



Concorde Investment Services, LLC
COMMISSION STATEMENT
June 30, 2018

07/05/2018
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KEITH, L128 LAYMAN
4321 Flagstaff

BROKER #: L128
BRANCH: APPLE TREE FINANCIAL

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/15/2018	DELANEY, DIANA	VANGUARD 500 INDEX FUND INVESTOR SH	150.00	0.00	12.00	-12.00	80.0	-9.60
06/15/2018	DELANEY, MATTHEW	VANGUARD 500 INDEX FUND INVESTOR SH	25.00	0.00	12.00	-12.00	80.0	-9.60
* MUTUAL FUNDS SUBTOTAL *			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20
*** CLEARING TRANSACTIONS TOTAL ***			\$175.00	\$0.00	\$24.00	\$-24.00		\$-19.20

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
05/31/2018	LOWDEN TRUST, KATHERINE	GRIFFIN INST'L ACCESS R E FUND C	43,804.52	37.20	0.00	37.20	80.0	29.76
05/31/2018	ZINN, JEANETTE	GRIFFIN INST'L ACCESS R E FUND C	71,629.13	60.84	0.00	60.84	80.0	48.67
* INTERVAL FUNDS SUBTOTAL *			\$115,433.65	\$98.04	\$0.00	\$98.04		\$78.43

<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	SIEGER, NORMAN	INA AMER FDS EUROPAC GROWT A	0.00	2.00	0.00	2.00	80.0	1.60
/ /	FREEZE, CORTNEY	INA AMER FDS EUROPAC GROWT A	0.00	0.71	0.00	0.71	80.0	0.57
/ /	GEVERINK, ANN	INA AMER FDS EUROPAC GROWT A	0.00	1.20	0.00	1.20	80.0	0.96
06/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
06/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
06/19/2018	GALENTINE, STEPHANIE	INA AMER FDS EUROPAC GROWT A	20.80	0.83	0.00	0.83	80.0	0.66
06/04/2018	GALENTINE, ASHLEY	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
06/04/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
06/07/2018	GOODMAN, LAUREN	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	2.38	0.00	2.38	80.0	1.90
06/08/2018	SIEGER, NORMAN	INA BOSTON COMPANY DYNAMIC LARGE CA	168.00	7.98	0.00	7.98	80.0	6.38
06/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	41.60	1.66	0.00	1.66	80.0	1.33
06/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	48.53	1.94	0.00	1.94	80.0	1.55
06/19/2018	GALENTINE, STEPHANIE	INA BOSTON COMPANY DYNAMIC LARGE CA	34.67	1.39	0.00	1.39	80.0	1.11
06/19/2018	GEVERINK, ANN	INA BOSTON COMPANY DYNAMIC LARGE CA	100.00	2.00	0.00	2.00	80.0	1.60

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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^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>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	GEVERINK, ANN	INA DIAMOND HILL SM-MID CAP PORTF A	0.00	1.20	0.00	1.20	80.0	0.96
06/12/2018	JACKSON, BRENDA	INA DIAMOND HILL SM-MID CAP PORTF A	150.00	7.13	0.00	7.13	80.0	5.70
06/15/2018	FREEZE, CORTNEY	INA DIAMOND HILL SM-MID CAP PORTF A	50.00	0.71	0.00	0.71	80.0	0.57
06/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
06/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
06/19/2018	GALENTINE, STEPHANIE	INA DIAMOND HILL SM-MID CAP PORTF A	20.80	0.83	0.00	0.83	80.0	0.66
/ /	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	0.00	1.63	0.00	1.63	80.0	1.30
06/07/2018	GOODMAN, LAUREN	INA SHORT TERM TREAS INDEX PORT A	50.00	1.63	0.00	1.63	80.0	1.30
/ /	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	0.00	1.63	0.00	1.63	80.0	1.30
06/07/2018	GOODMAN, LAUREN	INA TIPS INDEX PORT CLASS A	50.00	1.63	0.00	1.63	80.0	1.30
* 529 PLANS SUBTOTAL *			\$967.60	\$46.56	\$0.00	\$46.56		\$37.19
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/11/2018	GRIME, STEPHEN	AM FUNDS AMERICAN BALANCED A	100.00	2.75	0.00	2.75	80.0	2.20
06/11/2018	HERRIMAN, JANET	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	80.0	1.70
06/15/2018	PEARSON, STACEY	AM FUNDS AMERICAN BALANCED A	15.00	0.75	0.00	0.75	80.0	0.60
06/15/2018	CACCAMO, MICHAEL	AM FUNDS AMERICAN BALANCED A	540.00	22.95	0.00	22.95	80.0	18.36
06/15/2018	NEACE, VICTORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.13	0.00	2.13	80.0	1.70
06/20/2018	JACKSON, AIMEE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	80.0	2.00
06/11/2018	GRIME, STEPHEN	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	80.0	2.20
06/15/2018	NEACE, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	80.0	1.70
06/11/2018	GRIME, STEPHEN	AM FUNDS ICA A	100.00	2.75	0.00	2.75	80.0	2.20
06/15/2018	ROEMER, SHERRI	AM FUNDS NEW WORLD A	50.00	2.13	0.00	2.13	80.0	1.70
06/18/2018	MUSSEY, LORI	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	80.0	2.00
/ /	FREEZE, CORTNEY	INA LG CAP INDEX PORT CLASS A	0.00	2.61	0.00	2.61	80.0	2.09
06/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
06/14/2018	SCHUCH, AUTUMN	INA LG CAP INDEX PORT CLASS A	25.00	1.19	0.00	1.19	80.0	0.95
/ /	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	0.00	1.63	0.00	1.63	80.0	1.30
/ /	GEVERINK, ANN	INA PIMCO TOT RET PORT CLA A	0.00	1.30	0.00	1.30	80.0	1.04
06/07/2018	GOODMAN, LAUREN	INA PIMCO TOT RET PORT CLA A	50.00	1.63	0.00	1.63	80.0	1.30
06/08/2018	SIEGER, NORMAN	INA PIMCO TOT RET PORT CLA A	42.00	1.37	0.00	1.37	80.0	1.10
06/14/2018	FREEZE, CORTNEY	INA PIMCO TOT RET PORT CLA A	15.00	0.49	0.00	0.49	80.0	0.39
06/19/2018	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	13.87	0.45	0.00	0.45	80.0	0.36
06/19/2018	GALENTINE, STEPHANIE	INA PIMCO TOT RET PORT CLA A	27.73	0.90	0.00	0.90	80.0	0.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	GEVERINK, ANN	INA T ROWE PRICE LG CAP GROWTH PO A	0.00	2.00	0.00	2.00	80.0	1.60
06/04/2018	GALENTINE, ASHLEY	INA T ROWE PRICE LG CAP GROWTH PO A	50.00	2.38	0.00	2.38	80.0	1.90
06/08/2018	SIEGER, NORMAN	INA T ROWE PRICE LG CAP GROWTH PO A	42.00	7.98	0.00	7.98	80.0	6.38
06/19/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	41.60	1.66	0.00	1.66	80.0	1.33
06/19/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	48.53	1.94	0.00	1.94	80.0	1.55
06/19/2018	GALENTINE, STEPHANIE	INA T ROWE PRICE LG CAP GROWTH PO A	34.67	1.39	0.00	1.39	80.0	1.11
06/15/2018	SCHUCH, AUTUMN	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
06/11/2018	GALENTINE, JUSTIN	OPPENHEIMER PORTFOLIO SERIES EQ INV	12.59	9.50	0.00	9.50	80.0	7.60
06/15/2018	URICK, DANIEL	TRANSAMERICA CAPITAL GROWTH A	100.00	4.00	0.00	4.00	80.0	3.20
06/04/2018	URICK, DANIEL	TRANSAMERICA DIVERSIFIED EQUITY A	100.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$1,882.99	\$97.83	\$0.00	\$97.83		\$78.23
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/15/2018	KAUFMAN, KATRINA	NWL BOA NG FP VUL	50.00	1.00	0.00	1.00	80.0	0.80
* VARIABLE ANNUITIES SUBTOTAL *			\$50.00	\$1.00	\$0.00	\$1.00		\$0.80
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/31/2018	MCFEETERS, VALERIE	BLK CAPITAL APPRECIATION A	0.00	0.40	0.00	0.40	80.0	0.32
05/31/2018	GILROY, MATTHEW	BLK INTL OPP A	0.00	0.58	0.00	0.58	80.0	0.46
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$0.98	\$0.00	\$0.98		\$0.78
*** DIRECT TRANSACTIONS TOTAL ***			\$118,334.24	\$244.41	\$0.00	\$244.41		\$195.43

SPLIT TRANSACTIONS**BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #10**

06/15/2018	SHERWOOD, JULIE	INA 2019 ENROLLMENT PORT CLASS A	8.25	0.84	0.00	0.84	80.0	0.67
/ /	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	0.00	0.84	0.00	0.84	80.0	0.67
06/14/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
06/15/2018	EGLY, KEITH	INA BOSTON COMPANY DYNAMIC LARGE CA	50.00	0.17	0.00	0.17	80.0	0.14
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$108.25	\$2.02	\$0.00	\$2.02		\$1.62

BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209

06/18/2018	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	8.75	0.00	8.75	80.0	7.00
06/15/2018	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.50	0.00	3.50	80.0	2.80
06/18/2018	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	8.75	0.00	8.75	80.0	7.00

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u>								
05/31/2018	BURTNETTE, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	52,881.65	15.72	0.00	15.72	80.0	12.58
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
/ /	SHERWOOD, JULIE	INA COLLEGE PORT CLASS A	0.00	0.57	0.00	0.57	80.0	0.46
/ /	SITES, EDWARD	INA COLLEGE PORT CLASS A	0.00	1.13	0.00	1.13	80.0	0.90
/ /	LINN, JASON	INA INTER EQTY INDEX PORTF A	0.00	0.13	0.00	0.13	80.0	0.10
06/15/2018	LINN, JASON	INA LG CAP INDEX PORT CLASS A	38.50	0.64	0.00	0.64	80.0	0.51
06/15/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
06/15/2018	HINTON, SCOTT	INA LG CAP INDEX PORT CLASS A	25.00	0.41	0.00	0.41	80.0	0.33
06/15/2018	LINN, JASON	INA PIMCO TOT RET PORT CLA A	8.25	0.10	0.00	0.10	80.0	0.08
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$54,178.40	\$40.68	\$0.00	\$40.68		\$32.55
*** SPLIT TRANSACTIONS TOTAL ***			\$54,286.65	\$42.70	\$0.00	\$42.70		\$34.17

VERRIDE TRANSACTIONS

<u>BROKER: WILLIAM, L129 LAYMAN #207</u>								
06/15/2018	RABER, AMY	AM FUNDS AMERICAN MUTUAL A	300.00	15.00	0.00	15.00	45.0	6.75
* WILLIAM, L129 LAYMAN SUBTOTAL *			\$300.00	\$15.00	\$0.00	\$15.00		\$6.75
*** OVERRIDE TRANSACTIONS TOTAL ***			\$300.00	\$15.00	\$0.00	\$15.00		\$6.75

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BROKER COMMISSION TOTALS

Broker Transactions	\$176.23
Split Transactions	\$34.17
Override Transactions	\$6.75
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	\$217.15
Year-to-date Gross	\$27,010.33
Year-to-date Earnings	\$24,776.36