



Concorde Investment Services, LLC
COMMISSION STATEMENT
November 15, 2017

11/13/2017
Page No. 1

JOEL WOODS
1412 Blue Quail Run

BROKER #: W143
BRANCH: WOODS FINANCIAL

Crowley, TX 76036-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
10/12/2017	CARROLL, BETTY	COTTONWOOD RESIDENTIAL 2016 PREFR'D	50,000.00	3,500.00	0.00	3,500.00	92.0	3,220.00
10/13/2017	HIPKINS, MICHAEL	COTTONWOOD RESIDENTIAL 2016 PREFR'D	50,000.00	3,500.00	0.00	3,500.00	92.0	3,220.00
10/25/2017	LEWIS-DOYEL, WANDA	COTTONWOOD RESIDENTIAL 2016 PREFR'D	50,000.00	3,500.00	0.00	3,500.00	92.0	3,220.00
* PRIVATE PLACEMENT SUBTOTAL *			\$150,000.00	\$10,500.00	\$0.00	\$10,500.00		\$9,660.00
<u>PRODUCT CATEGORY: REIT</u>								
10/13/2017	PHIPPS, CHRISTEEN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.25	0.00	13.25	92.0	12.19
10/13/2017	PHIPPS, LESLIE	CARTER VALIDUS MC REIT II CLASS T	0.00	28.16	0.00	28.16	92.0	25.91
10/13/2017	SHERRIEB, HAROLD	CARTER VALIDUS MC REIT II CLASS T	0.00	62.13	0.00	62.13	92.0	57.16
10/13/2017	MCELVAIN, TED	CARTER VALIDUS MC REIT II CLASS T	0.00	9.45	0.00	9.45	92.0	8.69
10/13/2017	HINCKLEY, CYNTHIA	CARTER VALIDUS MC REIT II CLASS T	0.00	2.47	0.00	2.47	92.0	2.27
10/13/2017	HINCKLEY, BRYAN	CARTER VALIDUS MC REIT II CLASS T	0.00	12.74	0.00	12.74	92.0	11.72
10/31/2017	SIMS, LINDA	COTTONWOOD MULTIFAMILY REIT II	36,000.00	2,160.00	0.00	2,160.00	92.0	1,987.20
* REIT SUBTOTAL *			\$36,000.00	\$2,288.20	\$0.00	\$2,288.20		\$2,105.14
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
10/13/2017	KLAHM, BEN	SIERRA INCOME CORPORATION A	0.00	3.70	0.00	3.70	92.0	3.40
* NON-TRADED BDC SUBTOTAL *			\$0.00	\$3.70	\$0.00	\$3.70		\$3.40
<u>PRODUCT CATEGORY: 529 PLANS</u>								
10/31/2017	GONZALEZ, JENNIFER	FRANKLIN MUTL SHRS 529 PORT CL A	0.00	2.42	0.00	2.42	90.0	2.18
* 529 PLANS SUBTOTAL *			\$0.00	\$2.42	\$0.00	\$2.42		\$2.18
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/02/2017	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
10/25/2017	GRAVES, BENJAMIN	AMERICAN FUNDS COLLEGE 2033 FUND-52	40.00	1.40	0.00	1.40	90.0	1.26
11/01/2017	ST JOHN, FINN	AMERICAN FUNDS COLLEGE 2033 FUND-52	100.00	3.50	0.00	3.50	90.0	3.15
10/11/2017	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.50	0.00	8.50	90.0	7.65

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
/ /	WESTMORELAND, SUSAN	FIDELITY ADV SHORT TERM BOND CL A	0.00	0.81	0.00	0.81	90.0	0.73
/ /	AMOS, ALEXANDER	FIDELITY ADVISORS FD 529 PORT 2016	0.00	16.53	0.00	16.53	90.0	14.88
/ /	AMOS, ALEXANDER	FIDELITY ADVISORS FD 529 PORT 2016	0.00	17.73	0.00	17.73	90.0	15.96
10/10/2017	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.15	0.00	7.15	90.0	6.44
10/10/2017	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	6.52	0.00	6.52	90.0	5.87
10/10/2017	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	12.21	0.00	12.21	90.0	10.99
10/31/2017	GONZALEZ, JENNIFER	FRANKLIN INCOME 529 PORTFOLIO - CLA	0.00	2.30	0.00	2.30	90.0	2.07
10/31/2017	SHERRIEB, HAROLD	FRANKLIN SMALL-MIDCAP GROWTH A	0.00	18.89	0.00	18.89	90.0	17.00
10/31/2017	BRAKE, WALTER	FT FOUNDING FUNDS ALLOC A	0.00	0.71	0.00	0.71	90.0	0.64
10/31/2017	SHAW, DEBRA	FT FOUNDING FUNDS ALLOC A	0.00	1.67	0.00	1.67	90.0	1.50
10/10/2017	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	5.14	0.00	5.14	90.0	4.63
10/10/2017	CONDRA Y, GADA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	37.07	0.00	37.07	90.0	33.36
10/10/2017	THREADGILL, MICHELLE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	254.76	0.00	254.76	90.0	229.28
10/10/2017	MELTON, PAMELA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	81.94	0.00	81.94	90.0	73.75
10/10/2017	THREADGILL, HEATHER	INVESCO BALANCED-RISK ALLOCATION-C	0.00	12.39	0.00	12.39	90.0	11.15
10/10/2017	THREADGILL, VICKY	INVESCO BALANCED-RISK ALLOCATION-C	0.00	126.25	0.00	126.25	90.0	113.63
10/23/2017	KACHMAN UTMA/TX, VICTORIA	INVESCO BALANCED-RISK ALLOCATION-C	66.25	0.66	0.00	0.66	90.0	0.59
10/25/2017	HAMPTON, JARROTT	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
10/27/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	125.00	1.25	0.00	1.25	90.0	1.13
10/27/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
10/27/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
10/27/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
10/30/2017	HEZEL, KATHLEEN	INVESCO BALANCED-RISK ALLOCATION-C	25.97	0.26	0.00	0.26	90.0	0.23
11/03/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	125.00	1.25	0.00	1.25	90.0	1.13
11/03/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
11/03/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
11/03/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	RECTOR, ABIGAIL	JH 529 PORT 2017-2020 A	0.00	1.46	0.00	1.46	90.0	1.31
/ /	RECTOR, MADELINE	JH 529 PORT 2017-2020 A	0.00	1.46	0.00	1.46	90.0	1.31
10/10/2017	CROSS, BETTY	MFS UTILITIES A	0.00	3.78	0.00	3.78	90.0	3.40
10/10/2017	CONDRA Y, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	4.18	0.00	4.18	90.0	3.76
10/10/2017	CONDRA Y, GADA	PIMCO INCOME FUND C	0.00	27.21	0.00	27.21	90.0	24.49
10/31/2017	SHERRIEB, HAROLD	TEMPLETON FOREIGN FUND A	0.00	31.58	0.00	31.58	90.0	28.42

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/31/2017	GONZALEZ, JENNIFER	TEMPLETON GROWTH 529 A	0.00	2.27	0.00	2.27	90.0	2.04
10/10/2017	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	5.46	0.00	5.46	90.0	4.91
11/02/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.72	0.00	4.72	90.0	4.25
11/02/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	17.50	0.00	17.50	90.0	15.75
11/02/2017	U/A DTD 07-19-2007	TRANSAMERICA MLP & ENERGY INC - C	0.00	13.39	0.00	13.39	90.0	12.05
* MUTUAL FUNDS SUBTOTAL *			\$1,007.22	\$742.15	\$0.00	\$742.15		\$667.95
<u>PRODUCT CATEGORY: STOCKS</u>								
10/18/2017	HENSLEE, CHARLES	PIEDMONT OFFICE RLTY TR INC COM CL	10,374.83	100.00	22.00	78.00	90.0	70.20
10/11/2017	EUBANKS, MILDRED	PREFERRED APT CMNTYS INC COM	5,054.40	60.00	22.00	38.00	90.0	34.20
10/16/2017	PROPST FAMILY TRUST	PREFERRED APT CMNTYS INC COM	8,050.32	80.00	22.00	58.00	90.0	52.20
10/23/2017	RECTOR, RICHARD	PREFERRED APT CMNTYS INC COM	40,643.40	300.00	22.00	278.00	90.0	250.20
10/04/2017	TMICO TRUST CO	TIER REIT INC COM	3,867.69	55.00	22.00	33.00	90.0	29.70
* STOCKS SUBTOTAL *			\$67,990.64	\$595.00	\$110.00	\$485.00		\$436.50
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/31/2017	NORRIS, JERRY	JNL PERSPECTIVE	11,151.07	2.32	0.00	2.32	90.0	2.09
10/31/2017	HENSLEE, CHARLES	JNL PERSPECTIVE	9,735.61	2.03	0.00	2.03	90.0	1.83
10/31/2017	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	100,684.84	41.95	0.00	41.95	90.0	37.76
10/31/2017	CADY, KENDA	JNL PERSPECTIVE L	28,595.41	30.98	0.00	30.98	90.0	27.88
10/31/2017	HEIL, ROBERT	JNL PERSPECTIVE L	59,181.93	64.11	0.00	64.11	90.0	57.70
10/31/2017	PARKIN, DAVID	JNL PERSPECTIVE L	62,929.76	68.17	0.00	68.17	90.0	61.35
10/31/2017	TOMLINSON, HAROLD	JNL PERSPECTIVE L	113,262.33	122.70	0.00	122.70	90.0	110.43
10/31/2017	MARKS, FRANCES	JNL PERSPECTIVE L	44,385.74	48.08	0.00	48.08	90.0	43.27
10/31/2017	MARKS, RICHARD	JNL PERSPECTIVE L	44,498.20	48.21	0.00	48.21	90.0	43.39
10/31/2017	SENESE, CATHERINE	JNL PERSPECTIVE L	6,911.29	7.49	0.00	7.49	90.0	6.74
10/31/2017	HARVEY, HELEN	JNL PERSPECTIVE L	84,857.81	91.93	0.00	91.93	90.0	82.74
10/31/2017	SENESE, CARMEN	JNL PERSPECTIVE L	22,472.40	24.35	0.00	24.35	90.0	21.92
10/31/2017	HARVEY, JESSE	JNL PERSPECTIVE L	103,952.17	112.61	0.00	112.61	90.0	101.35
10/31/2017	IRBY, MALCOLM DON & E	JNL PERSPECTIVE L	20,032.14	21.70	0.00	21.70	90.0	19.53
10/31/2017	PERRY, JANINE	JNL PERSPECTIVE L	18,430.46	19.97	0.00	19.97	90.0	17.97
10/31/2017	LILES, ROBERT	JOHN HANCOCK VENTURE III	195,780.55	163.15	0.00	163.15	90.0	146.84
10/31/2017	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	71,546.98	59.62	0.00	59.62	90.0	53.66
* VARIABLE ANNUITIES SUBTOTAL *			\$998,408.69	\$929.37	\$0.00	\$929.37		\$836.45

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<u>VERRIDE TRANSACTIONS</u>								
*** DIRECT TRANSACTIONS TOTAL ***			\$1,253,406.55	\$15,060.84	\$110.00	\$14,950.84		\$13,711.62
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
11/01/2017	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
10/10/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	3.95	0.00	3.95	48.0	1.66
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
10/10/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
10/10/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.31	0.00	6.31	48.0	2.65
11/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.05
10/10/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.50	0.00	3.50	48.0	1.47
11/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.05
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05
10/10/2017	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.52	0.00	1.52	48.0	0.64
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
11/01/2017	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
10/10/2017	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	3.81	0.00	3.81	48.0	1.60
10/10/2017	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	48.0	0.86
10/10/2017	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.31	0.00	3.31	48.0	1.39
10/10/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
10/10/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.08
10/10/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.08
10/27/2017	RADER, LLOYD	AM GEN POLARIS PLATINUM III	214,400.92	13,400.06	0.00	13,400.06	48.0	5,628.03
11/02/2017	ALSTYNE, EUGENE	AM GEN POLARIS PLATINUM III	203,884.89	12,742.81	0.00	12,742.81	48.0	5,351.98
11/08/2017	GODWIN, SANDRA	AM GEN POLARIS PLATINUM III	150,084.07	9,380.25	0.00	9,380.25	48.0	3,939.71
10/31/2017	TMICO	FRANKLIN INCOME C	0.00	7.91	0.00	7.91	48.0	3.32
10/31/2017	SPURGIN, LISBETH	FRANKLIN TOTAL RETURN FUNDS -CL C	0.00	5.40	0.00	5.40	48.0	2.27
10/31/2017	MCCORMICK, DEBORAH	FT FOUNDING FUNDS ALLOC A	0.00	27.49	0.00	27.49	48.0	11.55

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
10/10/2017	BOWLAND, BOBBY	INVESCO MIDCAP CORE EQUITY A	0.00	7.78	0.00	7.78	48.0	3.27
10/31/2017	BRIDGES, JANIS	JNL ELITE ACCESS	103,637.17	86.36	0.00	86.36	48.0	36.27
10/31/2017	RHODES, VIRGINIA	JNL ELITE ACCESS	76,326.43	15.90	0.00	15.90	48.0	6.68
10/31/2017	CROWTHER, JOHN	JNL ELITE ACCESS	58,980.00	12.29	0.00	12.29	48.0	5.16
10/31/2017	NOBLES, VERLIE	JNL PERSPECTIVE L	31,814.15	34.47	0.00	34.47	48.0	14.48
10/31/2017	REEDER, WESLEY	JNL PERSPECTIVE L	17,640.24	19.11	0.00	19.11	48.0	8.03
10/31/2017	SPURGIN, BRENT	JNL PERSPECTIVE L	37,460.45	40.58	0.00	40.58	48.0	17.04
10/31/2017	GODWIN, SANDRA	JNL PERSPECTIVE L	149,951.50	162.45	0.00	162.45	48.0	68.23
10/31/2017	WALLACE, DEBORREH	JNL PERSPECTIVE L	83,123.89	69.27	0.00	69.27	48.0	29.09
10/31/2017	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,109.32	25.09	0.00	25.09	48.0	10.54
10/10/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.99	0.00	0.99	48.0	0.42
10/16/2017	VICHI, PETER	PREFERRED APT CMNTYS INC COM	16,068.70	160.00	22.00	138.00	48.0	57.96
10/10/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.84	0.00	0.84	48.0	0.35
/ /	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	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
10/30/2017	BURNS, ANNE	SEC BEN 814121158	36,889.24	30.73	0.00	30.73	48.0	12.91
11/02/2017	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	11.06	0.00	11.06	48.0	4.65
11/02/2017	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.39	0.00	4.39	48.0	1.84
* MARK-S141 REG SMITH SUBTOTAL *			\$1,210,820.97	\$36,293.43	\$22.00	\$36,271.43		\$15,234.01
<u>BROKER: MARK-S142 ALTS SMITH #368</u>								
10/24/2017	INGRAM, RONALD	COTTONWOOD RESIDENTIAL 2016 PREFR'D	100,000.00	7,000.00	0.00	7,000.00	49.0	3,010.00
* MARK-S142 ALTS SMITH SUBTOTAL *			\$100,000.00	\$7,000.00	\$0.00	\$7,000.00		\$3,010.00
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,310,820.97	\$43,293.43	\$22.00	\$43,271.43		\$18,244.01

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<u>ADJUSTMENTS</u>								
11/15/2017		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
11/15/2017		*BAL CARRIED FORWARD: BAL CARRIED F	0.00					0.01
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
11/15/2017		*LASER APP: CURRENT MONTH	0.00					-18.00
11/15/2017		*RBC: CURRENT MONTH	0.00					-25.00
11/15/2017		*TECH: CURRENT MONTH BASIC	0.00					-180.00
11/15/2017		*TECHNOLOGY: ADMIN - CHRISTINA POOL	0.00					-130.00
11/15/2017		*TECHNOLOGY: ADMIN - JAMIE CONDRAY	0.00					-130.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-789.99

BROKER COMMISSION TOTALS

Broker Transactions	\$13,711.62
Split Transactions	\$0.00
Override Transactions	\$18,244.01
Adjustments	\$-789.99
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$31,165.64
Year-to-date Gross	\$108,364.35
Year-to-date Earnings	\$157,543.12

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