



Concorde Investment Services, LLC
COMMISSION STATEMENT
 February 28, 2017

03/06/2017
 Page No. 1

DANIEL RAUPP
 417 E. Main Street
 3rd Floor
 Port Jefferson, NY 11777

BROKER #: R132
 BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/28/2017	TRAINOR, EDWARD	TRANSAMERICA LIBERTY	53,859.07	44.88	0.00	44.88	100.0	44.88
		* VARIABLE ANNUITIES SUBTOTAL *	\$53,859.07	\$44.88	\$0.00	\$44.88		\$44.88
		*** BROKER TRANSACTIONS TOTAL ***	\$53,859.07	\$44.88	\$0.00	\$44.88		\$44.88
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
02/23/2017	PARILLO, RALPH	ADVANCED MICRO DEVICES INC COM	4,303.95	15.00	11.25	3.75	100.0	3.75
02/21/2017	WYFFELS, ALAN	CATALYST/MILLBURN HEDGE STRATEGY FU	36,525.60	913.14	11.00	902.14	100.0	902.14
02/21/2017	WYFFELS, ALAN	FS INVT CORP COM	-19,080.00	100.00	12.35	87.65	100.0	87.65
02/21/2017	WYFFELS, ALAN	NEW YORK REIT INC COM	-17,790.96	85.00	12.34	72.66	100.0	72.66
		* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *	\$3,958.59	\$1,113.14	\$46.94	\$1,066.20		\$1,066.20
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
02/14/2017	CRESPO, ALEJANDRO	CATALYST/MILLBURN HEDGE STRATEGY FU	18,014.54	225.18	5.50	219.68	100.0	219.68
02/21/2017	CHEW, ROLAND	CATALYST/MILLBURN HEDGE STRATEGY FU	19,512.36	243.91	5.50	238.41	100.0	238.41
02/14/2017	CRESPO, ALEJANDRO	COLONY NORTHSTAR INC CL A COM	-15,884.29	50.00	5.91	44.09	100.0	44.09
02/15/2017	CAPOBIANCO, PETER	COLONY NORTHSTAR INC CL A COM	-15,715.81	25.00	5.91	19.09	100.0	19.09
02/16/2017	HICE, DENNIS	COLONY NORTHSTAR INC CL A COM	-41,594.58	162.50	6.60	155.90	100.0	155.90
02/21/2017	CHEW, ROLAND	COLONY NORTHSTAR INC CL A COM	-19,007.54	62.50	6.01	56.49	100.0	56.49
01/25/2017	RABETZ, WILLIAM	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	875.00	0.00	875.00	100.0	875.00
02/15/2017	CAPOBIANCO, PETER	NEW YORK REIT INC COM	-6,388.74	7.50	5.74	1.76	100.0	1.76
		* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *	\$-11,064.06	\$1,651.59	\$41.17	\$1,610.42		\$1,610.42
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
02/22/2017	VOGLIO, ANNAMARIE	INSYS THERAPEUTICS INC NEW COM NEW	1,011.00	7.00	7.86	-0.86	100.0	-0.86
02/15/2017	O'CONNELL, DANIEL	VANGUARD HEALTH CARE FUND	-9,468.04	0.00	7.70	-7.70	100.0	-7.70

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
02/14/2017	O'CONNELL, DANIEL	VANGUARD REIT INDEX FUND	-36.88	0.00	7.70	-7.70	100.0	-7.70
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$-8,493.92	\$7.00	\$23.26	\$-16.26		\$-16.26
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
02/17/2017	SPODEK, IRA	GPB AUTOMOTIVE PORTFOLIO LP	82,000.00	2,870.00	0.00	2,870.00	100.0	2,870.00
02/17/2017	RUSSO, CLIFTON	GPB AUTOMOTIVE PORTFOLIO LP	150,050.00	5,251.75	0.00	5,251.75	100.0	5,251.75
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$232,050.00	\$8,121.75	\$0.00	\$8,121.75		\$8,121.75
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
01/31/2017	LOYE, DEDRA	CARTER VALIDUS MC REIT II CLASS T	0.00	8.98	0.00	8.98	100.0	8.98
02/16/2017	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	-25,323.33	11.00	11.00	0.00	100.0	0.00
02/22/2017	HENNEFORTH, PAUL	NEW YORK REIT INC COM	-5,050.58	0.00	11.38	-11.38	100.0	-11.38
02/16/2017	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	-19,662.35	11.00	11.00	0.00	100.0	0.00
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$-50,036.26	\$30.98	\$33.38	\$-2.40		\$-2.40
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
02/17/2017	GALGANO, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	23,030.44	287.88	5.50	282.38	100.0	282.38
02/22/2017	FORRAI, GERALDINE	CATALYST/MILLBURN HEDGE STRATEGY FU	43,509.05	543.86	5.50	538.36	100.0	538.36
02/22/2017	D'ERCOLE, CONNIE	COLONY NORTHSTAR INC CL A COM	-4,363.21	12.50	5.63	6.87	100.0	6.87
01/23/2017	BRANDT, ROSEMARY	GPB AUTOMOTIVE PORTFOLIO LP	57,000.00	997.50	0.00	997.50	100.0	997.50
01/25/2017	FORRAI, GERALDINE	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	875.00	0.00	875.00	100.0	875.00
02/22/2017	FORRAI, GERALDINE	NEW YORK REIT INC COM	-23,369.19	50.00	6.39	43.61	100.0	43.61
* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *			\$145,807.09	\$2,766.74	\$23.02	\$2,743.72		\$2,743.72
<u>BROKER: G0D-JON P/DAN/JEFF FT-FL CIREL/RAUP #258</u>								
01/31/2017	KISSIL, GEORGE	CARTER VALIDUS MC REIT II CLASS T	0.00	5.35	0.00	5.35	100.0	5.35
* G0D-JON P/DAN/JEFF FT-FL CIREL/RAUP SUBTOTAL *			\$0.00	\$5.35	\$0.00	\$5.35		\$5.35
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
02/15/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	1,000.64	6.00	3.30	2.70	100.0	2.70
02/14/2017	FLAHERTY, STEPHEN	ING PREMIUM PLUS	0.00	5.02	0.00	5.02	100.0	5.02
02/14/2017	FLAHERTY, PATRICIA	ING PREMIUM PLUS	0.00	2.57	0.00	2.57	100.0	2.57
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$1,000.64	\$13.59	\$3.30	\$10.29		\$10.29
*** SPLIT TRANSACTIONS TOTAL ***			\$313,222.08	\$13,710.14	\$171.07	\$13,539.07		\$13,539.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ALAN LICHTENSTEIN #249 </u>								
02/15/2017	BALDWIN, PATRICE	MAINSTAY CUSHING MLP PREMIER FUND C	20,000.00	950.00	22.00	928.00	75.0	116.00
		* ALAN LICHTENSTEIN SUBTOTAL *	\$20,000.00	\$950.00	\$22.00	\$928.00		\$116.00
<u> BROKER: MARC LINSKY #263 </u>								
02/16/2017	BENDICK, ETHEL	AM FUNDS AMCAP 529A	400.00	20.00	0.00	20.00	90.0	0.34
02/16/2017	BENDICK, ETHEL	AM FUNDS BOND FUND OF AMERICA 529A	300.00	9.00	0.00	9.00	90.0	0.15
02/16/2017	BENDICK, ETHEL	AM FUNDS CAPITAL INCOME BUILDER 529	300.00	15.00	0.00	15.00	90.0	0.26
02/15/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
02/06/2017	CENTANNI, RICHARD	AMERICAN FUNDS COLLEGE 2033 FUND-52	1,000.00	35.00	0.00	35.00	90.0	0.60
01/23/2017	LINSKY, MARC	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	7,000.00	0.00	7,000.00	90.0	119.00
02/15/2017	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	215.74	2.16	22.00	-19.84	90.0	-0.34
02/05/2017	MCFADDEN, ANDREW	ING LANDMARK	0.00	868.28	0.00	868.28	90.0	14.76
02/16/2017	BARRY, MARIA	ING LANDMARK	0.00	54.82	0.00	54.82	90.0	0.93
02/01/2017	PISANI, NICHOLAS	LFG LNCTV679U	250.00	10.00	0.00	10.00	90.0	0.17
02/01/2017	PISANI, CARLA	LFG LNDEV679U	541.00	25.70	0.00	25.70	90.0	0.44
02/13/2017	BEYERLE, JOAN	METLIFE SHEILD LEVEL SELECTOR EQTY	16,673.24	1,000.39	0.00	1,000.39	90.0	17.01
02/14/2017	WARK, PATRICIA	METLIFE SHEILD LEVEL SELECTOR EQTY	152,894.12	9,173.65	0.00	9,173.65	90.0	155.95
02/10/2017	MORTON, MARTHA	PAC LIFE INNOVATIVE SELECT	0.00	52.71	0.00	52.71	90.0	0.90
02/13/2017	STERR, CHRISTOPHER	RMR GROUP INC CL A	-100.61	0.00	22.50	-22.50	90.0	-0.38
02/13/2017	STERR, CHRISTOPHER	SELECT INCOME REIT COM SH BEN INT	-3,582.61	30.00	22.50	7.50	90.0	0.13
01/24/2017	GALEMAN, ALAN	TRANSAMERICA LIBERTY	104,096.07	86.75	0.00	86.75	90.0	1.47
		* MARC LINSKY SUBTOTAL *	\$373,211.95	\$18,394.71	\$67.00	\$18,327.71		\$311.58
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$393,211.95	\$19,344.71	\$89.00	\$19,255.71		\$427.58
<u> ADJUSTMENTS </u>								
02/28/2017		*:	0.00					0.00
02/28/2017		*FEDERAL EXPRESS: 5-700-50263 2/8/1	0.00					-131.86
02/28/2017		*FEDERAL EXPRESS: 5-708-70252 2/15/	0.00					-59.04
02/28/2017		*FEDERAL EXPRESS: MONTHLY ALLOW 55%	0.00					550.00
02/28/2017		*MISC: 2/15 OVERPMT	0.00					-1,478.89
02/28/2017		*MISC: ROY, AFLAC, 1031DST	0.00					1,326.00
02/28/2017		*OVERRIDE: BRANCH CIRELLI	0.00					665.56

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<u>ADJUSTMENTS</u>								
02/28/2017		*OVERRIDE: BRANCH-KIESNOSKI	0.00					799.96
02/28/2017		*PERSHING: MARK UPS	0.00					60.00
02/28/2017		*PERSHING: MARK UPS	0.00					60.00
02/28/2017		*PERSHING: MARK UPS	0.00					31.50
02/28/2017		*PERSHING: MARK UPS	0.00					45.00
02/28/2017		*PERSHING: MARK UPS	0.00					30.00
02/28/2017		*PERSHING: MARK UPS	0.00					4.50
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$1,902.73

BROKER COMMISSION TOTALS

Broker Transactions	\$44.88
Split Transactions	\$13,539.07
Override Transactions	\$427.58
Adjustments	\$1,902.73
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$15,914.26
Year-to-date Gross	\$187,037.56
Year-to-date Earnings	\$191,073.60

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