



Concorde Investment Services, LLC

12/28/2017

Page No. 1

COMMISSION STATEMENT**December 31, 2017**

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 12/19/2017 | CORLEY, WILBUR | BR TOTAL INC & REAL ESTATE FUND A | 0.00 | 4.17 | 0.00 | 4.17 | 0.0 | 0.00 |
| | | * INTERVAL FUNDS SUBTOTAL * | \$0.00 | \$4.17 | \$0.00 | \$4.17 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 12/01/2017 | JOHNSON, FRANKLIN | AM FUNDS AMCAP A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | BONGIORNO, VALERIE | AM FUNDS AMCAP A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | JOHNSON, FRANKLIN | AM FUNDS AMCAP A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | JOHNSON, FRANKLIN | AM FUNDS AMERICAN MUTUAL A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | JOHNSON, FRANKLIN | AM FUNDS AMERICAN MUTUAL A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | BONGIORNO, VALERIE | AM FUNDS CAPITAL INCOME BUILDER A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | BONGIORNO, VALERIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | JOHNSON, FRANKLIN | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | JOHNSON, FRANKLIN | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | JOHNSON, FRANKLIN | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | JOHNSON, FRANKLIN | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | JOHNSON, FRANKLIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/01/2017 | BONGIORNO, VALERIE | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | JOHNSON, FRANKLIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 12/15/2017 | UNTIL AGE 21, TX/UTMA | AM FUNDS GROWTH PORT A | 50.00 | 1.88 | 0.00 | 1.88 | 48.0 | 0.90 |
| 12/05/2017 | SPURGIN, LISBETH | FT FOUNDING FDS ALLOC C | 300.00 | 3.00 | 0.00 | 3.00 | 48.0 | 1.44 |
| | | * MUTUAL FUNDS SUBTOTAL * | \$1,050.00 | \$39.88 | \$0.00 | \$39.88 | | \$19.14 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | BONGIORNO, JANET | RYDEX BIOTECHNOLOGY A | 0.00 | 0.04 | 0.00 | 0.04 | 48.0 | 0.02 |
| / / | BONGIORNO, JANET | RYDEX GUGG REAL ESTATE A | 0.00 | 0.09 | 0.00 | 0.09 | 48.0 | 0.04 |
| / / | BONGIORNO, JANET | RYDEX GUGGENHEIM UTILITIES A | 0.00 | 0.08 | 0.00 | 0.08 | 48.0 | 0.04 |
| / / | BONGIORNO, JANET | RYDEX HEALTH CARE-A | 0.00 | 0.04 | 0.00 | 0.04 | 48.0 | 0.02 |

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> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| / / | SCHONFELD, NANCY | VAN ECK INTERNATIONAL INVESTORS GOL | 0.00 | 7.25 | 0.00 | 7.25 | 48.0 | 3.48 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$7.50 | \$0.00 | \$7.50 | | \$3.60 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$1,050.00 | \$51.55 | \$0.00 | \$51.55 | | \$22.74 |

ADJUSTMENTS

| | | | | | | | | |
|----------------------------------|--|----------------------------------|---------------|---------------|---------------|---------------|--|----------------|
| 12/31/2017 | | *MISC: OVERPMT: PD 11/30 & 12/15 | 0.00 | | | | | -8.46 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-8.46 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|---------|
| Broker Transactions | \$22.74 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-8.46 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

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THERE WILL BE NO CHECK THIS PERIOD

| | |
|------------------------------|--------------------|
| Balance Forward | \$14.28 |
| Year-to-date Gross | \$63,394.43 |
| Year-to-date Earnings | \$30,372.41 |

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