.00	78.00	90.0	70.20
11/21/2017	HOOPER LIV TRUST, HORACE &	PREFERRED APT CMNTYS INC COM	4,210.04	50.00	22.00	28.00	90.0	25.20
11/27/2017	HENSLEE, SHARON	PREFERRED APT CMNTYS INC COM	6,513.54	65.00	22.00	43.00	90.0	38.70
* STOCKS SUBTOTAL *			\$200,291.49	\$1,495.00	\$198.00	\$1,297.00		\$1,167.30
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	NORRIS, JERRY	JNL PERSPECTIVE	11,306.57	2.36	0.00	2.36	90.0	2.12
11/30/2017	HENSLEE, CHARLES	JNL PERSPECTIVE	9,940.71	2.07	0.00	2.07	90.0	1.86
11/30/2017	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	102,303.43	42.63	0.00	42.63	90.0	38.37
11/30/2017	CADY, KENDA	JNL PERSPECTIVE L	29,821.43	32.31	0.00	32.31	90.0	29.08
11/30/2017	HEIL, ROBERT	JNL PERSPECTIVE L	60,389.72	65.42	0.00	65.42	90.0	58.88
11/30/2017	PARKIN, DAVID	JNL PERSPECTIVE L	64,641.49	70.03	0.00	70.03	90.0	63.03
11/30/2017	TOMLINSON, HAROLD	JNL PERSPECTIVE L	114,084.85	123.59	0.00	123.59	90.0	111.23
11/30/2017	MARKS, FRANCES	JNL PERSPECTIVE L	43,960.00	47.62	0.00	47.62	90.0	42.86
11/30/2017	MARKS, RICHARD	JNL PERSPECTIVE L	44,076.37	47.75	0.00	47.75	90.0	42.98
11/30/2017	SENESE, CATHERINE	JNL PERSPECTIVE L	6,997.35	7.58	0.00	7.58	90.0	6.82
11/30/2017	HARVEY, HELEN	JNL PERSPECTIVE L	83,893.43	90.88	0.00	90.88	90.0	81.79
11/30/2017	SENESE, CARMEN	JNL PERSPECTIVE L	22,751.61	24.65	0.00	24.65	90.0	22.19
11/30/2017	HARVEY, JESSE	JNL PERSPECTIVE L	102,929.07	111.51	0.00	111.51	90.0	100.36
11/30/2017	IRBY, MALCOLM DON & E	JNL PERSPECTIVE L	20,059.16	21.73	0.00	21.73	90.0	19.56
11/30/2017	PERRY, JANINE	JNL PERSPECTIVE L	19,006.16	20.59	0.00	20.59	90.0	18.53
11/30/2017	LILES, ROBERT	JOHN HANCOCK VENTURE III	196,328.63	163.61	0.00	163.61	90.0	147.25
11/30/2017	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	72,083.55	60.07	0.00	60.07	90.0	54.06
* VARIABLE ANNUITIES SUBTOTAL *			\$1,004,573.53	\$934.40	\$0.00	\$934.40		\$840.97
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	DEVINE, MICHAEL	AM FUNDS AMCAP 529A	0.00	2.30	0.00	2.30	90.0	2.07
12/01/2017	DEVINE, MICHAEL	AM FUNDS AMCAP 529A	0.00	1.60	0.00	1.60	90.0	1.44
12/01/2017	DEVINE, MICHAEL	AM FUNDS AMCAP 529A	0.00	0.93	0.00	0.93	90.0	0.84
12/01/2017	DEVINE, MICHAEL	AM FUNDS AMCAP 529A	0.00	0.61	0.00	0.61	90.0	0.55

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SHAW, DEBRA	AM FUNDS AMERICAN BALANCED 529A	0.00	1.99	0.00	1.99	90.0	1.79
12/01/2017	KOSLA, EVA	AM FUNDS AMERICAN BALANCED 529A	0.00	21.97	0.00	21.97	90.0	19.77
12/01/2017	PERRY, JANINE	AM FUNDS AMERICAN BALANCED C	0.00	4.79	0.00	4.79	90.0	4.31
12/01/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.70	0.00	2.70	90.0	2.43
12/01/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.30	0.00	0.30	90.0	0.27
12/01/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	2.69	0.00	2.69	90.0	2.42
12/01/2017	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.49	0.00	2.49	90.0	2.24
12/01/2017	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	KOSLA, EVA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.72	0.00	8.72	90.0	7.85
12/01/2017	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.11	0.00	2.11	90.0	1.90
12/01/2017	TURNER, CATALINA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.58	0.00	1.58	90.0	1.42
12/01/2017	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.44	0.00	1.44	90.0	1.30
12/01/2017	KOSLA, EVA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	15.97	0.00	15.97	90.0	14.37
12/01/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.61	0.00	2.61	90.0	2.35
12/01/2017	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.91	0.00	0.91	90.0	0.82
12/01/2017	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.40	0.00	3.40	90.0	3.06
12/01/2017	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.29	0.00	1.29	90.0	1.16
12/01/2017	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.61	0.00	0.61	90.0	0.55
12/01/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.31	0.00	0.31	90.0	0.28
12/01/2017	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.18	0.00	3.18	90.0	2.86
12/01/2017	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.18	0.00	3.18	90.0	2.86
12/01/2017	MURPHY, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.03	0.00	12.03	90.0	10.83
12/01/2017	CONTRERAS, COURTNEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.38	0.00	4.38	90.0	3.94
12/01/2017	PERRY, JANINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	90.0	2.36
12/01/2017	WILSON, TED	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	17.64	0.00	17.64	90.0	15.88
12/01/2017	PERRY, JANINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.84	0.00	0.84	90.0	0.76
12/01/2017	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.53	0.00	3.53	90.0	3.18
12/01/2017	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.02	0.00	2.02	90.0	1.82
12/01/2017	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.33	0.00	0.33	90.0	0.30
12/01/2017	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.49	0.00	3.49	90.0	3.14
12/01/2017	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.49	0.00	2.49	90.0	2.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.02	0.00	2.02	90.0	1.82
12/01/2017	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.74	0.00	1.74	90.0	1.57
12/01/2017	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.05	0.00	1.05	90.0	0.95
12/01/2017	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.60	0.00	0.60	90.0	0.54
12/01/2017	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.92	0.00	2.92	90.0	2.63
12/01/2017	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.63	0.00	0.63	90.0	0.57
12/01/2017	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.25	0.00	3.25	90.0	2.93
12/01/2017	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.25	0.00	3.25	90.0	2.93
12/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.55	0.00	20.55	90.0	18.50
12/01/2017	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	6.49	0.00	6.49	90.0	5.84
12/01/2017	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.44	0.00	3.44	90.0	3.10
12/01/2017	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	0.36	0.00	0.36	90.0	0.32
12/01/2017	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	5.75	0.00	5.75	90.0	5.18
12/01/2017	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	3.15	0.00	3.15	90.0	2.84
12/01/2017	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	2.32	0.00	2.32	90.0	2.09
12/01/2017	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	1.52	0.00	1.52	90.0	1.37
12/01/2017	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	2.64	0.00	2.64	90.0	2.38
12/01/2017	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	1.61	0.00	1.61	90.0	1.45
12/01/2017	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	1.05	0.00	1.05	90.0	0.95
12/01/2017	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	0.97	0.00	0.97	90.0	0.87
12/01/2017	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	1.93	0.00	1.93	90.0	1.74
12/01/2017	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	1.41	0.00	1.41	90.0	1.27
12/01/2017	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	0.60	0.00	0.60	90.0	0.54
12/01/2017	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.24	0.00	3.24	90.0	2.92
12/01/2017	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.24	0.00	3.24	90.0	2.92
12/01/2017	CONTRERAS, COURTNEY	AM FUNDS ICA A	0.00	5.13	0.00	5.13	90.0	4.62
12/01/2017	PERRY, JANINE	AM FUNDS ICA C	0.00	6.08	0.00	6.08	90.0	5.47
12/01/2017	PERRY, JANINE	AM FUNDS ICA F1	0.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.53	0.00	0.53	90.0	0.48
12/01/2017	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.40	0.00	0.40	90.0	0.36
12/01/2017	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.22	0.00	3.22	90.0	2.90
12/01/2017	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.22	0.00	3.22	90.0	2.90

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	MURPHY, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.53	0.00	18.53	90.0	16.68
12/01/2017	PERRY, JANINE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.70	0.00	2.70	90.0	2.43
12/01/2017	AMOS, ALEXANDER	AMERICAN FUNDS COLLEGE 2018 FUND 52	0.00	11.87	0.00	11.87	90.0	10.68
12/01/2017	AMOS, ALEXANDER	AMERICAN FUNDS COLLEGE 2018 FUND 52	0.00	11.87	0.00	11.87	90.0	10.68
12/01/2017	AMOS, ALEXANDER	AMERICAN FUNDS COLLEGE 2018 FUND 52	0.00	24.39	0.00	24.39	90.0	21.95
12/01/2017	AMOS, ALEXANDER	AMERICAN FUNDS COLLEGE 2018 FUND 52	0.00	2.95	0.00	2.95	90.0	2.66
12/01/2017	ST JOHN, FINN	AMERICAN FUNDS COLLEGE 2033 FUND-52	0.00	0.12	0.00	0.12	90.0	0.11
12/01/2017	GRAVES, BENJAMIN	AMERICAN FUNDS COLLEGE 2033 FUND-52	0.00	0.05	0.00	0.05	90.0	0.05
11/09/2017	PHIPPS, CHRISTEEN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.86	0.00	13.86	90.0	12.47
11/09/2017	PHIPPS, LESLIE	CARTER VALIDUS MC REIT II CLASS T	0.00	29.44	0.00	29.44	90.0	26.50
11/09/2017	SHERRIEB, HAROLD	CARTER VALIDUS MC REIT II CLASS T	0.00	64.95	0.00	64.95	90.0	58.46
11/09/2017	MCELVAIN, TED	CARTER VALIDUS MC REIT II CLASS T	0.00	9.88	0.00	9.88	90.0	8.89
11/09/2017	HINCKLEY, CYNTHIA	CARTER VALIDUS MC REIT II CLASS T	0.00	2.58	0.00	2.58	90.0	2.32
11/09/2017	HINCKLEY, BRYAN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.32	0.00	13.32	90.0	11.99
/ /	RECTOR, ABIGAIL	JH 529 PORT 2017-2020 A	0.00	1.42	0.00	1.42	90.0	1.28
/ /	RECTOR, MADELINE	JH 529 PORT 2017-2020 A	0.00	1.42	0.00	1.42	90.0	1.28
12/04/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.40	0.00	4.40	90.0	3.96
12/04/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	16.31	0.00	16.31	90.0	14.68
12/04/2017	PERRY CHILD TRUST, RUDOLPH	TRANSAMERICA MLP & ENERGY INC - C	0.00	12.48	0.00	12.48	90.0	11.23
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$480.53	\$0.00	\$480.53		\$432.58
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
11/24/2017	GORDON, JEFFREY	PAC LIFE 69448B175	0.00	229.57	0.00	229.57	90.0	206.61
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$229.57	\$0.00	\$229.57		\$206.61
*** DIRECT TRANSACTIONS TOTAL ***			\$1,240,000.02	\$4,070.58	\$198.00	\$3,872.58		\$3,502.86

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-S141 REG SMITH #10 </u>								
11/22/2017	STEPHENS, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA 529	14,000.00	700.00	0.00	700.00	48.0	294.00
		* MARK-S141 REG SMITH SUBTOTAL *	\$14,000.00	\$700.00	\$0.00	\$700.00		\$294.00
<u> BROKER: MARK-S141 REG SMITH #367 </u>								
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	0.00	1.56	0.00	1.56	48.0	0.66
12/01/2017	BONGIORNO, VALERIE	AM FUNDS AMCAP A	0.00	0.71	0.00	0.71	48.0	0.30
12/01/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN BALANCED A	0.00	4.70	0.00	4.70	48.0	1.97
12/01/2017	BOWLAND, TERRI	AM FUNDS AMERICAN BALANCED A	0.00	7.23	0.00	7.23	48.0	3.04
12/01/2017	SCHONFELD, NANCY	AM FUNDS AMERICAN BALANCED A	0.00	4.56	0.00	4.56	48.0	1.92
11/09/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.17	0.00	4.17	48.0	1.75
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	0.00	1.52	0.00	1.52	48.0	0.64
11/09/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
11/09/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
12/01/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.21	0.00	1.21	48.0	0.51
12/01/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.92	0.00	3.92	48.0	1.65
11/09/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.58	0.00	6.58	48.0	2.76
12/01/2017	SCHONFELD, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.69	0.00	2.69	48.0	1.13
12/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	48.0	0.28
11/09/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.68	0.00	3.68	48.0	1.55
12/01/2017	SCHONFELD, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.23	0.00	3.23	48.0	1.36
12/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	48.0	0.30
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.35	0.00	1.35	48.0	0.57
11/09/2017	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	48.0	0.68
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	48.0	0.69
12/01/2017	STEPHENS, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.82	0.00	0.82	48.0	0.34
12/01/2017	BOWLAND, BOBBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.70	0.00	3.70	48.0	1.55
12/01/2017	BOWLAND, TERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.68	0.00	5.68	48.0	2.39
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.72	0.00	1.72	48.0	0.72
12/01/2017	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	48.0	0.32
12/01/2017	STEPHENS, BRAZOS	AM FUNDS GROWTH PORT 529A	0.00	9.41	0.00	9.41	48.0	3.95
12/01/2017	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	0.00	6.23	0.00	6.23	48.0	2.62
11/09/2017	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.04	0.00	4.04	48.0	1.70
12/01/2017	MOLINA, JEREMY	AM FUNDS ICA A	0.00	10.65	0.00	10.65	48.0	4.47
12/01/2017	MCGINNIS, KANDACE	AM FUNDS ICA A	0.00	7.52	0.00	7.52	48.0	3.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
11/09/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
11/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
11/09/2017	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.14	0.00	2.14	48.0	0.90
11/09/2017	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.48	0.00	3.48	48.0	1.46
11/09/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
11/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
11/09/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	48.0	0.09
11/09/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	48.0	0.09
12/01/2017	BOWLAND, BOBBY	AM FUNDS NEW PERSPECTIVE A	0.00	3.60	0.00	3.60	48.0	1.51
12/01/2017	BOWLAND, TERRI	AM FUNDS NEW PERSPECTIVE A	0.00	5.20	0.00	5.20	48.0	2.18
12/01/2017	MOLINA, JEREMY	AM FUNDS NEW PERSPECTIVE A	0.00	4.15	0.00	4.15	48.0	1.74
12/01/2017	MCGINNIS, KANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	3.11	0.00	3.11	48.0	1.31
12/01/2017	VOORHEES, CLIFFORD	AM FUNDS PRESERVATION PORT A	0.00	12.25	0.00	12.25	48.0	5.15
12/01/2017	VOORHEES, CINDY	AM FUNDS PRESERVATION PORT A	0.00	12.26	0.00	12.26	48.0	5.15
12/01/2017	JOHNSON, FRANKLIN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.83	0.00	0.83	48.0	0.35
12/01/2017	MOLINA, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.69	0.00	5.69	48.0	2.39
12/01/2017	MCGINNIS, KANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.82	0.00	3.82	48.0	1.60
11/27/2017	ALLISON, DIANNA	AM GEN POLARIS PLATINUM III	72,381.55	4,523.85	0.00	4,523.85	48.0	1,900.02
11/28/2017	JIMISON, HAROLD	AM GEN POLARIS PLATINUM III	161,950.89	10,121.93	0.00	10,121.93	48.0	4,251.21
11/28/2017	HARRIS, GENIVA	AM GEN POLARIS PLATINUM III	40,065.37	2,504.09	0.00	2,504.09	48.0	1,051.72
11/28/2017	HARRIS, GENIVA	AM GEN POLARIS PLATINUM III	17,669.63	1,104.35	0.00	1,104.35	48.0	463.83
12/01/2017	WILLIAMS, JUANA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	4.24	0.00	4.24	48.0	1.78
11/20/2017	GODWIN, SANDRA	GRIFFIN INST'L ACCESS R E FUND C	8,000.00	80.00	0.00	80.00	0.0	33.60
11/30/2017	BRIDGES, JANIS	JNL ELITE ACCESS	105,624.72	88.02	0.00	88.02	48.0	36.97
11/30/2017	RHODES, VIRGINIA	JNL ELITE ACCESS	77,113.61	16.07	0.00	16.07	48.0	6.75
11/30/2017	CROWTHER, JOHN	JNL ELITE ACCESS	59,588.28	12.41	0.00	12.41	48.0	5.21
11/30/2017	NOBLES, VERLIE	JNL PERSPECTIVE L	30,916.18	33.49	0.00	33.49	48.0	14.07
11/30/2017	REEDER, WESLEY	JNL PERSPECTIVE L	17,966.13	19.46	0.00	19.46	48.0	8.17
11/30/2017	SPURGIN, BRENT	JNL PERSPECTIVE L	37,928.81	41.09	0.00	41.09	48.0	17.26
11/30/2017	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	52,491.69	43.74	0.00	43.74	48.0	18.37
11/30/2017	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	34,973.53	37.89	0.00	37.89	48.0	15.91
11/30/2017	WALLACE, DEBORREH	JNL PERSPECTIVE L	84,835.21	70.70	0.00	70.70	48.0	29.69
11/30/2017	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,570.03	25.48	0.00	25.48	48.0	10.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
11/09/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	1.04	0.00	1.04	48.0	0.44
11/03/2017	LAHR, IVAN	PREFERRED APT CMNTYS INC COM	56,404.93	400.00	22.00	378.00	48.0	158.76
11/09/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.90	0.00	0.90	48.0	0.38
11/29/2017	BURNS, ANNE	SEC BEN 814121158	37,892.24	31.56	0.00	31.56	48.0	13.26
12/04/2017	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.61	0.00	10.61	48.0	4.46
12/04/2017	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.22	0.00	4.22	48.0	1.77
* MARK-S141 REG SMITH SUBTOTAL *			\$926,372.80	\$19,334.98	\$22.00	\$19,312.98		\$8,111.49
<u>BROKER: MARK-S142 ALTS SMITH #368</u>								
12/04/2017	DIBLE, RICHARD	COTTONWOOD MULTIFAMILY REIT II	10,000.00	600.00	0.00	600.00	49.0	258.00
11/21/2017	BUSBEE, MARY	GRIFFIN INST'L ACCESS R E FUND C	2,868.00	28.68	0.00	28.68	49.0	12.33
* MARK-S142 ALTS SMITH SUBTOTAL *			\$12,868.00	\$628.68	\$0.00	\$628.68		\$270.33
*** OVERRIDE TRANSACTIONS TOTAL ***			\$953,240.80	\$20,663.66	\$22.00	\$20,641.66		\$8,675.82

ADJUSTMENTS

12/15/2017	*: RBC WRITE OFF	0.00						-0.01
12/15/2017	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
12/15/2017	*EO INS: CURRENT MONTH INS	0.00						-300.00
12/15/2017	*LASER APP: CURRENT MONTH	0.00						-18.00
12/15/2017	*RBC: CURRENT MONTH	0.00						-25.00
12/15/2017	*TECH: CURRENT MONTH BASIC	0.00						-180.00
12/15/2017	*TECHNOLOGY: ADMIN - CHRISTINA POOL	0.00						-130.00
12/15/2017	*TECHNOLOGY: ADMIN - JAMIE CONDRAY	0.00						-130.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-790.01

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BROKER COMMISSION TOTALS

Broker Transactions	\$3,502.86
Split Transactions	\$0.00
Override Transactions	\$8,675.82
Adjustments	\$-790.01
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$11,388.67
Year-to-date Gross	\$115,234.82
Year-to-date Earnings	\$173,847.76