



Concorde Investment Services, LLC

02/27/2018

Page No. 1

# COMMISSION STATEMENT

February 28, 2018

RICHARD CODY  
1010 Highway 71

BROKER #: C135 Terminated 07/29/2016  
BRANCH: JILL CODY

Spring Lake, NJ 07762

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
02/22/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.00
03/16/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.15	0.00	0.15	0.0	0.00
04/21/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.00
05/24/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.00
06/10/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.00
07/14/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.00
08/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.00
09/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.18	0.00	0.18	0.0	0.00
10/20/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.00
11/18/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.18	0.00	0.18	0.0	0.00
12/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.00
04/27/2016	CAREY, CHRISTINE	BLACKROCK STRATEGIC INCOME OPPT POR	0.00	1.10	0.00	1.10	0.0	0.00
04/27/2016	CAREY, CHRISTINE	BLK GLOBAL ALLOCATION C	0.00	2.59	0.00	2.59	0.0	0.00
02/26/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	11.19	0.00	11.19	0.0	0.00
02/26/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.24	0.00	9.24	0.0	0.00
03/23/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	9.83	0.00	9.83	0.0	0.00
03/23/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	8.12	0.00	8.12	0.0	0.00
04/27/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	10.77	0.00	10.77	0.0	0.00
04/27/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	8.89	0.00	8.89	0.0	0.00
05/31/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	10.94	0.00	10.94	0.0	0.00
05/31/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.03	0.00	9.03	0.0	0.00
06/27/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	11.78	0.00	11.78	0.0	0.00
06/27/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.40	0.00	9.40	0.0	0.00
07/29/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	13.20	0.00	13.20	0.0	0.00
07/29/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.26	0.00	9.26	0.0	0.00
08/30/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	14.12	0.00	14.12	0.0	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
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
08/30/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.91	0.00	9.91	0.0	0.00
09/29/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	14.30	0.00	14.30	0.0	0.00
09/29/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	10.04	0.00	10.04	0.0	0.00
04/15/2016	CAREY, CHRISTINE	COLUMBIA BALANCED FUND CLASS B	0.00	0.78	0.00	0.78	0.0	0.00
04/15/2016	CAREY, CHRISTINE	COLUMBIA THERMOSTAT FUND CLASS C	0.00	0.77	0.00	0.77	0.0	0.00
04/20/2016	CAREY, CHRISTINE	FEDERATED CAPITAL INCOME FUND CLASS	0.00	0.53	0.00	0.53	0.0	0.00
02/12/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
03/17/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.08	0.00	0.08	0.0	0.00
04/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
05/24/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
06/15/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
07/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
08/16/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
09/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.10	0.00	0.10	0.0	0.00
10/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
11/18/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.10	0.00	0.10	0.0	0.00
12/16/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.00
02/12/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.33	0.00	4.33	0.0	0.00
02/12/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.33	0.00	4.33	0.0	0.00
03/17/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	3.81	0.00	3.81	0.0	0.00
03/17/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	3.81	0.00	3.81	0.0	0.00
04/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.35	0.00	4.35	0.0	0.00
04/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.35	0.00	4.35	0.0	0.00
05/24/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.38	0.00	4.38	0.0	0.00
05/24/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.38	0.00	4.38	0.0	0.00
06/15/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	0.00
06/15/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	0.00
07/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	0.00
07/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	0.00
08/16/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.88	0.00	4.88	0.0	0.00
08/16/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.88	0.00	4.88	0.0	0.00
09/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	5.06	0.00	5.06	0.0	0.00
09/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	5.06	0.00	5.06	0.0	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 &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/15/2016	CAREY, CHRISTINE	FRANKLIN INCOME C	0.00	0.40	0.00	0.40	0.0	0.00
02/19/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.65	0.00	3.65	0.0	0.00
03/22/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.35	0.00	3.35	0.0	0.00
04/18/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.87	0.00	3.87	0.0	0.00
05/24/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.87	0.00	3.87	0.0	0.00
06/21/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	4.00	0.00	4.00	0.0	0.00
07/18/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.03	0.00	3.03	0.0	0.00
04/14/2016	CAREY, CHRISTINE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	2.18	0.00	2.18	0.0	0.00
04/15/2016	FORTIN, DEBORAH	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	5.70	0.00	5.70	0.0	0.00
07/13/2016	FORTIN, DEBORAH	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	6.80	0.00	6.80	0.0	0.00
02/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	8.38	0.00	8.38	0.0	0.00
02/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.58	0.00	5.58	0.0	0.00
03/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	9.76	0.00	9.76	0.0	0.00
03/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.03	0.00	5.03	0.0	0.00
04/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	11.99	0.00	11.99	0.0	0.00
04/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.84	0.00	5.84	0.0	0.00
05/23/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.61	0.00	13.61	0.0	0.00
05/23/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.08	0.00	7.08	0.0	0.00
06/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.96	0.00	13.96	0.0	0.00
06/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.26	0.00	7.26	0.0	0.00
07/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.62	0.00	13.62	0.0	0.00
07/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.08	0.00	7.08	0.0	0.00
08/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	14.50	0.00	14.50	0.0	0.00
08/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.54	0.00	7.54	0.0	0.00
09/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	14.80	0.00	14.80	0.0	0.00
09/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.70	0.00	7.70	0.0	0.00
08/22/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.00
09/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.00
10/20/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.04	0.00	0.04	0.0	0.00
11/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.00
12/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.04	0.00	0.04	0.0	0.00
08/22/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.00
09/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	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
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/20/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.00
11/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.00
12/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.00
04/27/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.49	0.00	0.49	0.0	0.00
08/02/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.52	0.00	0.52	0.0	0.00
10/13/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.54	0.00	0.54	0.0	0.00
02/08/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.30	0.00	9.30	0.0	0.00
02/08/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.57	0.00	5.57	0.0	0.00
03/14/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	8.74	0.00	8.74	0.0	0.00
03/14/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.23	0.00	5.23	0.0	0.00
04/15/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.84	0.00	9.84	0.0	0.00
04/15/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.89	0.00	5.89	0.0	0.00
05/17/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.77	0.00	9.77	0.0	0.00
05/17/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.85	0.00	5.85	0.0	0.00
06/16/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	10.08	0.00	10.08	0.0	0.00
06/16/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	6.03	0.00	6.03	0.0	0.00
07/20/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	6.55	0.00	6.55	0.0	0.00
07/20/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	3.92	0.00	3.92	0.0	0.00
04/13/2016	CAREY, CHRISTINE	PIONEER STRATEGIC INCOME C	0.00	0.01	0.00	0.01	0.0	0.00
04/19/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.01	0.00	0.01	0.0	0.00
05/18/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.00
06/15/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.00
07/15/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.00
08/10/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.07	0.00	0.07	0.0	0.00
09/16/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.07	0.00	0.07	0.0	0.00
10/13/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.02	0.00	0.02	0.0	0.00
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$530.05</b>	<b>\$0.00</b>	<b>\$530.05</b>		<b>\$0.00</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$0.00</b>	<b>\$530.05</b>	<b>\$0.00</b>	<b>\$530.05</b>		<b>\$0.00</b>

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

**BROKER COMMISSION TOTALS**

Broker Transactions	\$0.00
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

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$0.00</b>
<b>Year-to-date Gross</b>	<b>\$530.66</b>
<b>Year-to-date Earnings</b>	<b>\$0.00</b>