



Concorde Investment Services, LLC

05/02/2018

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**COMMISSION STATEMENT****April 30, 2018**JOEL, W143 WOODS  
1412 Blue Quail RunBROKER #: W143  
BRANCH: WOODS FINANCIAL

Crowley, TX 76036-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: REIT</u></b>								
03/16/2018	VECCHIO, JOSEPH	CIM COMMERCIAL TRUST SERIES A	11,200.00	560.00	0.00	560.00	92.0	515.20
03/29/2018	SNOW, CHARLES	CIM COMMERCIAL TRUST SERIES A	20,000.00	1,000.00	0.00	1,000.00	92.0	920.00
04/11/2018	SMITH, PAMELA	CIM COMMERCIAL TRUST SERIES A	13,000.00	650.00	0.00	650.00	92.0	598.00
04/17/2018	NORRIS, KAY	CIM COMMERCIAL TRUST SERIES A	34,000.00	1,700.00	0.00	1,700.00	92.0	1,564.00
04/19/2018	BURSEEN, RUTH	CIM COMMERCIAL TRUST SERIES A	10,000.00	500.00	0.00	500.00	92.0	460.00
03/31/2018	SCOGGIN, HELEN	GRIFFIN CAPITAL ESSENTIAL ASSET II	17,383.63	42.86	0.00	42.86	92.0	39.43
03/31/2018	SHERRIEB, HAROLD	GRIFFIN CAPITAL ESSENTIAL ASSET II	71,635.83	176.64	0.00	176.64	92.0	162.51
<b>* REIT SUBTOTAL *</b>			<b>\$177,219.46</b>	<b>\$4,629.50</b>	<b>\$0.00</b>	<b>\$4,629.50</b>		<b>\$4,259.14</b>
<b><u>PRODUCT CATEGORY: NON-TRADED BDC</u></b>								
04/16/2018	KLAHM, BEN	SIERRA INCOME CORPORATION A	0.00	10.85	0.00	10.85	92.0	9.98
<b>* NON-TRADED BDC SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$10.85</b>	<b>\$0.00</b>	<b>\$10.85</b>		<b>\$9.98</b>
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
04/02/2018	TOMLINSON, HAROLD	BR TOTAL INC & REAL ESTATE FUND C	500.00	5.00	0.00	5.00	92.0	4.60
04/09/2018	MCELROY, MARGARET	GRIFFIN INST'L ACCESS R E FUND	5,500.00	275.00	0.00	275.00	92.0	253.00
04/02/2018	GRAY, MARCELLA	GRIFFIN INST'L ACCESS R E FUND C	6,000.00	60.00	0.00	60.00	92.0	55.20
04/02/2018	DOERING, PATSY	GRIFFIN INST'L ACCESS R E FUND C	5,100.00	51.00	0.00	51.00	92.0	46.92
04/10/2018	MCELROY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	8,000.00	80.00	0.00	80.00	92.0	73.60
<b>* INTERVAL FUNDS SUBTOTAL *</b>			<b>\$25,100.00</b>	<b>\$471.00</b>	<b>\$0.00</b>	<b>\$471.00</b>		<b>\$433.32</b>
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
04/16/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.50	0.00	2.50	90.0	2.25
04/16/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.50	0.00	2.50	90.0	2.25
04/16/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.50	0.00	2.50	90.0	2.25
04/16/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.50	0.00	2.50	90.0	2.25
04/10/2018	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	90.0	1.92
04/09/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32

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

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

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
04/16/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
* 529 PLANS SUBTOTAL *			\$270.00	\$12.83	\$0.00	\$12.83		\$11.56
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
03/31/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	7,415.20	18.28	0.00	18.28	90.0	16.45
03/31/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	370.66	0.91	0.00	0.91	90.0	0.82
04/05/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	750.00	7.50	0.00	7.50	90.0	6.75
04/05/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	50.00	0.50	0.00	0.50	90.0	0.45
04/16/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	90.0	2.25
04/16/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
04/09/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	125.00	1.25	0.00	1.25	90.0	1.13
04/09/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
04/09/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
04/09/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
04/20/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85
04/20/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
04/20/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
04/20/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
04/20/2018	KACHMAN UTMA/TX, VICTORIA	INVESCO BALANCED-RISK ALLOCATION-C	66.25	0.66	0.00	0.66	90.0	0.59
* MUTUAL FUNDS SUBTOTAL *			\$9,432.11	\$39.65	\$0.00	\$39.65		\$35.70
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
04/16/2018	KIMBALL, KYLE	AXA EQUITABLE 00248C626	27,035.93	1,622.16	0.00	1,622.16	90.0	1,459.94
04/10/2018	MCELROY, MARGARET	JNL PERSPECTIVE II 04/14	38,000.00	2,660.00	0.00	2,660.00	90.0	2,394.00
04/10/2018	RAYFIELD, JEREL	JNL PERSPECTIVE II 04/14	63,633.77	4,454.36	0.00	4,454.36	90.0	4,008.92
04/13/2018	ZELLERS, JANE	JNL PERSPECTIVE II 04/14	12,000.00	840.00	0.00	840.00	90.0	756.00
04/16/2018	MCELROY, JOHN	JNL PERSPECTIVE II 04/14	20,500.00	1,435.00	0.00	1,435.00	90.0	1,291.50
* VARIABLE ANNUITIES SUBTOTAL *			\$161,169.70	\$11,011.52	\$0.00	\$11,011.52		\$9,910.36
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	SOMMERS, MARY	CALAMOS GLOBAL GROWTH & INCOME C	0.00	2.17	0.00	2.17	90.0	1.95
/ /	SOMMERS, MARY	CALAMOS GROWTH C	0.00	30.31	0.00	30.31	90.0	27.28
04/01/2018	TMICO TRUST CO	INVESCO BALANCED RISK ALLOCATION A	0.00	5.59	0.00	5.59	90.0	5.03
04/01/2018	ROGERS, HELEN	INVESCO BALANCED RISK ALLOCATION A	0.00	28.90	0.00	28.90	90.0	26.01
04/01/2018	CONTE, CYNTHIA	INVESCO BALANCED RISK ALLOCATION A	0.00	4.71	0.00	4.71	90.0	4.24

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/01/2018	CONTE, CYNTHIA	INVESCO BALANCED RISK ALLOCATION A	0.00	3.23	0.00	3.23	90.0	2.91
04/01/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	0.00	40.45	0.00	40.45	90.0	36.41
04/01/2018	MCELVAIN, CHAD	INVESCO BALANCED-RISK ALLOCATION-C	0.00	4.25	0.00	4.25	90.0	3.83
04/01/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	0.00	5.52	0.00	5.52	90.0	4.97
04/01/2018	HEZEL, KATHLEEN	INVESCO BALANCED-RISK ALLOCATION-C	0.00	104.06	0.00	104.06	90.0	93.65
04/01/2018	VECCHIO, JOSEPH	INVESCO BALANCED-RISK ALLOCATION-C	0.00	6.22	0.00	6.22	90.0	5.60
04/01/2018	KMAK, SHANNON	INVESCO BALANCED-RISK ALLOCATION-C	0.00	30.89	0.00	30.89	90.0	27.80
04/01/2018	HAMPTON, JARROTT	INVESCO BALANCED-RISK ALLOCATION-C	0.00	36.13	0.00	36.13	90.0	32.52
04/01/2018	TMICO TRUST CO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	14.87	0.00	14.87	90.0	13.38
04/01/2018	HUGGETT, PAUL	INVESCO BALANCED-RISK ALLOCATION-C	0.00	90.96	0.00	90.96	90.0	81.86
04/01/2018	TMICO TRUST CO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	3.44	0.00	3.44	90.0	3.10
04/01/2018	KACHMAN UTMA/TX, VICTORIA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	16.52	0.00	16.52	90.0	14.87
04/01/2018	TMICO TRUST CO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	27.07	0.00	27.07	90.0	24.36
04/01/2018	TMICO TRUST CO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	115.02	0.00	115.02	90.0	103.52
04/01/2018	TMICO TRUST CO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	113.55	0.00	113.55	90.0	102.20
04/01/2018	WILSON, TED	INVESCO BALANCED-RISK ALLOCATION-C	0.00	11.25	0.00	11.25	90.0	10.13
04/01/2018	PHIPPS, CHRISTEEN	INVESCO BALANCED-RISK ALLOCATION-C	0.00	0.83	0.00	0.83	90.0	0.75
04/01/2018	TMICO CUSTODIAN	INVESCO BALANCED-RISK ALLOCATION-C	0.00	2.04	0.00	2.04	90.0	1.84
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$697.98</b>	<b>\$0.00</b>	<b>\$697.98</b>		<b>\$628.21</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$373,191.27</b>	<b>\$16,873.33</b>	<b>\$0.00</b>	<b>\$16,873.33</b>		<b>\$15,288.27</b>

**OVERRIDE TRANSACTIONS****BROKER: MARK-S141 REG SMITH #367**

04/04/2018	SMITH, ROGER	ALGER CAPITAL APPRECIATION A	0.00	4.14	0.00	4.14	48.0	1.74
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
04/16/2018	VOORHEES, CLIFFORD	AM FUNDS GROWTH PORT A	50.00	1.88	0.00	1.88	48.0	0.79
04/05/2018	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	48.0	1.26
04/01/2018	WHISTLER, ROBERT	INVESCO ASIA PACIFIC GROWTH C	0.00	8.37	0.00	8.37	48.0	3.52

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARK-S141 REG SMITH #367</u></b>								
04/01/2018	BRIDGES, JANIS	INVESCO BALANCED RISK ALLOCATION A	0.00	13.10	0.00	13.10	48.0	5.50
04/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	4.82	0.00	4.82	48.0	2.02
04/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	14.94	0.00	14.94	48.0	6.27
04/01/2018	WALLACE, SHEILA	INVESCO BALANCED RISK ALLOCATION A	0.00	2.49	0.00	2.49	48.0	1.05
04/01/2018	GODWIN, SANDRA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	38.80	0.00	38.80	48.0	16.30
04/01/2018	TMICO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	40.82	0.00	40.82	48.0	17.14
04/01/2018	WHISTLER, ROBERT	INVESCO BALANCED-RISK ALLOCATION-C	0.00	16.85	0.00	16.85	48.0	7.08
04/01/2018	WALLACE, CHARLES	INVESCO BALANCED-RISK ALLOCATION-C	0.00	26.78	0.00	26.78	48.0	11.25
04/01/2018	DODD, AIMEE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	57.43	0.00	57.43	48.0	24.12
04/01/2018	WHISTLER, ROBERT	INVESCO DIV INC 00142F519	0.00	18.28	0.00	18.28	48.0	7.68
04/01/2018	WHISTLER, ROBERT	INVESCO GLOBAL HEALTH CARE C	0.00	6.81	0.00	6.81	48.0	2.86
04/01/2018	WHISTLER, ROBERT	INVESCO MID CAP GROWTH FUND - CLASS	0.00	5.59	0.00	5.59	48.0	2.35
04/02/2018	BARTON, SUSAN	PAC LIFE PACIFIC CHOICE	0.00	3,177.50	0.00	3,177.50	48.0	1,334.55
04/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	2.45	0.00	2.45	48.0	1.03
04/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	6.38	0.00	6.38	48.0	2.68
04/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.21	0.00	0.21	48.0	0.09
04/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.55	0.00	0.55	48.0	0.23
/ /	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	0.07	0.00	0.07	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
<b>* MARK-S141 REG SMITH SUBTOTAL *</b>			<b>\$600.00</b>	<b>\$3,463.94</b>	<b>\$0.00</b>	<b>\$3,463.94</b>		<b>\$1,454.87</b>
<b><u>BROKER: MARK-S142 ALTS SMITH #368</u></b>								
03/13/2018	RADER IRA, LLOYD	CIM COMMERCIAL TRUST SERIES A	30,000.00	1,500.00	0.00	1,500.00	49.0	645.00
04/02/2018	WITKOWSKI, CHET	COTTONWOOD MULTIFAMILY REIT II	30,000.00	1,800.00	0.00	1,800.00	49.0	774.00
03/31/2018	SULLIVAN, SONIA	GRIFFIN CAPITAL ESSENTIAL ASSET II	2,387.86	5.89	0.00	5.89	49.0	2.53
<b>* MARK-S142 ALTS SMITH SUBTOTAL *</b>			<b>\$62,387.86</b>	<b>\$3,305.89</b>	<b>\$0.00</b>	<b>\$3,305.89</b>		<b>\$1,421.53</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$62,987.86</b>	<b>\$6,769.83</b>	<b>\$0.00</b>	<b>\$6,769.83</b>		<b>\$2,876.40</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$15,288.27
Split Transactions	\$0.00
Override Transactions	\$2,876.40
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	\$18,164.67
Year-to-date Gross	\$60,187.48
Year-to-date Earnings	\$75,020.68