



Concorde Investment Services, LLC

10/11/2017

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COMMISSION STATEMENT**October 15, 2017**FRED CHASALOW
2523 Hastings DriveBROKER #: C121 Terminated 12/31/2015
BRANCH: FRED CHASALOW

Belmont, CA 94002-

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 10/04/2017 | THEIN, CHRISTINE | JH GREATER CHINA OPP A | -2,500.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 10/04/2017 | THEIN, CHRISTINE | ROYCE OPPORTUNITY FUND INVESTMENT C | -2,500.00 | 0.00 | 22.00 | -22.00 | 0.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$-5,000.00 | \$0.00 | \$22.00 | \$-22.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 09/29/2017 | CHASALOW, FRED | ALLIANZ ALTERITY OPTIONS | 104,123.47 | 260.31 | 0.00 | 260.31 | 0.0 | 0.00 |
| 09/29/2017 | CHASALOW, SANDRA | ALLIANZ ALTERITY OPTIONS | 218,051.39 | 545.13 | 0.00 | 545.13 | 0.0 | 0.00 |
| 09/29/2017 | MCKEE, MARY | ALLIANZ ALTERITY OPTIONS | 259,482.59 | 648.71 | 0.00 | 648.71 | 0.0 | 0.00 |
| 09/29/2017 | CHASALOW, SANDRA | ALLIANZ HIGH FIVE ENHANCED | 99,531.67 | 124.41 | 0.00 | 124.41 | 0.0 | 0.00 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$681,189.12 | \$1,578.56 | \$0.00 | \$1,578.56 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 09/13/2017 | MISCHAK, RONALD | ASP ARROW DWA BALANCED A | 0.00 | 7.51 | 0.00 | 7.51 | 0.0 | 0.00 |
| 09/13/2017 | GASPAR, NICHOLAS | ASP ARROW DWA BALANCED A | 0.00 | 1.11 | 0.00 | 1.11 | 0.0 | 0.00 |
| 09/13/2017 | WEBER, PENNY | ASP ARROW MAANGED FUTURES STRATEGY | 0.00 | 4.45 | 0.00 | 4.45 | 0.0 | 0.00 |
| 09/15/2017 | CHASALOW, SANDRA | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 14.03 | 0.00 | 14.03 | 0.0 | 0.00 |
| 09/15/2017 | COHEN, JOYCE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 6.95 | 0.00 | 6.95 | 0.0 | 0.00 |
| 09/15/2017 | COHEN, JOEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 6.95 | 0.00 | 6.95 | 0.0 | 0.00 |
| 09/15/2017 | KIM, SCARLET | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 3.94 | 0.00 | 3.94 | 0.0 | 0.00 |
| 09/15/2017 | WEBER, PENNY | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 5.60 | 0.00 | 5.60 | 0.0 | 0.00 |
| 09/15/2017 | FROST, CARRIE-ANN | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 1.87 | 0.00 | 1.87 | 0.0 | 0.00 |
| 09/15/2017 | MCDONALD, MARY | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 2.82 | 0.00 | 2.82 | 0.0 | 0.00 |
| 09/20/2017 | MCDONALD, MARY | COHEN & STEERS INTERNATIONAL REALTY | 0.00 | 1.20 | 0.00 | 1.20 | 0.0 | 0.00 |
| 09/15/2017 | THEIN, CHRISTINE | JH GREATER CHINA OPP A | 0.00 | 2.99 | 0.00 | 2.99 | 0.0 | 0.00 |
| 09/15/2017 | COHEN, JOYCE | JH GREATER CHINA OPP C | 0.00 | 9.86 | 0.00 | 9.86 | 0.0 | 0.00 |
| 09/14/2017 | MCKEE, MARY L KLANCHNI | RYDEX GUGG U.S. LONG SHORT MOMENTUM | 0.00 | 2.04 | 0.00 | 2.04 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$71.32 | \$0.00 | \$71.32 | | \$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>BROKER TRANSACTIONS</u> | | | | | | | | |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$676,189.12 | \$1,649.88 | \$22.00 | \$1,627.88 | | \$0.00 |

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 | \$7,579.92 |
| Year-to-date Earnings | \$0.00 |

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 ^Date - Split Trade - full Investment Amount & Gross Commission displayed