



Concorde Investment Services, LLC
COMMISSION STATEMENT
January 17, 2017

01/13/2017
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: REIT</u>								
12/21/2016	LACASSE, RAYMOND	COTTONWOOD MULTIFAMILY REIT I-REG A	35,000.00	2,100.00	0.00	2,100.00	100.0	2,100.00
		* REIT SUBTOTAL *	\$35,000.00	\$2,100.00	\$0.00	\$2,100.00		\$2,100.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/09/2017	RAUPP, BRUCE	MAINSTAY CUSHING MLP PREMIER FUND C	5,200.00	0.00	22.00	-22.00	100.0	-22.00
01/09/2017	RAUPP, AMY	MAINSTAY CUSHING MLP PREMIER FUND C	4,500.00	0.00	22.00	-22.00	100.0	-22.00
		* MUTUAL FUNDS SUBTOTAL *	\$9,700.00	\$0.00	\$44.00	\$-44.00		\$-44.00
<u>PRODUCT CATEGORY: STOCKS</u>								
01/05/2017	RAUPP, DANIEL	DIREXION SHS ETF TR DIREXION DAILY	15,684.99	0.00	22.50	-22.50	100.0	-22.50
01/09/2017	RAUPP, DANIEL	DIREXION SHS ETF TR DIREXION DAILY	14,717.70	0.00	22.50	-22.50	100.0	-22.50
01/09/2017	RAUPP, DANIEL	DIREXION SHS ETF TR DIREXION DAILY	-28,506.03	0.00	22.50	-22.50	100.0	-22.50
01/10/2017	RAUPP, DANIEL	DIREXION SHS ETF TR DIREXION DAILY	19,042.06	0.00	22.50	-22.50	100.0	-22.50
01/05/2017	RAUPP, DANIEL	NEW YORK REIT INC COM	-57,900.60	0.00	27.00	-27.00	100.0	-27.00
01/05/2017	LACASSE, RAYMOND	NEW YORK REIT INC COM	-51,145.53	500.00	27.00	473.00	100.0	473.00
01/05/2017	RAUPP, BRUCE	NEW YORK REIT INC COM	-15,227.56	0.00	24.37	-24.37	100.0	-24.37
01/05/2017	RAUPP, AMY	NEW YORK REIT INC COM	-2,633.36	0.00	22.50	-22.50	100.0	-22.50
		* STOCKS SUBTOTAL *	\$-105,968.33	\$500.00	\$190.87	\$309.13		\$309.13
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/30/2016	GARRETT, DIANA	AXA ACCUM 07 ELITE (RO IRA)	55,527.92	138.82	0.00	138.82	100.0	138.82
01/04/2017	K BELL ASSOC PENSION	GWL GRP ANNUITY 401K	526,975.29	447.57	0.00	447.57	100.0	447.57
12/31/2016	TRAINOR, EDWARD	JNL PERSPECTIVE L	63,532.98	52.94	0.00	52.94	100.0	52.94
12/31/2016	SPODEK	PRU PREMIER RETIREMENT L	197,369.27	493.42	0.00	493.42	100.0	493.42
12/31/2016	MAZZATTI, LEONARD	PRU PREMIER RETIREMENT L	86,290.20	215.73	0.00	215.73	100.0	215.73
12/28/2016	TRAINOR, EDWARD	TRANSAMERICA LIBERTY	53,516.23	44.60	0.00	44.60	100.0	44.60
		* VARIABLE ANNUITIES SUBTOTAL *	\$983,211.89	\$1,393.08	\$0.00	\$1,393.08		\$1,393.08

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/31/2016	LOYE, ARTHUR	LFG TRAILS	0.00	92.02	0.00	92.02	100.0	92.02
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$92.02	\$0.00	\$92.02		\$92.02
*** BROKER TRANSACTIONS TOTAL ***			\$921,943.56	\$4,085.10	\$234.87	\$3,850.23		\$3,850.23

SPLIT TRANSACTIONS**BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252**

12/23/2016	TEBBE, GEORGE	COTTONWOOD MULTIFAMILY REIT I-REG A	33,000.00	990.00	0.00	990.00	100.0	990.00
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			\$33,000.00	\$990.00	\$0.00	\$990.00		\$990.00

BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254

12/27/2016	DONOVAN, KEITH	COTTONWOOD MULTIFAMILY REIT I-REG A	10,000.00	210.00	0.00	210.00	100.0	210.00
12/19/2016	SHEA III, JOHN	GRIFFIN-AMERICAN HC REIT IV T	3,000.00	42.00	0.00	42.00	100.0	42.00
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$13,000.00	\$252.00	\$0.00	\$252.00		\$252.00

BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255

01/05/2017	MALONEY, JOHN	NEW YORK REIT INC COM	-96,501.00	950.00	13.50	936.50	100.0	936.50
01/05/2017	MALONEY, JOHN	NEW YORK REIT INC COM	-48,201.00	250.00	13.50	236.50	100.0	236.50
01/05/2017	MALONEY, BARBARA	NEW YORK REIT INC COM	-10,593.11	75.00	11.82	63.18	100.0	63.18
01/05/2017	SPODEK, IRA	NEW YORK REIT INC COM	-44,579.54	414.00	13.50	400.50	100.0	400.50
01/05/2017	JANOWSKI, JOSEPH	NEW YORK REIT INC COM	-23,843.59	125.00	12.85	112.15	100.0	112.15
01/05/2017	TRAINOR, EDWARD	NEW YORK REIT INC COM	-94,472.98	950.00	13.50	936.50	100.0	936.50
01/06/2017	ALTMAN, DANIEL	NEW YORK REIT INC COM	-108,680.00	1,050.00	13.50	1,036.50	100.0	1,036.50
01/06/2017	ALTMAN, DANIEL	NEW YORK REIT INC COM	-54,780.17	500.00	13.50	486.50	100.0	486.50
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$-481,651.39	\$4,314.00	\$105.67	\$4,208.33		\$4,208.33

BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256

01/09/2017	MAKRIDES, MARIE	CANOPY GROWTH CORP SHS LKD TO S&P G	2,259.00	15.00	11.24	3.76	100.0	3.76
12/22/2016	DIDOMENICO, JOHN	GPB AUTOMOTIVE PORTFOLIO LP	80,000.00	2,800.00	0.00	2,800.00	100.0	2,800.00
12/28/2016	JOHNSON, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	10,000.00	250.00	11.00	239.00	100.0	239.00
01/05/2017	JOHNSON FAMILY TRUST	NEW YORK REIT INC COM	-26,994.80	200.00	13.10	186.90	100.0	186.90
01/05/2017	WALBURG, DAVID	NEW YORK REIT INC COM	-57,780.60	550.00	13.50	536.50	100.0	536.50
01/05/2017	JOHNSON, JAMES	NEW YORK REIT INC COM	-10,642.67	75.00	11.82	63.18	100.0	63.18
01/05/2017	JOHNSON, GLORIA	NEW YORK REIT INC COM	-10,637.11	75.00	11.83	63.17	100.0	63.17

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
		* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *	\$-13,796.18	\$3,965.00	\$72.49	\$3,892.51		\$3,892.51
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
01/06/2017	CAVEGN, JOSEPH	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	875.00	0.00	875.00	100.0	875.00
01/10/2017	FORRAI, GERALDINE	NORTHSTAR RLTY FIN CORP COM PAR	-63,193.65	250.00	6.75	243.25	100.0	243.25
		* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *	\$-13,193.65	\$1,125.00	\$6.75	\$1,118.25		\$1,118.25
		*** SPLIT TRANSACTIONS TOTAL ***	\$-462,641.22	\$10,646.00	\$184.91	\$10,461.09		\$10,461.09

OVERRIDE TRANSACTIONS

<u>BROKER: JEFFREY KIESNOSKI #243</u>								
01/06/2017	IAQUINTO, TERESA	GPB AUTOMOTIVE PORTFOLIO LP	200,000.00	14,000.00	0.00	14,000.00	94.0	840.00
12/28/2016	CHADWICK, BARBARA	IVY HIGH INCOME OPPORTUNITIES FD CO	-1,614.12	30.00	22.50	7.50	94.0	0.45
		* JEFFREY KIESNOSKI SUBTOTAL *	\$198,385.88	\$14,030.00	\$22.50	\$14,007.50		\$840.45
<u>BROKER: ALAN LICHTENSTEIN #249</u>								
01/11/2017	CHOA, VICTOR	US ENERGY 2016 DRILLING FUND	25,000.00	1,750.00	0.00	1,750.00	75.0	218.75
		* ALAN LICHTENSTEIN SUBTOTAL *	\$25,000.00	\$1,750.00	\$0.00	\$1,750.00		\$218.75
<u>BROKER: MARC LINSKY #263</u>								
12/31/2016	LINSKY, VARIOUS	LFG TRAILS	0.00	23,310.63	0.00	23,310.63	90.0	396.28
12/30/2016	LINSKY, MARC	ALLIANZ HIGH FIVE TRADITIONAL	111,155.90	277.89	0.00	277.89	90.0	4.72
12/30/2016	GALM, KATHLEEN	ALLIANZ HIGH FIVE TRADITIONAL	38,459.00	96.15	0.00	96.15	90.0	1.63
12/30/2016	HIRSHMAN, BETTY	ALLIANZ HIGH FIVE TRADITIONAL	335,426.90	838.57	0.00	838.57	90.0	14.26
12/30/2016	HAMBLETON, JOHN	ALLIANZ HIGH FIVE TRADITIONAL	76,440.03	191.10	0.00	191.10	90.0	3.25
12/30/2016	YANKOWITZ, HARRIETT	ALLIANZ HIGH FIVE TRADITIONAL	25,097.22	62.74	0.00	62.74	90.0	1.07
12/30/2016	DOLIN, RHODA	ALLIANZ HIGH FIVE TRADITIONAL	140,107.92	350.27	0.00	350.27	90.0	5.95
01/03/2017	CHERRY, ADAM	AM FUNDS CAPITAL WORLD GRTH & INC 5	1,000.00	10.00	0.00	10.00	90.0	0.17
01/03/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
12/30/2016	CIBELLI, JANE	AXA ACCUM 04 ELITE (RO IRA)	47,742.36	149.19	0.00	149.19	90.0	2.54
01/05/2017	KRAMER, LARRY	COSTCO WHOLESALE CORP NEW COM	-17,765.26	30.00	22.50	7.50	90.0	0.13
01/09/2017	FLEISCHMAN, RITA	FIRST TR STRATEGIC HIGH INCOME FD I	-1,797.16	30.00	22.50	7.50	90.0	0.13
01/09/2017	FARBMAN, DANIEL	FIRST TR STRATEGIC HIGH INCOME FD I	-3,594.55	30.00	22.50	7.50	90.0	0.13
12/14/2016	HOSID, IRA	GPB AUTOMOTIVE PORTFOLIO LP	200,000.00	14,000.00	0.00	14,000.00	90.0	238.00
12/30/2016	CZERWONKA, REMIGIA	HARTFORD LEADERS OUTLOOK (ILA)	15,110.84	37.78	0.00	37.78	90.0	0.64

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: MARC LINSKY #263								
12/30/2016	KROSNOWSKI, LISA	HARTFORD PHCM V	5,157.12	5.16	0.00	5.16	90.0	0.09
01/04/2017	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	0.36
12/31/2016	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	263,348.48	219.46	0.00	219.46	90.0	3.73
12/31/2016	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	257,315.60	214.43	0.00	214.43	90.0	3.65
12/31/2016	HIRSHMAN, BETTY	JNL PERSPECTIVE L	5,675.71	4.73	0.00	4.73	90.0	0.08
12/31/2016	NANI, JOSEPH	JNL PERSPECTIVE L	404,152.06	336.79	0.00	336.79	90.0	5.73
12/31/2016	FELDNER, BARBARA	JNL PERSPECTIVE L	527,912.90	439.93	0.00	439.93	90.0	7.48
12/31/2016	OTT, CAROL	JOHN HANCOCK VENTURE	14,151.11	2.95	0.00	2.95	90.0	0.05
12/31/2016	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	199,622.25	166.35	0.00	166.35	90.0	2.83
12/27/2016	DORKO, ROSEMARY	METLIFE SHEILD LEVEL SELECTOR EQTY	40,000.00	2,400.00	0.00	2,400.00	90.0	40.80
12/31/2016	BOWERS, DORA	NATIONWIDE DESTINATION AAG AX	103,065.18	64.42	0.00	64.42	90.0	1.10
12/27/2016	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	138.30	0.00	138.30	90.0	2.35
01/09/2017	HASTINGS TURST, OSCAR	PIMCO DYNAMIC CREDIT INCOME FD COM	-8,226.00	30.00	22.60	7.40	90.0	0.13
01/09/2017	FLEISCHMAN, RITA	PIMCO DYNAMIC CREDIT INCOME FD COM	-12,336.84	30.00	22.90	7.10	90.0	0.12
12/31/2016	KROSNOWSKI SR, THOMAS	PRU AS APEX II	10,564.35	26.41	0.00	26.41	90.0	0.45
12/31/2016	KROSNOWSKI SR, THOMAS	PRU AS APEX II	10,564.35	6.60	0.00	6.60	90.0	0.11
12/24/2016	GALERMAN, ALAN	TRANSAMERICA LIBERTY	102,566.16	85.47	0.00	85.47	90.0	1.45
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	8.32	0.00	8.32	90.0	0.14
12/28/2016	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	10.50	0.00	10.50	90.0	0.18
12/28/2016	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	5.25	0.00	5.25	90.0	0.09
/ /	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	0.00	6.10	0.00	6.10	90.0	0.10
12/28/2016	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	200.00	8.00	0.00	8.00	90.0	0.14
* MARC LINSKY SUBTOTAL *			\$2,892,090.63	\$43,655.74	\$113.00	\$43,542.74		\$740.25
*** OVERRIDE TRANSACTIONS TOTAL ***			\$3,115,476.51	\$59,435.74	\$135.50	\$59,300.24		\$1,799.45

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<u>ADJUSTMENTS</u>								
01/17/2017		*EO INS: CURRENT MONTH-INS	0.00					-75.00
01/17/2017		*EO INS: CURRENT MONTH-T THOMPSON	0.00					-45.00
01/17/2017		*FEDERAL EXPRESS: FED EX #565018210	0.00					-399.74
01/17/2017		*FEDERAL EXPRESS: FED EX #565860344	0.00					-202.58
01/17/2017		*MISC: ESNARD ADJUSTMENT	0.00					5,242.97
01/17/2017		*MISC: NELSON ADJUSTMENT	0.00					4,375.00
01/17/2017		*MISC: ROY-AFLAC 1031DST	0.00					1,126.00
01/17/2017		*MISC: ROY, AFLAC, 1031DST	0.00					1,326.00
01/17/2017		*OVERRIDE: BRANCH ADJ-ESNARD & NELS	0.00					-577.08
01/17/2017		*OVERRIDE: BRANCH OVERRIDES	0.00					812.50
01/17/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
01/17/2017		*PERSHING: BOOKS & RECORDS	0.00					-2.25
01/17/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.58
01/17/2017		*PERSHING: MARK UPS	0.00					300.00
01/17/2017		*PERSHING: MARK UPS	0.00					120.00
01/17/2017		*PERSHING: MARK UPS	0.00					90.00
01/17/2017		*PERSHING: MARK UPS	0.00					7.50
01/17/2017		*PERSHING: MF PROSPECTUS	0.00					-2.12
01/17/2017		*PERSHING: MF PROSPECTUS	0.00					-0.39
01/17/2017		*PERSHING: STREAMING QUOTES	0.00					-68.00
01/17/2017		*REGISTRATION FEE: REG FEE-50% PECH	0.00					-128.63
01/17/2017		*TECH: CURRENT MONTH-T THOMPSON	0.00					-41.25
01/17/2017		*TECH: CURRENT MONTH-TECH	0.00					-68.75
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$11,786.10

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BROKER COMMISSION TOTALS

Broker Transactions	\$3,850.23
Split Transactions	\$10,461.09
Override Transactions	\$1,799.45
Adjustments	\$11,786.10
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$27,896.87
Year-to-date Gross	\$14,731.10
Year-to-date Earnings	\$16,110.77