



Concorde Investment Services, LLC

03/13/2018

Page No. 1

# COMMISSION STATEMENT

March 15, 2018

JOEL, W143 WOODS  
1412 Blue Quail Run

BROKER #: 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>PRODUCT CATEGORY: REIT</b>								
02/09/2018	PHIPPS, CHRISTEEN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.86	0.00	13.86	92.0	12.75
02/09/2018	PHIPPS, LESLIE	CARTER VALIDUS MC REIT II CLASS T	0.00	29.46	0.00	29.46	92.0	27.10
02/09/2018	SHERRIEB, HAROLD	CARTER VALIDUS MC REIT II CLASS T	0.00	64.98	0.00	64.98	92.0	59.78
02/09/2018	MCELVAIN, TED	CARTER VALIDUS MC REIT II CLASS T	0.00	9.89	0.00	9.89	92.0	9.10
02/09/2018	HINCKLEY, CYNTHIA	CARTER VALIDUS MC REIT II CLASS T	0.00	2.58	0.00	2.58	92.0	2.37
02/09/2018	HINCKLEY, BRYAN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.32	0.00	13.32	92.0	12.25
<b>* REIT SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$134.09</b>	<b>\$0.00</b>	<b>\$134.09</b>		<b>\$123.35</b>
<b>PRODUCT CATEGORY: INTERVAL FUNDS</b>								
02/27/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND A	62,378.69	13.24	0.00	13.24	92.0	12.18
02/01/2018	TOMLINSON, HAROLD	BR TOTAL INC & REAL ESTATE FUND C	1,000.00	10.00	0.00	10.00	92.0	9.20
02/27/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND C	16,087.12	13.67	0.00	13.67	92.0	12.58
02/27/2018	EUBANKS, MILDRED	BR TOTAL INC & REAL ESTATE FUND C	20,008.34	17.00	0.00	17.00	92.0	15.64
02/27/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	13,802.55	11.72	0.00	11.72	92.0	10.78
02/27/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND C	16,238.32	13.79	0.00	13.79	92.0	12.69
02/27/2018	OXFORD, RONALD	BR TOTAL INC & REAL ESTATE FUND C	25,019.16	21.25	0.00	21.25	92.0	19.55
02/27/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	75,184.91	63.85	0.00	63.85	92.0	58.74
02/27/2018	MIRES, LINDA K OXFORD-	BR TOTAL INC & REAL ESTATE FUND C	24,975.54	21.21	0.00	21.21	92.0	19.51
02/27/2018	RECTOR, RICHARD	BR TOTAL INC & REAL ESTATE FUND C	19,966.49	16.96	0.00	16.96	92.0	15.60
02/27/2018	LYBBERT, BLAIR	BR TOTAL INC & REAL ESTATE FUND C	43,226.61	36.71	0.00	36.71	92.0	33.77
02/27/2018	PERRY CHILD TRUST, RUDOLPH	BR TOTAL INC & REAL ESTATE FUND C	11,094.72	9.43	0.00	9.43	92.0	8.68
02/27/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	4,115.19	3.49	0.00	3.49	92.0	3.21
02/27/2018	THREADGILL, VICKY	BR TOTAL INC & REAL ESTATE FUND C	3,085.25	2.63	0.00	2.63	92.0	2.42
02/27/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	29,856.10	25.36	0.00	25.36	92.0	23.33
<b>* INTERVAL FUNDS SUBTOTAL *</b>			<b>\$366,038.99</b>	<b>\$280.31</b>	<b>\$0.00</b>	<b>\$280.31</b>		<b>\$257.88</b>

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
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
02/15/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	300.00	3.00	0.00	3.00	90.0	2.70
03/02/2018	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
02/28/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
03/01/2018	ST JOHN, FINN	COLLEGE 2033 FUND-529A	100.00	3.50	0.00	3.50	90.0	3.15
03/01/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
/ /	AMOS, ALEXANDER	FA 529 COLLEGE PORT OLD CL A	0.00	14.97	0.00	14.97	90.0	13.47
/ /	AMOS, ALEXANDER	FA 529 COLLEGE PORT OLD CL A	0.00	16.06	0.00	16.06	90.0	14.45
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$545.00</b>	<b>\$44.48</b>	<b>\$0.00</b>	<b>\$44.48</b>		<b>\$40.04</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/09/2018	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.73	0.00	8.73	90.0	7.86
02/09/2018	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.94	0.00	7.94	90.0	7.15
02/09/2018	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	6.51	0.00	6.51	90.0	5.86
02/09/2018	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	12.48	0.00	12.48	90.0	11.23
02/09/2018	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	6.05	0.00	6.05	90.0	5.45
02/26/2018	HAMPTON, JARROTT	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
02/09/2018	CROSS, BETTY	MFS UTILITIES A	0.00	1.89	0.00	1.89	90.0	1.70
02/09/2018	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	4.44	0.00	4.44	90.0	4.00
02/09/2018	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	5.75	0.00	5.75	90.0	5.18
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$50.00</b>	<b>\$54.29</b>	<b>\$0.00</b>	<b>\$54.29</b>		<b>\$48.88</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
02/14/2018	TMICO TRUST CO	CRESTWOOD EQUITY PARTNERS LP	1,970.25	50.00	22.00	28.00	90.0	25.20
02/22/2018	TMICO TRUST CO	PREFERRED APT CMNTYS INC COM	11,745.20	75.00	22.00	53.00	90.0	47.70
02/14/2018	TMICO TRUST CO	UNITED DEVELOPMENT FUNDING IV	753.30	50.00	22.00	28.00	90.0	25.20
<b>* STOCKS SUBTOTAL *</b>			<b>\$14,468.75</b>	<b>\$175.00</b>	<b>\$66.00</b>	<b>\$109.00</b>		<b>\$98.10</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/26/2018	HEFLIN, HEATH	AXA SABSHRSTRU CAPITAL ST B	11,400.00	570.00	0.00	570.00	90.0	513.00
02/26/2018	LAMPRECHT, MARY	AXA SABSHRSTRU CAPITAL ST B	8,800.00	440.00	0.00	440.00	90.0	396.00
02/28/2018	NORRIS, JERRY	JNL PERSPECTIVE	11,554.32	2.41	0.00	2.41	90.0	2.17
02/28/2018	HENSLEE, CHARLES	JNL PERSPECTIVE	10,184.88	2.12	0.00	2.12	90.0	1.91
02/28/2018	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	102,098.23	42.54	0.00	42.54	90.0	38.29
02/28/2018	CADY, KENDA	JNL PERSPECTIVE L	30,416.95	32.95	0.00	32.95	90.0	29.66
02/28/2018	HEIL, ROBERT	JNL PERSPECTIVE L	60,980.76	66.06	0.00	66.06	90.0	59.45

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/28/2018	PARKIN, DAVID	JNL PERSPECTIVE L	63,892.74	69.22	0.00	69.22	90.0	62.30
02/28/2018	TOMLINSON, HAROLD	JNL PERSPECTIVE L	111,737.07	121.05	0.00	121.05	90.0	108.95
02/28/2018	MARKS, FRANCES	JNL PERSPECTIVE L	42,587.00	46.14	0.00	46.14	90.0	41.53
02/28/2018	MARKS, RICHARD	JNL PERSPECTIVE L	42,715.74	46.28	0.00	46.28	90.0	41.65
02/28/2018	SENESE, CATHERINE	JNL PERSPECTIVE L	6,247.85	6.77	0.00	6.77	90.0	6.09
02/28/2018	HARVEY, HELEN	JNL PERSPECTIVE L	79,417.77	86.04	0.00	86.04	90.0	77.44
02/28/2018	SENESE, CARMEN	JNL PERSPECTIVE L	20,343.83	22.04	0.00	22.04	90.0	19.84
02/28/2018	HARVEY, JESSE	JNL PERSPECTIVE L	97,871.02	106.03	0.00	106.03	90.0	95.43
02/28/2018	IRBY, MALCOLM DON & E	JNL PERSPECTIVE L	19,625.08	21.26	0.00	21.26	90.0	19.13
02/28/2018	PERRY, JANINE	JNL PERSPECTIVE L	18,972.24	20.55	0.00	20.55	90.0	18.50
02/28/2018	LILES, ROBERT	JOHN HANCOCK VENTURE III	180,198.10	150.17	0.00	150.17	90.0	135.15
02/28/2018	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	70,967.89	59.14	0.00	59.14	90.0	53.23
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$990,011.47</b>	<b>\$1,910.77</b>	<b>\$0.00</b>	<b>\$1,910.77</b>		<b>\$1,719.72</b>

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

03/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2018	SHAW, DEBRA	AM FUNDS AMERICAN BALANCED 529A	0.00	2.06	0.00	2.06	90.0	1.85
03/01/2018	KOSLA, EVA	AM FUNDS AMERICAN BALANCED 529A	0.00	22.68	0.00	22.68	90.0	20.41
03/01/2018	PERRY, JANINE	AM FUNDS AMERICAN BALANCED C	0.00	3.96	0.00	3.96	90.0	3.56
03/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.02	0.00	3.02	90.0	2.72
03/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.51	0.00	0.51	90.0	0.46
03/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	3.00	0.00	3.00	90.0	2.70
03/01/2018	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.52	0.00	2.52	90.0	2.27
03/01/2018	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.38	0.00	1.38	90.0	1.24
03/01/2018	KOSLA, EVA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.85	0.00	8.85	90.0	7.97
03/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.21	0.00	2.21	90.0	1.99
03/01/2018	TURNER, CATALINA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.65	0.00	1.65	90.0	1.49
03/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2018	KOSLA, EVA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	16.74	0.00	16.74	90.0	15.07
03/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.93	0.00	2.93	90.0	2.64
03/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.96	0.00	0.96	90.0	0.86

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/01/2018	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.67	0.00	3.67	90.0	3.30
03/01/2018	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.64	0.00	0.64	90.0	0.58
03/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2018	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.33	0.00	3.33	90.0	3.00
03/01/2018	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.33	0.00	3.33	90.0	3.00
03/01/2018	MURPHY, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.48	0.00	11.48	90.0	10.33
03/01/2018	CONTRERAS, COURTNEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.59	0.00	4.59	90.0	4.13
03/01/2018	PERRY, JANINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.94	0.00	2.94	90.0	2.65
03/01/2018	WILSON, TED	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	18.46	0.00	18.46	90.0	16.61
03/01/2018	PERRY, JANINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	90.0	0.77
03/01/2018	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.75	0.00	3.75	90.0	3.38
03/01/2018	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.14	0.00	2.14	90.0	1.93
03/01/2018	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2018	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2018	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.73	0.00	3.73	90.0	3.36
03/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.66	0.00	2.66	90.0	2.39
03/01/2018	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.86	0.00	1.86	90.0	1.67
03/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.12	0.00	1.12	90.0	1.01
03/01/2018	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2018	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.64	0.00	3.64	90.0	3.28
03/01/2018	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.94	0.00	1.94	90.0	1.75
03/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2018	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.47	0.00	3.47	90.0	3.12
03/01/2018	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.47	0.00	3.47	90.0	3.12
03/01/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.99	0.00	19.99	90.0	17.99
03/01/2018	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.66	0.00	5.66	90.0	5.09
03/01/2018	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.00	0.00	4.00	90.0	3.60
03/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	6.11	0.00	6.11	90.0	5.50
03/01/2018	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	3.34	0.00	3.34	90.0	3.01

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
03/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2018	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	2.80	0.00	2.80	90.0	2.52
03/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	1.11	0.00	1.11	90.0	1.00
03/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	1.03	0.00	1.03	90.0	0.93
03/01/2018	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2018	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	1.50	0.00	1.50	90.0	1.35
03/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2018	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.44	0.00	3.44	90.0	3.10
03/01/2018	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.44	0.00	3.44	90.0	3.10
03/01/2018	CONTRERAS, COURTNEY	AM FUNDS ICA A	0.00	5.45	0.00	5.45	90.0	4.91
03/01/2018	PERRY, JANINE	AM FUNDS ICA C	0.00	5.26	0.00	5.26	90.0	4.73
03/01/2018	PERRY, JANINE	AM FUNDS ICA F1	0.00	3.48	0.00	3.48	90.0	3.13
03/01/2018	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.55	0.00	0.55	90.0	0.50
03/01/2018	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2018	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.37	0.00	3.37	90.0	3.03
03/01/2018	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.37	0.00	3.37	90.0	3.03
03/01/2018	MURPHY, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.92	0.00	17.92	90.0	16.13
03/01/2018	PERRY, JANINE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	3.03	0.00	3.03	90.0	2.73
03/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	11.64	0.00	11.64	90.0	10.48
03/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	11.64	0.00	11.64	90.0	10.48
03/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	23.92	0.00	23.92	90.0	21.53
03/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	2.89	0.00	2.89	90.0	2.60
03/01/2018	ST JOHN, FINN	COLLEGE 2033 FUND-529A	0.00	1.36	0.00	1.36	90.0	1.22
03/01/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	WESTMORELAND, SUSAN	FIDELITY ADV SHORT TERM BOND CL A	0.00	0.72	0.00	0.72	90.0	0.65
/ /	RECTOR, ABIGAIL	JH 529 PORT 2017-2020 A	0.00	1.34	0.00	1.34	90.0	1.21
/ /	RECTOR, MADELINE	JH 529 PORT 2017-2020 A	0.00	1.34	0.00	1.34	90.0	1.21
03/02/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.18	0.00	4.18	90.0	3.76
03/02/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	15.48	0.00	15.48	90.0	13.93
03/02/2018	PERRY CHILD TRUST, RUDOLPH	TRANSAMERICA MLP & ENERGY INC - C	0.00	11.84	0.00	11.84	90.0	10.66
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$353.81</b>	<b>\$0.00</b>	<b>\$353.81</b>		<b>\$318.51</b>

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

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^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
02/26/2018	GORDON, JEFFREY	PAC LIFE 69448B175	0.00	232.76	0.00	232.76	90.0	209.48
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$232.76	\$0.00	\$232.76		\$209.48
*** DIRECT TRANSACTIONS TOTAL ***			\$1,371,114.21	\$3,185.51	\$66.00	\$3,119.51		\$2,815.96

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

03/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	0.00	2.05	0.00	2.05	48.0	0.86
03/01/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	0.00	0.92	0.00	0.92	48.0	0.39
03/01/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN BALANCED A	0.00	4.85	0.00	4.85	48.0	2.04
03/01/2018	BOWLAND, TERRI	AM FUNDS AMERICAN BALANCED A	0.00	7.47	0.00	7.47	48.0	3.14
03/01/2018	SCHONFELD, NANCY	AM FUNDS AMERICAN BALANCED A	0.00	3.88	0.00	3.88	48.0	1.63
02/09/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.49	0.00	4.49	48.0	1.89
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	0.00	1.97	0.00	1.97	48.0	0.83
02/09/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
02/09/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
03/01/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.18	0.00	1.18	48.0	0.50
03/01/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.83	0.00	3.83	48.0	1.61
02/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.85	0.00	6.85	48.0	2.88
03/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	CA/TOD, KAI-LI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.31	0.00	4.31	48.0	1.81
03/01/2018	SCHONFELD, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.43	0.00	2.43	48.0	1.02
03/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	48.0	0.35
02/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.79	0.00	3.79	48.0	1.59
02/09/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	48.0	0.25
03/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	CA/TOD, KAI-LI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.56	0.00	4.56	48.0	1.92
03/01/2018	SCHONFELD, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	48.0	1.24
03/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	48.0	0.39
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARK-S141 REG SMITH #367</u></b>								
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.80	0.00	1.80	48.0	0.76
02/09/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.78	0.00	1.78	48.0	0.75
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.14	0.00	2.14	48.0	0.90
03/01/2018	STEPHENS, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.54	0.00	8.54	48.0	3.59
02/09/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	48.0	0.24
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
03/01/2018	BOWLAND, BOBBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.96	0.00	3.96	48.0	1.66
03/01/2018	BOWLAND, TERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.07	0.00	6.07	48.0	2.55
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.24	0.00	2.24	48.0	0.94
03/01/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.97	0.00	0.97	48.0	0.41
03/01/2018	STEPHENS, BRAZOS	AM FUNDS GROWTH PORT 529A	0.00	10.36	0.00	10.36	48.0	4.35
03/01/2018	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	0.00	6.80	0.00	6.80	48.0	2.86
02/09/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.41	0.00	4.41	48.0	1.85
02/09/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.58	0.00	0.58	48.0	0.24
03/01/2018	MOLINA, JEREMY	AM FUNDS ICA A	0.00	11.31	0.00	11.31	48.0	4.75
03/01/2018	MCGINNIS, KANDACE	AM FUNDS ICA A	0.00	7.98	0.00	7.98	48.0	3.35
02/09/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
02/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
02/09/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.25	0.00	2.25	48.0	0.95
02/09/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.65	0.00	3.65	48.0	1.53
02/09/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.57	0.00	0.57	48.0	0.24
02/09/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
02/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
02/09/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.23	0.00	0.23	48.0	0.10
02/09/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.09
03/01/2018	BOWLAND, BOBBY	AM FUNDS NEW PERSPECTIVE A	0.00	3.76	0.00	3.76	48.0	1.58
03/01/2018	BOWLAND, TERRI	AM FUNDS NEW PERSPECTIVE A	0.00	5.42	0.00	5.42	48.0	2.28
03/01/2018	MOLINA, JEREMY	AM FUNDS NEW PERSPECTIVE A	0.00	4.33	0.00	4.33	48.0	1.82
03/01/2018	MCGINNIS, KANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	3.24	0.00	3.24	48.0	1.36
03/01/2018	VOORHEES, CLIFFORD	AM FUNDS PRESERVATION PORT A	0.00	12.02	0.00	12.02	48.0	5.05
03/01/2018	VOORHEES, CINDY	AM FUNDS PRESERVATION PORT A	0.00	12.03	0.00	12.03	48.0	5.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u> BROKER: MARK-S141 REG SMITH #367 </u></b>								
03/01/2018	JOHNSON, FRANKLIN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.81	0.00	0.81	48.0	0.34
03/01/2018	MOLINA, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.04	0.00	6.04	48.0	2.54
03/01/2018	MCGINNIS, KANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.06	0.00	4.06	48.0	1.71
03/01/2018	WILLIAMS, JUANA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	4.13	0.00	4.13	48.0	1.73
02/27/2018	CORLEY, WILBUR	BR TOTAL INC & REAL ESTATE FUND A	20,481.84	4.35	0.00	4.35	0.0	1.83
02/28/2018	BRIDGES, JANIS	JNL ELITE ACCESS	107,367.29	89.47	0.00	89.47	48.0	37.58
02/28/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	77,545.40	16.16	0.00	16.16	48.0	6.79
02/28/2018	CROWTHER, JOHN	JNL ELITE ACCESS	59,921.94	12.48	0.00	12.48	48.0	5.24
02/28/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	31,070.49	33.66	0.00	33.66	48.0	14.14
02/28/2018	REEDER, WESLEY	JNL PERSPECTIVE L	18,129.28	19.64	0.00	19.64	48.0	8.25
02/28/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	37,416.95	40.54	0.00	40.54	48.0	17.03
02/28/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	50,395.18	42.00	0.00	42.00	48.0	17.64
02/28/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	37,027.60	40.11	0.00	40.11	48.0	16.85
02/28/2018	WALLACE, DEBORREH	JNL PERSPECTIVE L	85,711.04	71.43	0.00	71.43	48.0	30.00
02/28/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,894.67	25.75	0.00	25.75	48.0	10.82
02/09/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.67	0.00	0.67	48.0	0.28
02/09/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	1.00	0.00	1.00	48.0	0.42
/ /	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	0.08	0.00	0.08	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.06	0.00	0.06	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.04	0.00	0.04	48.0	0.02
02/27/2018	BURNS, ANNE	SEC BEN 814121158	37,569.44	31.30	0.00	31.30	48.0	13.15
03/02/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	9.78	0.00	9.78	48.0	4.11
03/02/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	2.86	0.00	2.86	48.0	1.20
03/02/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	3.92	0.00	3.92	48.0	1.65
<b> * MARK-S141 REG SMITH SUBTOTAL * </b>			<b>\$593,981.12</b>	<b>\$658.62</b>	<b>\$0.00</b>	<b>\$658.62</b>		<b>\$276.70</b>
<b><u> BROKER: MARK-S142 ALTS SMITH #368 </u></b>								
02/27/2018	ORR, PATRICIA	BR TOTAL INC & REAL ESTATE FUND A	8,109.20	1.72	0.00	1.72	49.0	0.74
02/27/2018	BONGIORNO, VALERIE	BR TOTAL INC & REAL ESTATE FUND A	1,047.05	0.22	0.00	0.22	49.0	0.09
02/27/2018	WILSON TRUST, WOODROW & JOANN	BR TOTAL INC & REAL ESTATE FUND A	10,211.00	2.17	0.00	2.17	49.0	0.93
02/27/2018	SPENCER, HAROLD	BR TOTAL INC & REAL ESTATE FUND A	22,603.04	4.80	0.00	4.80	49.0	2.06
02/27/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	38,971.88	33.09	0.00	33.09	49.0	14.23
02/27/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	33,582.61	28.52	0.00	28.52	49.0	12.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>VERRIDE TRANSACTIONS</u></b>								
<b><u>BROKER: MARK-S142 ALTS SMITH #368</u></b>								
02/27/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	21,635.92	18.37	0.00	18.37	49.0	7.90
02/27/2018	WISE TRUST, LUCILE	BR TOTAL INC & REAL ESTATE FUND C	19,945.64	16.95	0.00	16.95	49.0	7.29
<b>* MARK-S142 ALTS SMITH SUBTOTAL *</b>			<b>\$156,106.34</b>	<b>\$105.84</b>	<b>\$0.00</b>	<b>\$105.84</b>		<b>\$45.50</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$750,087.46</b>	<b>\$764.46</b>	<b>\$0.00</b>	<b>\$764.46</b>		<b>\$322.20</b>

**ADJUSTMENTS**

03/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
03/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
03/15/2018		*LASER APP: CURRENT MONTH	0.00					-18.00
03/15/2018		*RBC: WEALTH STATION	0.00					-25.00
03/15/2018		*TECH: CURRENT MONTH BASIC	0.00					-180.00
03/15/2018		*TECHNOLOGY: ADMIN - CHRISTINA POOL	0.00					-130.00
03/15/2018		*TECHNOLOGY: ADMIN - JAMIE CONDRAY	0.00					-130.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-790.00</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,815.96
Split Transactions	\$0.00
Override Transactions	\$322.20
Adjustments	\$-790.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,348.16
Year-to-date Gross	\$33,717.35
Year-to-date Earnings	\$40,507.47