



Concorde Investment Services, LLC

07/27/2018

Page No. 1

COMMISSION STATEMENT**July 31, 2018**

RANDY STOLTZ
14617 N. 45th Place

BROKER #: S149
BRANCH: RANDY STOLTZ

Phoenix, AZ 85032-

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 07/26/2018 | BENDER, DANA | BLK LOW DURATION BOND A | -5,917.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/26/2018 | BENDER, DANA | HARDING LOEVNER INTERNATIONAL EQUIT | -6,500.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/20/2018 | MCGAHIE, ROBERT | OPPENHEIMER STEELPATH MLP ALPHA PLU | 975.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$-11,442.47 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 07/20/2018 | MCGAHIE, ROBERT | PIMCO CORPORATE & INCOME STRATEGY F | 694.20 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 07/26/2018 | BARRY, WENDY | PIMCO CORPORATE & INCOME STRATEGY F | 3,685.46 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | CROUCH, MARC | PIMCO CORPORATE & INCOME STRATEGY F | 2,902.46 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | FINANCIAL PARTNERS 401K, | PIMCO CORPORATE & INCOME STRATEGY F | 502.04 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | JONES, CECILIA | PIMCO CORPORATE & INCOME STRATEGY F | 2,400.72 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | CARVER, DONALD | PIMCO CORPORATE & INCOME STRATEGY F | 1,685.42 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | KASSMAN, STEVEN | PIMCO CORPORATE & INCOME STRATEGY F | 1,684.79 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | GESKE, GREGG | PIMCO CORPORATE & INCOME STRATEGY F | 2,794.96 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | MOORE, WILLIAM | PIMCO CORPORATE & INCOME STRATEGY F | 2,438.47 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | MOORE, SHARON | PIMCO CORPORATE & INCOME STRATEGY F | 699.07 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | CHILTON, MICHAEL | PIMCO CORPORATE & INCOME STRATEGY F | 1,236.94 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | GAUER, GREGORY | PIMCO CORPORATE & INCOME STRATEGY F | 1,452.32 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | GAUER, SUSAN | PIMCO CORPORATE & INCOME STRATEGY F | 1,487.74 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | HIGGINS, DINA | PIMCO CORPORATE & INCOME STRATEGY F | 985.78 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | BOOTHROYD, CHRISTOPHER | PIMCO CORPORATE & INCOME STRATEGY F | 1,201.08 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | MYLLO, CHRISTOPHER | PIMCO CORPORATE & INCOME STRATEGY F | 1,452.25 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | SCHOUTEN, DONALD | PIMCO CORPORATE & INCOME STRATEGY F | 2,146.80 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | BENDER, DANA | PIMCO CORPORATE & INCOME STRATEGY F | 3,403.70 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | MCGAHIE, ROBERT | PIMCO CORPORATE & INCOME STRATEGY F | 537.80 | 0.00 | 22.50 | -22.50 | 90.0 | -20.25 |
| 07/26/2018 | CHILTON, CYNTHIA | PIMCO CORPORATE & INCOME STRATEGY F | 699.01 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | MATSON, FRED | PIMCO CORPORATE & INCOME STRATEGY F | 1,344.35 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |

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>CLEARING TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 07/26/2018 | KIDDER, TINA | PIMCO CORPORATE & INCOME STRATEGY F | 448.08 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| 07/26/2018 | GREGORY, KENNETH | PIMCO CORPORATE & INCOME STRATEGY F | 1,988.72 | 22.00 | 22.50 | -0.50 | 90.0 | -0.45 |
| * STOCKS SUBTOTAL * | | | \$37,872.16 | \$462.00 | \$517.50 | \$-55.50 | | \$-49.95 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | \$26,429.69 | \$462.00 | \$517.50 | \$-55.50 | | \$-49.95 |
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u> | | | | | | | | |
| 07/18/2018 | KASSMAN FAMILY TRUST | HPI FUND VI LLC | 150,000.00 | 9,000.00 | 0.00 | 9,000.00 | 90.0 | 8,100.00 |
| 07/06/2018 | HIGGINS, DINA | TRILINC GLOBAL IMPACT FUND C | 0.00 | 20.40 | 0.00 | 20.40 | 90.0 | 18.36 |
| 07/06/2018 | BOWLIN, STACY | TRILINC GLOBAL IMPACT FUND C | 0.00 | 20.39 | 0.00 | 20.39 | 90.0 | 18.35 |
| 07/06/2018 | MILLER, CRAIG & PAULA | TRILINC GLOBAL IMPACT FUND C | 0.00 | 11.88 | 0.00 | 11.88 | 90.0 | 10.69 |
| 07/06/2018 | EVERROAD, ANDREW | TRILINC GLOBAL IMPACT FUND C | 0.00 | 28.91 | 0.00 | 28.91 | 90.0 | 26.02 |
| 07/06/2018 | KASSMAN, STEVEN | TRILINC GLOBAL IMPACT FUND C | 0.00 | 16.46 | 0.00 | 16.46 | 90.0 | 14.81 |
| 07/06/2018 | KIDDER, TINA | TRILINC GLOBAL IMPACT FUND C | 0.00 | 44.18 | 0.00 | 44.18 | 90.0 | 39.76 |
| 07/06/2018 | GIBBONS, CHRISTIA | TRILINC GLOBAL IMPACT FUND C | 0.00 | 57.82 | 0.00 | 57.82 | 90.0 | 52.04 |
| * PRIVATE PLACEMENT SUBTOTAL * | | | \$150,000.00 | \$9,200.04 | \$0.00 | \$9,200.04 | | \$8,280.03 |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 07/09/2018 | CALLANAN, ISABELLA | AMERICAN FUNDS COLLEGE 2036 FUND-52 | 200.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 07/09/2018 | CALLANAN, ISABELLA | AMERICAN FUNDS COLLEGE 2036 FUND-52 | 200.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| * 529 PLANS SUBTOTAL * | | | \$400.00 | \$4.00 | \$0.00 | \$4.00 | | \$3.60 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 07/16/2018 | PERSON, DEETTE | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 07/16/2018 | PERSON, DEETTE | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 07/16/2018 | PERSON, DEETTE | AM FUNDS GROWTH FUND OF AMERICA A | 75.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 07/16/2018 | PERSON, DEETTE | AM FUNDS NEW ECONOMY A | 75.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| 07/16/2018 | PERSON DEETTE D PERSON, LARRY | FIDELITY ADV NEW INSIGHTS C | 150.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 07/16/2018 | PERSON DEETTE D PERSON, LARRY | FIDELITY STRATEGIC DIV & INCOME C | 125.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$525.00 | \$15.00 | \$0.00 | \$15.00 | | \$13.52 |

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> | | | | | | | | |
| 07/12/2018 | MOORE POOL SERVICE | AMERICAN FUNDS 8504AFRKD | 0.00 | 458.54 | 0.00 | 458.54 | 90.0 | 412.69 |
| / / | SEPICH, WENDY | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.94 |
| / / | SEPICH, WENDY | HARTFORD GROWTH OPP A | 0.00 | 3.26 | 0.00 | 3.26 | 90.0 | 2.93 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$462.84 | \$0.00 | \$462.84 | | \$416.56 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 07/02/2018 | SCHROEDER, ROBERT | BRIGHTHOUSE | 0.00 | 402.88 | 0.00 | 402.88 | 90.0 | 362.59 |
| 07/02/2018 | BARRY, PHILIP | BRIGHTHOUSE | 0.00 | 580.79 | 0.00 | 580.79 | 90.0 | 522.71 |
| 07/02/2018 | CHOCA, PEDRO | BRIGHTHOUSE | 0.00 | 728.67 | 0.00 | 728.67 | 90.0 | 655.80 |
| 07/02/2018 | WRIGHT, E.J. | BRIGHTHOUSE | 0.00 | 152.03 | 0.00 | 152.03 | 90.0 | 136.83 |
| 07/02/2018 | YOUNG, KIMBERLY | BRIGHTHOUSE | 0.00 | 36.64 | 0.00 | 36.64 | 90.0 | 32.98 |
| 07/02/2018 | TARZWELL, SANDY | BRIGHTHOUSE | 0.00 | 69.57 | 0.00 | 69.57 | 90.0 | 62.61 |
| 07/02/2018 | POOLE, JOHN | BRIGHTHOUSE | 0.00 | 1,086.90 | 0.00 | 1,086.90 | 90.0 | 978.21 |
| 07/02/2018 | CHILTON, CYNTHIA | BRIGHTHOUSE | 0.00 | 30.31 | 0.00 | 30.31 | 90.0 | 27.28 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$3,087.79 | \$0.00 | \$3,087.79 | | \$2,779.01 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$150,925.00 | \$12,769.67 | \$0.00 | \$12,769.67 | | \$11,492.72 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$11,442.77 |
| 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 |

| | |
|------------------------------|---------------------|
| Check Amount | \$11,442.77 |
| Year-to-date Gross | \$133,156.01 |
| Year-to-date Earnings | \$119,014.91 |

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