



Concorde Investment Services, LLC

08/22/2018

Page No. 1

COMMISSION STATEMENT**August 31, 2018**BRUCE BAXTER
10385 Wellington Blvd.BROKER #: B121 Terminated 05/30/2015
BRANCH: BRUCE BAXTER

Powell, OH 43065

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------------------------------------|-------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | DENNIS, MARK | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.12 | 0.00 | 0.12 | 0.0 | 0.00 |
| / / | MCMULLEN, PATRICK | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| / / | DIXON, ALLEN | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | HUBER, JAMES | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.23 | 0.00 | 0.23 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.05 | 0.00 | 0.05 | 0.0 | 0.00 |
| / / | HUFFMAN, JUSTIN | PROFUNDS ULTRANASDAQ 100 SVC | 0.00 | 10.57 | 0.00 | 10.57 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRASHORT EMG MKT SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS ULTRASHORT SMALLCAP SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRASHORT SMALLCAP SVC | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS US GOV PLUS SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS US GOV PLUS SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$0.00 | \$11.21 | \$0.00 | \$11.21 | | \$0.00 |
| <u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u> | | | | | | | | |
| 08/03/2018 | BAXTER, VARIOUS | TRANSAMERICA LIFE | 374,846.33 | 749.69 | 0.00 | 749.69 | 0.0 | 0.00 |
| * VARIABLE UNIVERSAL LIFE SUBTOTAL * | | | \$374,846.33 | \$749.69 | \$0.00 | \$749.69 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | DENNIS, MARK | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.27 | 0.00 | 0.27 | 0.0 | 0.00 |
| / / | MCMULLEN, PATRICK | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| / / | DIXON, ALLEN | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| / / | HUBER, JAMES | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |

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> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | GOLSCH, LORI | PROFUNDS MONEY MARKET-SVC | 0.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.09 | 0.00 | 0.09 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.16 | 0.00 | 0.16 | 0.0 | 0.00 |
| / / | HUFFMAN, JUSTIN | PROFUNDS ULTRANASDAQ 100 SVC | 0.00 | 31.72 | 0.00 | 31.72 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS ULTRASHORT EMG MKT SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRASHORT EMG MKT SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS ULTRASHORT SMALLCAP SVC | 0.00 | 0.05 | 0.00 | 0.05 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS ULTRASHORT SMALLCAP SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS ULTRASHORT SMALLCAP SVC | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| / / | DENNIS, MARK | PROFUNDS US GOV PLUS SVC | 0.00 | 0.04 | 0.00 | 0.04 | 0.0 | 0.00 |
| / / | BAXTER, MEGAN | PROFUNDS US GOV PLUS SVC | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| / / | GOLSCH, LORI | PROFUNDS US GOV PLUS SVC | 0.00 | 0.07 | 0.00 | 0.07 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$33.30 | \$0.00 | \$33.30 | | \$0.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 08/01/2018 | RIEGEL, DAVID | ING ACCESS | 10.58 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| 08/15/2018 | LAMBERT, JOHN DOUGLAS | ING ACCESS | 41,781.33 | 104.45 | 0.00 | 104.45 | 0.0 | 0.00 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$41,791.91 | \$104.48 | \$0.00 | \$104.48 | | \$0.00 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$416,638.24 | \$898.68 | \$0.00 | \$898.68 | | \$0.00 |

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$0.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|------------------------------|-------------------|
| Balance Forward | \$0.00 |
| Year-to-date Gross | \$2,232.29 |
| Year-to-date Earnings | \$0.00 |