



Concorde Investment Services, LLC

09/28/2017
Page No. 1

COMMISSION STATEMENT **September 30, 2017**

DAVID ZUPEK
6226 Bankers Rd.
Ste. 4
Racine, WI 53403

BROKER #: Z116
BRANCH: TADA WEALTH ADVISORS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
08/28/2017	EYNARD, STEPHEN	ARCTRUST FOLLOW-ON 4	50,000.00	3,000.00	0.00	3,000.00	90.0	2,700.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$50,000.00	\$3,000.00	\$0.00	\$3,000.00		\$2,700.00
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
09/08/2017	RUGH, BARBARA	FS INVESTMENT CORP IV CLASS T	0.00	30.01	0.00	30.01	90.0	27.01
		* NON-TRADED BDC SUBTOTAL *	\$0.00	\$30.01	\$0.00	\$30.01		\$27.01
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/18/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	125.00	2.50	0.00	2.50	90.0	2.25
09/01/2017	GRIFFITH, SARA	AM FUNDS AMCAP A	0.00	25.96	0.00	25.96	90.0	23.36
09/01/2017	RUSCH, JACOB	AM FUNDS AMCAP A	0.00	11.16	0.00	11.16	90.0	10.04
09/01/2017	DENNE, THOMAS	AM FUNDS AMERICAN BALANCED 529A	0.00	1.49	0.00	1.49	90.0	1.34
09/01/2017	BERNHARDT, CONSTANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.87	0.00	1.87	90.0	1.68
09/01/2017	ROBERTSON, MARTIN	AM FUNDS AMERICAN BALANCED A	0.00	20.09	0.00	20.09	90.0	18.08
09/18/2017	KISSH, BARBARA	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.06	0.00	1.06	90.0	0.95
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS AMERICAN MUTUAL 529A	0.00	7.20	0.00	7.20	90.0	6.48
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.78	0.00	6.78	90.0	6.10
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.57	0.00	6.57	90.0	5.91
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.70	0.00	6.70	90.0	6.03
09/01/2017	RUSCH, JACOB	AM FUNDS BOND FUND OF AMERICA 529A	0.00	26.25	0.00	26.25	90.0	23.63
09/01/2017	SHUSTEK, PEGGY	AM FUNDS BOND FUND OF AMERICA 529A	0.00	16.70	0.00	16.70	90.0	15.03
09/01/2017	HARTGERINK, EDWARD	AM FUNDS BOND FUND OF AMERICA 529C	0.00	14.33	0.00	14.33	90.0	12.90
09/01/2017	GREIG, AMY	AM FUNDS BOND FUND OF AMERICA 529C	0.00	20.84	0.00	20.84	90.0	18.76
09/01/2017	GREIG, AMY	AM FUNDS BOND FUND OF AMERICA 529C	0.00	18.16	0.00	18.16	90.0	16.34
09/01/2017	KRIEDERMANN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.81	0.00	6.81	90.0	6.13
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.09	0.00	1.09	90.0	0.98

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>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	7.39	0.00	7.39	90.0	6.65
09/01/2017	HORNACEK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	11.10	0.00	11.10	90.0	9.99
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	6.96	0.00	6.96	90.0	6.26
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	6.74	0.00	6.74	90.0	6.07
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	6.87	0.00	6.87	90.0	6.18
09/01/2017	SHUSTEK, PEGGY	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	4.29	0.00	4.29	90.0	3.86
09/01/2017	HARTGERINK, EDWARD	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	6.86	0.00	6.86	90.0	6.17
09/01/2017	GREIG, AMY	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	6.22	0.00	6.22	90.0	5.60
09/01/2017	POVKOVICH, DOROTHY	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	19.63	0.00	19.63	90.0	17.67
09/18/2017	VASSH, LYNN	AM FUNDS FUNDAMENTAL INVESTORS C	17.00	0.17	0.00	0.17	90.0	0.15
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.10	0.00	1.10	90.0	0.99
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.48	0.00	7.48	90.0	6.73
09/01/2017	HORNACEK, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.23	0.00	11.23	90.0	10.11
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.04	0.00	7.04	90.0	6.34
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.82	0.00	6.82	90.0	6.14
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.95	0.00	6.95	90.0	6.26
09/01/2017	DENNE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.53	0.00	2.53	90.0	2.28
09/01/2017	SHUSTEK, PEGGY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.34	0.00	4.34	90.0	3.91
09/01/2017	HARTGERINK, EDWARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.94	0.00	6.94	90.0	6.25
09/01/2017	RUGH, BARBARA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	10.71	0.00	10.71	90.0	9.64
09/01/2017	POVKOVICH, DOROTHY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	19.86	0.00	19.86	90.0	17.87
09/01/2017	KRIEDERMANN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.16	0.00	9.16	90.0	8.24
09/01/2017	GRIFFITH, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	26.24	0.00	26.24	90.0	23.62
09/01/2017	BERNHARDT, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	3.24
09/01/2017	RUSCH, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.44	0.00	11.44	90.0	10.30
09/18/2017	VASSH, LYNN	AM FUNDS GROWTH FUND OF AMERICA C	16.50	0.17	0.00	0.17	90.0	0.15
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS GROWTH PORT 529A	0.00	1.11	0.00	1.11	90.0	1.00
09/01/2017	SHUSTEK, PEGGY	AM FUNDS GROWTH PORT 529A	0.00	4.36	0.00	4.36	90.0	3.92
09/01/2017	DENNE, THOMAS	AM FUNDS ICA 529A	0.00	1.28	0.00	1.28	90.0	1.15
09/01/2017	BERNHARDT, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67
09/01/2017	RUSCH, JACOB	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.03	0.00	11.03	90.0	9.93
09/01/2017	HORNACEK, JOSEPH	AM FUNDS NEW ECONOMY 529A	0.00	11.60	0.00	11.60	90.0	10.44
09/01/2017	GRIFFITH, SARA	AM FUNDS NEW PERSPECTIVE A	0.00	22.89	0.00	22.89	90.0	20.60

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>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	GRIFFITH, SARA	AM FUNDS SMALLCAP WORLD A	0.00	22.47	0.00	22.47	90.0	20.22
09/01/2017	BERNHARDT, ROBERT	AM FUNDS SMALLCAP WORLD A	0.00	2.51	0.00	2.51	90.0	2.26
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.52	0.00	2.52	90.0	2.27
09/01/2017	HORNACEK, JOSEPH	AM FUNDS SMALLCAP WORLD-529A	0.00	3.78	0.00	3.78	90.0	3.40
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.37	0.00	2.37	90.0	2.13
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.30	0.00	2.30	90.0	2.07
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.34	0.00	2.34	90.0	2.11
09/01/2017	HARTGERINK, EDWARD	AM FUNDS SMALLCAP WORLD-529C	0.00	1.56	0.00	1.56	90.0	1.40
09/01/2017	BERNHARDT, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.84	0.00	4.84	90.0	4.36
09/01/2017	RUSCH, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.10	0.00	11.10	90.0	9.99
09/01/2017	NICOLAZZI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.96
09/01/2017	SHUSTEK, PEGGY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.21	0.00	4.21	90.0	3.79
09/01/2017	RUGH, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.39	0.00	10.39	90.0	9.35
09/01/2017	GREIG, AMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.10	0.00	6.10	90.0	5.49
09/01/2017	POVKOVICH, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.26	0.00	19.26	90.0	17.33
09/18/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	16.50	0.17	0.00	0.17	90.0	0.15
09/01/2017	GREIG, AMY	AMERICAN FDS GROWTH PORTFOLIO 529C	0.00	4.01	0.00	4.01	90.0	3.61
09/01/2017	POVKOVICH, DOROTHY	AMERICAN FDS GROWTH PORTFOLIO 529C	0.00	19.95	0.00	19.95	90.0	17.96
* MUTUAL FUNDS SUBTOTAL *			\$225.00	\$584.97	\$0.00	\$584.97		\$526.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/10/2017	BIRKHOLZ, WILLIAM	AM GEN POLARIS CHOICE IV	70,590.40	176.48	0.00	176.48	90.0	158.83
09/15/2017	MARTIN, CHARMAINE	JNL PERSPECTIVE II 05/05	50.00	3.75	0.00	3.75	90.0	3.38
09/05/2017	BABICKY, THOMAS	SECURITY LIFE OF DENVER VUL-DB	888.00	22.20	0.00	22.20	90.0	19.98
09/15/2017	HUDEK, JOANNE	SECURITY LIFE OF DENVER VUL-DB	300.00	7.50	0.00	7.50	90.0	6.75
* VARIABLE ANNUITIES SUBTOTAL *			\$71,828.40	\$209.93	\$0.00	\$209.93		\$188.94
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/07/2017	JARVIS, RICHARD	ING LANDMARK	0.00	632.36	0.00	632.36	90.0	569.12
09/10/2017	KRESCANKO, MARIE	ING LANDMARK	0.00	227.01	0.00	227.01	90.0	204.31
09/10/2017	EDQUIST, BETTY	ING LANDMARK	0.00	141.82	0.00	141.82	90.0	127.64
09/10/2017	SUNIGA, JESUS	ING LANDMARK	0.00	594.53	0.00	594.53	90.0	535.08
09/08/2017	FLETCHER, DONALD	ING PREMIUM PLUS	0.00	58.51	0.00	58.51	90.0	52.66
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,654.23	\$0.00	\$1,654.23		\$1,488.81

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>VERRIDE TRANSACTIONS</u>								
*** BROKER TRANSACTIONS TOTAL ***			\$122,053.40	\$5,479.14	\$0.00	\$5,479.14		\$4,931.23
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARK HUBER #89</u>								
09/13/2017	COTE JT TEN, CAROL	BR TOTAL INC & REAL ESTATE FUND A	0.00	14.13	0.00	14.13	0.0	12.72
* MARK HUBER SUBTOTAL *			\$0.00	\$14.13	\$0.00	\$14.13		\$12.72
<u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u>								
09/13/2017	NARDINI, RONALD	BR TOTAL INC & REAL ESTATE FUND A	0.00	20.47	0.00	20.47	0.0	18.42
09/13/2017	NARDINI, BARBARA	BR TOTAL INC & REAL ESTATE FUND A	0.00	19.17	0.00	19.17	0.0	17.25
09/13/2017	NARDINI TRUST, BARBARA	BR TOTAL INC & REAL ESTATE FUND A	0.00	5.34	0.00	5.34	0.0	4.81
09/13/2017	NARDINI TRUST, RONALD	BR TOTAL INC & REAL ESTATE FUND A	0.00	5.34	0.00	5.34	0.0	4.81
09/13/2017	CIPPARRONE, NANCY	BR TOTAL INC & REAL ESTATE FUND A	0.00	4.38	0.00	4.38	0.0	3.94
* R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL *			\$0.00	\$54.70	\$0.00	\$54.70		\$49.23
<u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u>								
09/01/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	0.00	0.58	0.00	0.58	0.0	0.52
09/01/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	0.00	14.45	0.00	14.45	0.0	13.01
09/01/2017	FROSCH, TRACEY	AM FUNDS AMCAP 529A	0.00	4.28	0.00	4.28	0.0	3.85
09/01/2017	FROSCH, TRACEY	AM FUNDS AMCAP 529A	0.00	2.83	0.00	2.83	0.0	2.55
09/01/2017	KISSH, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	9.18	0.00	9.18	0.0	8.26
09/01/2017	VASSH, LYNN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.20	0.00	0.20	0.0	0.18
09/01/2017	VASSH, LYNN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.20	0.00	0.20	0.0	0.18
09/01/2017	FROSCH, TRACEY	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	5.42	0.00	5.42	0.0	4.88
09/01/2017	FROSCH, TRACEY	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.58	0.00	3.58	0.0	3.22
09/01/2017	VASSH, LYNN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	1.65	0.00	1.65	0.0	1.49
09/01/2017	THOMPSON, TERRY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	0.55	0.00	0.55	0.0	0.50
09/01/2017	FROSCH, TRACEY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.49	0.00	5.49	0.0	4.94
09/01/2017	FROSCH, TRACEY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.90	0.00	2.90	0.0	2.61
09/01/2017	VASSH, LYNN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.59	0.00	1.59	0.0	1.43
09/01/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.55	0.00	0.55	0.0	0.50
09/01/2017	FROSCH, TRACEY	AM FUNDS SMALLCAP WORLD-529A	0.00	2.22	0.00	2.22	0.0	2.00
09/01/2017	FROSCH, TRACEY	AM FUNDS SMALLCAP WORLD-529A	0.00	1.47	0.00	1.47	0.0	1.32
09/01/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.27	0.00	0.27	0.0	0.24
09/01/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	0.0	1.40

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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u>								
09/01/2017	THOMPSON, TERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.52	0.00	0.52	0.0	0.47
09/01/2017	FROSCH, TRACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.26	0.00	4.26	0.0	3.83
09/01/2017	FROSCH, TRACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.52	0.00	3.52	0.0	3.17
* DAVE/MIKE ZUPEK/VENTURINI SUBTOTAL *			\$0.00	\$67.27	\$0.00	\$67.27		\$60.55
<u>BROKER: DAN/DAVE JENSEN/ZUPEK #136</u>								
09/01/2017	DJURICH, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.92	0.00	5.92	0.0	5.33
09/01/2017	DJURICH, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.94	0.00	7.94	0.0	7.15
09/01/2017	BEAUGRAND, TAMI	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.78	0.00	9.78	0.0	8.80
* DAN/DAVE JENSEN/ZUPEK SUBTOTAL *			\$0.00	\$23.64	\$0.00	\$23.64		\$21.28
<u>BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269</u>								
09/01/2017	WEBER, SANDRA	AM FUNDS 2020 TARGET DATE-A	0.00	0.24	0.00	0.24	0.0	0.22
09/18/2017	WEBER, SANDRA	AM FUNDS 2020 TARGET DATE-A	25.00	0.50	0.00	0.50	0.0	0.45
09/01/2017	HEFT, SAMANTHA	AM FUNDS 2035 TARGET DATE-A	0.00	0.48	0.00	0.48	0.0	0.43
09/18/2017	HEFT, SAMANTHA	AM FUNDS 2035 TARGET DATE-A	50.00	1.00	0.00	1.00	0.0	0.90
09/01/2017	MUNOZ, EMMANUEL	AMERICAN FUNDS 2060 TARGET DATE A	0.00	0.27	0.00	0.27	0.0	0.24
09/08/2017	SKOWRON, ALEKSANDER	FS INVESTMENT CORP IV CLASS T	0.00	17.83	0.00	17.83	0.0	16.05
09/08/2017	GIBSON, PAMELA	FS INVESTMENT CORP IV CLASS T	0.00	33.42	0.00	33.42	0.0	30.08
09/14/2017	O'HARA, THOMAS	TRILINC GLOBAL IMPACT FUND C	0.00	26.03	0.00	26.03	0.0	23.43
* R133-RICH/MARK/DAVE RODRIGUEZ/HUBER SUBTOTAL *			\$75.00	\$79.77	\$0.00	\$79.77		\$71.80
<u>BROKER: MARK HUBER #395</u>								
09/18/2017	GAFKA, DEBORAH	JNL PERSPECTIVE II 04/14	151,725.41	3,034.51	0.00	3,034.51	0.0	2,731.06
* MARK HUBER SUBTOTAL *			\$151,725.41	\$3,034.51	\$0.00	\$3,034.51		\$2,731.06
<u>BROKER: R130-RICHARD RODRIGUEZ, JR. #397</u>								
09/07/2017	KANE, SUSAN	CARTER VALIDUS MC REIT II CLASS T	50,000.00	1,500.00	0.00	1,500.00	0.0	1,350.00
08/25/2017	MORISON, JANICE	JNL PERSPECTIVE II 04/14	189,265.38	3,785.31	0.00	3,785.31	0.0	3,406.78
08/28/2017	KANE, SUSAN	JNL PERSPECTIVE II 04/14	275,000.00	5,500.00	0.00	5,500.00	0.0	4,950.00
09/07/2017	KANE, SUSAN	MOODY NATIONAL REIT II	75,000.00	5,250.00	0.00	5,250.00	0.0	4,725.00
* R130-RICHARD RODRIGUEZ, JR. SUBTOTAL *			\$589,265.38	\$16,035.31	\$0.00	\$16,035.31		\$14,431.78
*** OVERRIDE TRANSACTIONS TOTAL ***			\$741,065.79	\$19,309.33	\$0.00	\$19,309.33		\$17,378.42

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	\$4,931.23
Split Transactions	\$0.00
Override Transactions	\$17,378.42
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	\$22,309.65
Year-to-date Gross	\$167,331.46
Year-to-date Earnings	\$266,658.40