



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**April 15, 2017**

04/12/2017  
 Page No. 1

DAVID KOTZ  
 601 Mine Brook Rd

BROKER #: K135  
 BRANCH: DAVID KOTZ

Far Hills, NJ 07931

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>								
03/10/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.62	0.00	3.62	80.0	2.90
03/10/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.81	0.00	0.81	80.0	0.65
03/10/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	21.66	0.00	21.66	80.0	17.33
03/10/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.28	0.00	8.28	80.0	6.62
03/10/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.96	0.00	1.96	80.0	1.57
03/10/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.96	0.00	1.96	80.0	1.57
03/10/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.63	0.00	7.63	80.0	6.10
03/10/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.98	0.00	1.98	80.0	1.58
03/10/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.25	0.00	0.25	80.0	0.20
03/10/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.77	0.00	2.77	80.0	2.22
03/22/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	3,000.00	10.00	0.00	10.00	80.0	8.00
03/07/2017	MCKAY, VERNA	BLACKROCK FUNDS US GOVERNMENT PORTF	10,796.13	0.00	0.00	0.00	80.0	0.00
03/10/2017	MCKAY, VERNA	BLACKROCK FUNDS US GOVERNMENT PORTF	0.00	2.08	0.00	2.08	80.0	1.66
03/10/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.51	0.00	1.51	80.0	1.21
03/10/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.07	0.00	2.07	80.0	1.66
03/10/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	1.57	0.00	1.57	80.0	1.26
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$13,796.13</b>	<b>\$68.15</b>	<b>\$0.00</b>	<b>\$68.15</b>		<b>\$54.53</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
03/09/2017	KLEINER BEIGEL, WENDY	AMAZON COM INC	12,805.80	105.00	22.00	83.00	80.0	66.40
03/09/2017	KLEINER BEIGEL, WENDY	AMAZON COM INC	-12,805.80	-105.00	-22.00	-83.00	80.0	-66.40
03/09/2017	KLEINER BEIGEL, WENDY	AMAZON COM INC	12,805.80	0.00	22.00	-22.00	80.0	-17.60
03/09/2017	KLEINER BEIGEL, WENDY	CELGENE CORP	626.75	50.00	22.00	28.00	80.0	22.40
03/09/2017	KLEINER BEIGEL, WENDY	CELGENE CORP	-626.75	-50.00	-22.00	-28.00	80.0	-22.40
03/09/2017	KLEINER BEIGEL, WENDY	CELGENE CORP	626.75	0.00	22.00	-22.00	80.0	-17.60
03/07/2017	MCKAY, VERNA	CHEVRON CORP NEW COM	25,423.51	287.71	22.00	265.71	80.0	212.57
03/07/2017	MCKAY, VERNA	COMCAST CORP CL A	46,403.95	660.32	22.00	638.32	80.0	510.66

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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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
03/22/2017	FRENCH, ELAINE	CONOCOPHILLIPS COM	6,754.50	169.57	22.00	147.57	80.0	118.06
03/09/2017	KLEINER BEIGEL, WENDY	FACEBOOK INC CL A	1,382.48	50.00	22.00	28.00	80.0	22.40
03/09/2017	KLEINER BEIGEL, WENDY	FACEBOOK INC CL A	-1,382.48	-50.00	-22.00	-28.00	80.0	-22.40
03/09/2017	KLEINER BEIGEL, WENDY	FACEBOOK INC CL A	1,382.48	0.00	22.00	-22.00	80.0	-17.60
03/07/2017	MCKAY, VERA	FRONTIER COMMUNICATIONS CORP COM	538.36	50.00	22.00	28.00	80.0	22.40
03/07/2017	MCKAY, VERA	FRONTIER COMMUNICATIONS CORP COM	-538.36	-50.00	-22.00	-28.00	80.0	-22.40
03/07/2017	MCKAY, VERA	FRONTIER COMMUNICATIONS CORP COM	538.36	21.91	22.00	-0.09	80.0	-0.07
03/07/2017	DRY, BENNETT	MEDLEY CAPITAL CORPORATION	4,511.94	160.04	22.00	138.04	80.0	110.43
03/07/2017	MCKAY, VERA	NCR CORP COM	3,703.49	88.54	22.00	66.54	80.0	53.23
03/09/2017	KLEINER BEIGEL, WENDY	NETFLIX INC COM	1,405.50	50.00	22.00	28.00	80.0	22.40
03/09/2017	KLEINER BEIGEL, WENDY	NETFLIX INC COM	-1,405.50	-50.00	-22.00	-28.00	80.0	-22.40
03/09/2017	KLEINER BEIGEL, WENDY	NETFLIX INC COM	1,405.50	0.00	22.00	-22.00	80.0	-17.60
03/07/2017	MCKAY, VERA	PUBLIC SVC ENTERPRISE GROUP INC COM	54,078.00	688.43	22.00	666.43	80.0	533.14
03/07/2017	MCKAY, VERA	VERIZON COMMUNICATIONS COM	49,712.23	661.17	22.00	639.17	80.0	511.34
03/07/2017	MCKAY, VERA	VODAFONE GROUP PLC SPON ADR NEW ISI	7,274.19	182.00	22.00	160.00	80.0	128.00
* STOCKS SUBTOTAL *			\$214,620.70	\$2,919.69	\$286.00	\$2,633.69		\$2,106.96
<b><u>PRODUCT CATEGORY: BONDS</u></b>								
03/07/2017	DRY, BENNETT	***SEAGATE HDD CAYMAN SR NT	14,733.75	150.00	28.00	122.00	80.0	97.60
03/07/2017	DRY, BENNETT	BGC PARTNERS INC SR GLBL NT	21,470.00	200.00	28.00	172.00	80.0	137.60
03/07/2017	DRY, BENNETT	BLOCK FINL LLC GTD NT 5.500% 11/01/	16,170.75	150.00	28.00	122.00	80.0	97.60
03/07/2017	DRY, BENNETT	HOSPITALITY PTYS TR	15,458.85	150.00	28.00	122.00	80.0	97.60
03/28/2017	DRY, BENNETT	HSBC USA INC NEW SR IDX ZRO	10,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	FRENCH, ELAINE	HSBC USA INC NEW SR IDX ZRO	20,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	VIGH, AGNES	HSBC USA INC NEW SR IDX ZRO	3,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	MISTRY, SHAILEN	HSBC USA INC NEW SR IDX ZRO	10,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	NAGY, ZOLLAN	HSBC USA INC NEW SR IDX ZRO	10,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	DRY, BENNETT	HSBC USA INC NEW SR IDX ZRO	10,000.00	0.00	28.00	-28.00	80.0	-22.40
03/28/2017	FRENCH, ELAINE	HSBC USA INC NEW SR IDX ZRO	20,000.00	0.00	28.00	-28.00	80.0	-22.40
03/07/2017	DRY, BENNETT	KEYSIGHT TECHNOLOGIES INC	15,411.90	150.00	28.00	122.00	80.0	97.60
03/07/2017	DRY, BENNETT	OMEGA HEALTHCARE INVS INC	15,513.30	150.00	28.00	122.00	80.0	97.60
* BONDS SUBTOTAL *			\$181,758.55	\$950.00	\$364.00	\$586.00		\$468.80

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: OPTIONS</b>								
03/09/2017	KLEINER BEIGEL, WENDY	PUT 100 NOBLE CORPORATION BAAR NAME	12,590.70	105.00	22.00	83.00	80.0	66.40
03/09/2017	KLEINER BEIGEL, WENDY	PUT 100 NOBLE CORPORATION BAAR NAME	-12,590.70	-105.00	-22.00	-83.00	80.0	-66.40
03/09/2017	KLEINER BEIGEL, WENDY	PUT 100 NOBLE CORPORATION BAAR NAME	12,590.70	0.00	22.00	-22.00	80.0	-17.60
* OPTIONS SUBTOTAL *			\$12,590.70	\$0.00	\$22.00	\$-22.00		\$-17.60
*** BROKER TRANSACTIONS TOTAL ***			\$422,766.08	\$3,937.84	\$672.00	\$3,265.84		\$2,612.69
<b><u>ADJUSTMENTS</u></b>								
04/15/2017		*CONCIERGE SVC: 189514 MCKAY CAPPAR	0.00					-50.00
04/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
04/15/2017		*MANAGED FEE INCOME: PRORATED CLSD	0.00					-7.22
04/15/2017		*RBC: ORDER ENTRY	0.00					-65.00
04/15/2017		*RBC: WEALTHSTATION ADMIN	0.00					-25.00
04/15/2017		*TECHNOLOGY: ADMIN - JENNIFER NEIST	0.00					-100.00
04/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
04/15/2017		*TERMINATION FEE: TERMINATION FEE	0.00					-100.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-922.22

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,612.69
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-922.22
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-50.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,640.47
Year-to-date Gross	\$5,595.03
Year-to-date Earnings	\$3,815.24