



Concorde Investment Services, LLC

02/19/2018

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COMMISSION STATEMENT**February 15, 2018**

L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/FCCU
 11617 Coldwater Road
 Suite 103
 Fort Wayne, IN 46845

BROKER #: L131
 BRANCH: APPLE TREE FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^02/06/2018	JUNOD, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	-2,476.23	22.00	22.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$-2,476.23	\$22.00	\$22.00	\$0.00		\$0.00
		*** CLEARING TRANSACTIONS TOTAL ***	\$-2,476.23	\$22.00	\$22.00	\$0.00		\$0.00

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
^12/31/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	53,377.94	45.33	0.00	45.33	90.0	0.00
		* INTERVAL FUNDS SUBTOTAL *	\$53,377.94	\$45.33	\$0.00	\$45.33		\$0.00

<u>PRODUCT CATEGORY: 529 PLANS</u>								
^01/26/2018	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	100.00	4.75	0.00	4.75	90.0	0.00
^01/26/2018	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.39	0.00	0.39	90.0	0.00
^01/31/2018	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.70	0.00	0.70	90.0	0.00
^01/26/2018	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	1.83	0.00	1.83	90.0	0.00
^01/26/2018	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^01/26/2018	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^ / /	HABESHY, BARBARA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.30	0.00	0.30	90.0	0.00
^01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.50	0.00	0.50	90.0	0.00
^01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.50	0.00	0.50	90.0	0.00
^01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	1.19	0.00	1.19	90.0	0.00
^01/31/2018	PETERSON, BRYAN	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	1.19	0.00	1.19	90.0	0.00
		* 529 PLANS SUBTOTAL *	\$416.75	\$13.73	\$0.00	\$13.73		\$0.00

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
^01/31/2018	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	7.50	0.00	7.50	90.0	0.00
^01/31/2018	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	5.19	0.00	5.19	90.0	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 FUNDS</u>								
^01/31/2018	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	121.23	4.55	0.00	4.55	90.0	0.00
^01/31/2018	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	121.23	4.55	0.00	4.55	90.0	0.00
^01/31/2018	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	10.38	0.00	10.38	90.0	0.00
^01/31/2018	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	5.19	0.00	5.19	90.0	0.00
^01/31/2018	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^02/01/2018	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	0.00
^01/29/2018	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	0.00
^01/30/2018	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	17.50	0.00	17.50	90.0	0.00
^01/26/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.27	0.00	0.27	90.0	0.00
^01/31/2018	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.70	0.00	0.70	90.0	0.00
^01/31/2018	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	1.19	0.00	1.19	90.0	0.00
^01/31/2018	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.30	0.00	0.30	90.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$1,679.55	\$67.32	\$0.00	\$67.32		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

^01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.90	0.00	0.90	90.0	0.00
^01/18/2018	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.61	0.00	0.61	90.0	0.00
^01/18/2018	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.31	0.00	0.31	90.0	0.00
^01/18/2018	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.36	0.00	0.36	90.0	0.00
^01/18/2018	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	1.24	0.00	1.24	90.0	0.00
^01/18/2018	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.63	0.00	0.63	90.0	0.00
^01/18/2018	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.72	0.00	0.72	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.55	0.00	0.55	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.75	0.00	0.75	90.0	0.00
^01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.56	0.00	0.56	90.0	0.00
^01/17/2018	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	3.26	0.00	3.26	90.0	0.00
^01/17/2018	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	13.70	0.00	13.70	90.0	0.00
^01/12/2018	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.54	0.00	0.54	90.0	0.00
^01/23/2018	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	1.99	0.00	1.99	90.0	0.00
^01/18/2018	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.76	0.00	0.76	90.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
^01/18/2018	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	3.78	0.00	3.78	90.0	0.00
^01/31/2018	ROBERTSON, RACHEL	TEMPLETON GROWTH C	0.00	16.54	0.00	16.54	90.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$49.12	\$0.00	\$49.12		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$55,474.24	\$175.50	\$0.00	\$175.50		\$0.00

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

/ /	HABESHY, BARBARA	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.09	0.00	0.09	90.0	0.08
01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.15	0.00	0.15	90.0	0.14
01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.15	0.00	0.15	90.0	0.14
01/26/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	0.36	0.00	0.36	90.0	0.32
01/31/2018	PETERSON, BRYAN	INA BOSTON COMPANY DYNAMIC LARGE CA	25.00	0.36	0.00	0.36	90.0	0.32
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$150.00	\$1.11	\$0.00	\$1.11		\$1.00

BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209

01/31/2018	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	200.00	2.25	0.00	2.25	90.0	2.03
01/31/2018	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	138.46	1.56	0.00	1.56	90.0	1.40
01/31/2018	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	121.23	1.37	0.00	1.37	90.0	1.23
01/31/2018	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	121.23	1.37	0.00	1.37	90.0	1.23
01/31/2018	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	276.92	3.11	0.00	3.11	90.0	2.80
01/31/2018	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	138.46	1.56	0.00	1.56	90.0	1.40
01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.27	0.00	0.27	90.0	0.24
01/18/2018	CRAWFORD, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
01/18/2018	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.09	0.00	0.09	90.0	0.08
01/18/2018	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	90.0	0.10
01/18/2018	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.33
01/18/2018	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.12	0.00	0.12	90.0	0.11
01/31/2018	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	90.0	0.17
01/18/2018	CRAWFORD, JOHN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.22	0.00	0.22	90.0	0.20
02/06/2018	JUNOD, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	-2,476.23	6.60	6.60	0.00	90.0	0.00
01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.12	0.00	0.12	90.0	0.11
01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	90.0	0.15

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209								
02/01/2018	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	0.75	0.00	0.75	90.0	0.68
01/18/2018	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
01/29/2018	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.75	0.00	0.75	90.0	0.68
01/30/2018	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	5.25	0.00	5.25	90.0	4.73
01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.23	0.00	0.23	90.0	0.21
01/18/2018	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	90.0	0.15
01/26/2018	JOHNSON, ERIC	ASCENSUS INA 2022 ENROLLMENT PTF A	100.00	1.43	0.00	1.43	90.0	1.29
01/26/2018	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.12	0.00	0.12	90.0	0.11
01/26/2018	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.08	0.00	0.08	90.0	0.07
01/31/2018	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.21	0.00	0.21	90.0	0.19
01/31/2018	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.36	0.00	0.36	90.0	0.32
01/31/2018	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.21	0.00	0.21	90.0	0.19
01/26/2018	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.55	0.00	0.55	90.0	0.50
01/26/2018	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
01/26/2018	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
01/17/2018	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.98	0.00	0.98	90.0	0.88
01/17/2018	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	4.11	0.00	4.11	90.0	3.70
01/12/2018	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.16	0.00	0.16	90.0	0.14
01/23/2018	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.60	0.00	0.60	90.0	0.54
12/31/2017	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	53,377.94	13.60	0.00	13.60	90.0	12.24
01/31/2018	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.09	0.00	0.09	90.0	0.08
01/18/2018	CRAWFORD, JOHN	INFLATION LINKED BOND FUND A	0.00	0.23	0.00	0.23	90.0	0.21
01/18/2018	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.13	0.00	1.13	90.0	1.02
01/31/2018	ROBERTSON, RACHEL	TEMPLETON GROWTH C	0.00	4.96	0.00	4.96	90.0	4.46
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$52,848.01	\$58.18	\$6.60	\$51.58		\$46.41
*** SPLIT TRANSACTIONS TOTAL ***			\$52,998.01	\$59.29	\$6.60	\$52.69		\$47.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
02/15/2018		*PERSHING: BOOKS & RECORDS	0.00					0.00
02/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-0.90
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-0.90

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$47.41
Override Transactions	\$0.00
Adjustments	\$-0.90
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	\$46.51
Year-to-date Gross	\$214.39
Year-to-date Earnings	\$187.03

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