



Concorde Investment Services, LLC

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

L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/FCCU  
11617 Coldwater Road  
Suite 103  
Fort Wayne, IN 46845

**BROKER #: L131**  
**BRANCH: APPLE TREE FINANCIAL**

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
^08/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	300.00	11.25	0.00	11.25	90.0	0.00
^08/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	207.69	7.79	0.00	7.79	90.0	0.00
^08/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	200.61	7.52	0.00	7.52	90.0	0.00
^08/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	200.61	7.52	0.00	7.52	90.0	0.00
^08/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	415.38	15.58	0.00	15.58	90.0	0.00
^08/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	207.69	7.79	0.00	7.79	90.0	0.00
^08/31/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^09/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	0.00
^08/28/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	25.00	1.25	0.00	1.25	90.0	0.00
^08/28/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	-25.00	-1.25	0.00	-1.25	90.0	0.00
^09/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	0.00
^08/28/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	0.00
^08/28/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.25	0.00	1.25	90.0	0.00
^08/28/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	-25.00	-1.25	0.00	-1.25	90.0	0.00
^08/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	17.50	0.00	17.50	90.0	0.00
^09/06/2017	JUNOD, BARBARA	AMERICAN FUNDS STRATEGIC BOND FUND	-2,971.03	22.00	22.00	0.00	90.0	0.00
^08/31/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.30	0.00	0.30	90.0	0.00
^09/08/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^09/08/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^09/01/2017	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	50.00	1.63	0.00	1.63	90.0	0.00
^09/08/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.39	0.00	0.39	90.0	0.00
^08/31/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.70	0.00	0.70	90.0	0.00
^09/08/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.27	0.00	0.27	90.0	0.00
^08/31/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	1.19	0.00	1.19	90.0	0.00
^08/31/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.70	0.00	0.70	90.0	0.00
^08/31/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	0.00

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
 \*\* - Indicates adjustment is not included in Totals or Commissions  
 ^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>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
^09/08/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	0.00
^09/08/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	1.83	0.00	1.83	90.0	0.00
^09/08/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^09/08/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^08/31/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.30	0.00	0.30	90.0	0.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$-309.05</b>	<b>\$122.52</b>	<b>\$22.00</b>	<b>\$100.52</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
^08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.66	0.00	0.66	90.0	0.00
^08/15/2017	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	90.0	0.00
^08/15/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	90.0	0.00
^08/15/2017	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	90.0	0.00
^08/15/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.24	0.00	0.24	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.62	0.00	0.62	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.54	0.00	0.54	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.52	0.00	0.52	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.73	0.00	0.73	90.0	0.00
^08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.00
^08/17/2017	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	3.01	0.00	3.01	90.0	0.00
^08/17/2017	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	12.52	0.00	12.52	90.0	0.00
^08/21/2017	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.52	0.00	0.52	90.0	0.00
^08/21/2017	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	1.84	0.00	1.84	90.0	0.00
^08/21/2017	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	3.76	0.00	3.76	90.0	0.00
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$28.01</b>	<b>\$0.00</b>	<b>\$28.01</b>		<b>\$0.00</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$-309.05</b>	<b>\$150.53</b>	<b>\$22.00</b>	<b>\$128.53</b>		<b>\$0.00</b>

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

\*\* - Indicates adjustment is not included in Totals or Commissions

^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>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/</u></b>		<b><u>#209</u></b>						
08/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	300.00	3.38	0.00	3.38	90.0	3.04
08/31/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	207.69	2.34	0.00	2.34	90.0	2.11
08/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	200.61	2.26	0.00	2.26	90.0	2.03
08/31/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	200.61	2.26	0.00	2.26	90.0	2.03
08/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	415.38	4.67	0.00	4.67	90.0	4.20
08/31/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	207.69	2.34	0.00	2.34	90.0	2.11
08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
08/15/2017	COOK, JEANNIE	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
08/15/2017	SORG, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
08/15/2017	SORG, MAURICE	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	90.0	0.32
08/15/2017	CRAWFORD, GERALD	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	90.0	0.06
08/31/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
09/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	50.00	0.75	0.00	0.75	90.0	0.68
08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.19	0.00	0.19	90.0	0.17
08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	90.0	0.10
08/28/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	25.00	0.38	0.00	0.38	90.0	0.34
08/28/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	-25.00	-0.38	0.00	-0.38	90.0	-0.34
08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	90.0	0.14
09/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	0.75	0.00	0.75	90.0	0.68
08/15/2017	BRAUTZSCH, CHRIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.14	0.00	0.14	90.0	0.13
08/28/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	0.75	0.00	0.75	90.0	0.68
08/28/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	25.00	0.38	0.00	0.38	90.0	0.34
08/28/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	-25.00	-0.38	0.00	-0.38	90.0	-0.34
08/30/2017	RABER, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	350.00	5.25	0.00	5.25	90.0	4.73
08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.22	0.00	0.22	90.0	0.20
08/15/2017	BRAUTZSCH, CHRISTINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.15	0.00	0.15	90.0	0.14
09/06/2017	JUNOD, BARBARA	AMERICAN FUNDS STRATEGIC BOND FUND	-2,971.03	6.60	6.60	0.00	90.0	0.00
08/31/2017	HABESHY, BARBARA	ASCENSUS INA BLACKROCK LG CAP VALUE	30.00	0.09	0.00	0.09	90.0	0.08
09/08/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
09/08/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
09/01/2017	SITES, EDWARD	ASCENSUS INA COLLEGE PORTFOLIO CL A	50.00	0.49	0.00	0.49	90.0	0.44
09/08/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.12	0.00	0.12	90.0	0.11

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\*\* - Indicates adjustment is not included in Totals or Commissions

^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>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</b>								
08/31/2017	HABESHY, BARBARA	ASCENSUS INA PIMCO TOTAL RETURN POR	70.00	0.21	0.00	0.21	90.0	0.19
09/08/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.08	0.00	0.08	90.0	0.07
08/31/2017	PETERSON, BRYAN	ASCENSUS INA T ROWE PRICE LG CAP GR	25.00	0.36	0.00	0.36	90.0	0.32
08/31/2017	HABESHY, BARBARA	ASCENSUS INA TIPS INDEX PORTFOLIO C	70.00	0.21	0.00	0.21	90.0	0.19
08/31/2017	PETERSON, BRYAN	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.36	0.00	0.36	90.0	0.32
09/08/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.36	0.00	0.36	90.0	0.32
09/08/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.55	0.00	0.55	90.0	0.50
09/08/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
09/08/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
08/17/2017	FLECK, KATHIE	FEDERATED KAUFMANN FUND A	0.00	0.90	0.00	0.90	90.0	0.81
08/17/2017	FLECK, KATHIE	FIDELITY ADV NEW INSIGHTS C	0.00	3.76	0.00	3.76	90.0	3.38
08/21/2017	FLECK, KATHIE	FIRST EAGLE GLOBAL FUND CL A	0.00	0.16	0.00	0.16	90.0	0.14
08/21/2017	FLECK, KATHIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.55	0.00	0.55	90.0	0.50
08/31/2017	HABESHY, BARBARA	INA T ROWE PRICE LARGE CAP GR CLASS	30.00	0.09	0.00	0.09	90.0	0.08
08/21/2017	BROCKMYER, PHYLLIS	PIMCO INCOME FUND C	0.00	1.13	0.00	1.13	90.0	1.02
* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *			\$-309.05	\$45.20	\$6.60	\$38.60		\$34.75
*** SPLIT TRANSACTIONS TOTAL ***			\$-309.05	\$45.20	\$6.60	\$38.60		\$34.75

**ADJUSTMENTS**

09/15/2017	*PERSHING: BOOKS & RECORDS	0.00						0.00
09/15/2017	*PERSHING: BOOKS & RECORDS	0.00						-3.42
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-3.42

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$0.00
Split Transactions	\$34.75
Override Transactions	\$0.00
Adjustments	\$-3.42
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$38.17
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$69.50</b>
<b>Year-to-date Gross</b>	<b>\$1,398.48</b>
<b>Year-to-date Earnings</b>	<b>\$1,128.45</b>