



Concorde Investment Services, LLC

09/13/2017
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COMMISSION STATEMENT **September 15, 2017**

JOEL WOODS
1412 Blue Quail Run

Crowley, TX 76036-

BROKER #: W143
BRANCH: WOODS FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
09/01/2017	KLAHM, BEN	SIERRA INCOME CORPORATION A	4,800.00	144.00	0.00	144.00	92.0	132.48
		* NON-TRADED BDC SUBTOTAL *	\$4,800.00	\$144.00	\$0.00	\$144.00		\$132.48
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
08/25/2017	WOLFE, EDWARD	BR TOTAL INC & REAL ESTATE FUND C	10,000.00	100.00	0.00	100.00	92.0	92.00
08/28/2017	WOLFE, EDWARD	GRIFFIN INST'L ACCESS R E FUND C	10,000.00	100.00	0.00	100.00	92.0	92.00
		* INTERVAL FUNDS SUBTOTAL *	\$20,000.00	\$200.00	\$0.00	\$200.00		\$184.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/28/2017	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	90.0	1.92
09/05/2017	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
09/01/2017	ST JOHN, FINN	AMERICAN FUNDS COLLEGE 2033 FUND-52	100.00	3.50	0.00	3.50	90.0	3.15
08/11/2017	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.75	0.00	8.75	90.0	7.88
/ /	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	16.38	0.00	16.38	90.0	14.74
/ /	AMOS, ALEXANDER	FIDELITY ADVISORS FD 529 PORT 2016	0.00	17.56	0.00	17.56	90.0	15.80
08/09/2017	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.29	0.00	7.29	90.0	6.56
08/09/2017	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	6.32	0.00	6.32	90.0	5.69
08/09/2017	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	12.60	0.00	12.60	90.0	11.34
08/09/2017	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	5.31	0.00	5.31	90.0	4.78
08/25/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	125.00	1.25	0.00	1.25	90.0	1.13
08/25/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
08/25/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
08/25/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
08/25/2017	HAMPTON, JARROTT	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	1.44	0.00	1.44	90.0	1.30
/ /	RECTOR, MADELINE	JH 529 PORT 2017-2020 A	0.00	1.44	0.00	1.44	90.0	1.30

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/09/2017	CROSS, BETTY	MFS UTILITIES A	0.00	3.79	0.00	3.79	90.0	3.41
08/09/2017	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	4.61	0.00	4.61	90.0	4.15
08/09/2017	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	5.70	0.00	5.70	90.0	5.13
09/05/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.64	0.00	4.64	90.0	4.18
09/05/2017	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	17.21	0.00	17.21	90.0	15.49
09/05/2017	U/A DTD 07-19-2007	TRANSAMERICA MLP & ENERGY INC - C	0.00	13.17	0.00	13.17	90.0	11.85
* MUTUAL FUNDS SUBTOTAL *			\$625.00	\$142.40	\$0.00	\$142.40		\$128.19
<u>PRODUCT CATEGORY: STOCKS</u>								
08/14/2017	MORGAN IRREV TRUST, CAROLYN	PEMBINA PIPELINE CORP COM ISIN#CA70	13,690.44	140.00	22.00	118.00	90.0	106.20
08/14/2017	MORGAN IRREV TRUST, CAROLYN	PENGROWTH ENERGY CORP COM ISIN#CA70	317.49	50.00	22.00	28.00	90.0	25.20
08/14/2017	MORGAN IRREV TRUST, CAROLYN	PENGROWTH ENERGY CORP COM ISIN#CA70	-317.49	-50.00	-22.00	-28.00	90.0	-25.20
08/14/2017	MORGAN IRREV TRUST, CAROLYN	PENGROWTH ENERGY CORP COM ISIN#CA70	317.49	17.00	22.00	-5.00	90.0	-4.50
08/14/2017	MORGAN IRREV TRUST, CAROLYN	VANGUARD WORLD FDS VANGUARD UTILS E	4,778.55	55.00	22.00	33.00	90.0	29.70
08/14/2017	MORGAN IRREV TRUST, CAROLYN	XENIA HOTELS & RESORTS INC COM	10,291.31	105.00	22.00	83.00	90.0	74.70
* STOCKS SUBTOTAL *			\$29,077.79	\$317.00	\$88.00	\$229.00		\$206.10
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
08/31/2017	HENSLEE, CHARLES	JNL PERSPECTIVE	9,378.57	1.95	0.00	1.95	90.0	1.76
08/31/2017	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	98,884.44	41.20	0.00	41.20	90.0	37.08
08/31/2017	CADY, KENDA	JNL PERSPECTIVE L	27,612.12	29.91	0.00	29.91	90.0	26.92
08/31/2017	HEIL, ROBERT	JNL PERSPECTIVE L	56,378.94	61.08	0.00	61.08	90.0	54.97
08/31/2017	PARKIN, DAVID	JNL PERSPECTIVE L	62,760.25	67.99	0.00	67.99	90.0	61.19
08/31/2017	TOMLINSON, HAROLD	JNL PERSPECTIVE L	111,085.13	120.34	0.00	120.34	90.0	108.31
08/31/2017	MARKS, FRANCES	JNL PERSPECTIVE L	45,321.57	49.10	0.00	49.10	90.0	44.19
08/31/2017	MARKS, RICHARD	JNL PERSPECTIVE L	45,425.64	49.21	0.00	49.21	90.0	44.29
08/31/2017	SENESE, CATHERINE	JNL PERSPECTIVE L	6,678.65	7.24	0.00	7.24	90.0	6.52
08/31/2017	HARVEY, HELEN	JNL PERSPECTIVE L	87,211.66	94.48	0.00	94.48	90.0	85.03
08/31/2017	SENESE, CARMEN	JNL PERSPECTIVE L	21,717.17	23.53	0.00	23.53	90.0	21.18
08/31/2017	HARVEY, JESSE	JNL PERSPECTIVE L	106,543.01	115.42	0.00	115.42	90.0	103.88
08/31/2017	PERRY, JANINE	JNL PERSPECTIVE L	17,870.15	19.36	0.00	19.36	90.0	17.42
08/31/2017	LILES, ROBERT	JOHN HANCOCK VENTURE III	195,197.47	162.66	0.00	162.66	90.0	146.39
08/31/2017	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	70,522.82	58.77	0.00	58.77	90.0	52.89
08/24/2017	GORDON, JEFFREY	PAC LIFE 69448B175	0.00	221.07	0.00	221.07	90.0	198.96

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-S141 REG SMITH #367 </u>								
		* VARIABLE ANNUITIES SUBTOTAL *	\$962,587.59	\$1,123.31	\$0.00	\$1,123.31		\$1,010.98
		*** BROKER TRANSACTIONS TOTAL ***	\$1,017,090.38	\$1,926.71	\$88.00	\$1,838.71		\$1,661.75

<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-S141 REG SMITH #367 </u>								
08/09/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	3.98	0.00	3.98	48.0	1.67
08/09/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
08/09/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
08/09/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.40	0.00	6.40	48.0	2.69
08/09/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.54	0.00	3.54	48.0	1.49
08/09/2017	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	48.0	0.65
08/09/2017	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	3.87	0.00	3.87	48.0	1.63
08/09/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
08/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
08/09/2017	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.53	0.00	2.53	48.0	1.06
08/09/2017	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.35	0.00	3.35	48.0	1.41
08/09/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
08/09/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
08/09/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.08
08/09/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.08
08/31/2017	BRIDGES, JANIS	JNL ELITE ACCESS	101,700.09	84.75	0.00	84.75	48.0	35.60
08/31/2017	RHODES, VIRGINIA	JNL ELITE ACCESS	74,811.07	15.59	0.00	15.59	48.0	6.55
08/31/2017	CROWTHER, JOHN	JNL ELITE ACCESS	57,809.03	12.04	0.00	12.04	48.0	5.06
08/31/2017	NOBLES, VERLIE	JNL PERSPECTIVE L	30,613.73	33.16	0.00	33.16	48.0	13.93
08/31/2017	SPURGIN, BRENT	JNL PERSPECTIVE L	37,158.73	40.26	0.00	40.26	48.0	16.91
08/31/2017	GODWIN, SANDRA	JNL PERSPECTIVE L	146,336.34	158.53	0.00	158.53	48.0	66.58
08/31/2017	WALLACE, DEBORREH	JNL PERSPECTIVE L	81,121.42	67.60	0.00	67.60	48.0	28.39
08/31/2017	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	29,248.26	24.37	0.00	24.37	48.0	10.24
08/09/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	1.01	0.00	1.01	48.0	0.42
08/09/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.85	0.00	0.85	48.0	0.36
08/30/2017	BURNS, ANNE	SEC BEN 814121158	36,682.28	30.56	0.00	30.56	48.0	12.84
09/05/2017	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	11.06	0.00	11.06	48.0	4.65

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<u>VERRIDE TRANSACTIONS</u>								
BROKER: MARK-S141 REG SMITH #367								
09/05/2017	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.36	0.00	4.36	48.0	1.83
* MARK-S141 REG SMITH SUBTOTAL *			\$595,480.95	\$510.35	\$0.00	\$510.35		\$214.36
*** OVERRIDE TRANSACTIONS TOTAL ***			\$595,480.95	\$510.35	\$0.00	\$510.35		\$214.36

<u>ADJUSTMENTS</u>								
09/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
09/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-575.00

<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions	\$1,661.75
Split Transactions	\$0.00
Override Transactions	\$214.36
Adjustments	\$-575.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,301.11
Year-to-date Gross	\$54,825.57
Year-to-date Earnings	\$89,571.50

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