



Concorde Investment Services, LLC
COMMISSION STATEMENT
August 31, 2017

08/29/2017
Page No. 1

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: PRIVATE PLACEMENT</u> | | | | | | | | |
| 08/09/2017 | CHAUZA, ROGER | COTTONWOOD RESIDENTIAL 2016 PREFR'D | 53,000.00 | 3,710.00 | 0.00 | 3,710.00 | 92.0 | 3,413.20 |
| 08/15/2017 | BARFIELD, RONALD | GPB WASTE MANAGEMENT LP | 10,000.00 | 700.00 | 0.00 | 700.00 | 92.0 | 644.00 |
| * PRIVATE PLACEMENT SUBTOTAL * | | | \$63,000.00 | \$4,410.00 | \$0.00 | \$4,410.00 | | \$4,057.20 |
| <u>PRODUCT CATEGORY: REIT</u> | | | | | | | | |
| 08/11/2017 | PHIPPS, CHRISTEEN | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 13.70 | 0.00 | 13.70 | 92.0 | 12.60 |
| 08/11/2017 | PHIPPS, LESLIE | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 29.10 | 0.00 | 29.10 | 92.0 | 26.77 |
| 08/11/2017 | SHERRIEB, HAROLD | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 64.20 | 0.00 | 64.20 | 92.0 | 59.06 |
| 08/11/2017 | MCELVAIN, TED | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 9.77 | 0.00 | 9.77 | 92.0 | 8.99 |
| 08/11/2017 | HINCKLEY, CYNTHIA | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 2.55 | 0.00 | 2.55 | 92.0 | 2.35 |
| 08/11/2017 | HINCKLEY, BRYAN | CARTER VALIDUS MC REIT II CLASS T | 0.00 | 13.16 | 0.00 | 13.16 | 92.0 | 12.11 |
| * REIT SUBTOTAL * | | | \$0.00 | \$132.48 | \$0.00 | \$132.48 | | \$121.88 |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 08/01/2017 | TOMLINSON, HAROLD | BR TOTAL INC & REAL ESTATE FUND C | 1,000.00 | 10.00 | 0.00 | 10.00 | 0.0 | 0.00 |
| * INTERVAL FUNDS SUBTOTAL * | | | \$1,000.00 | \$10.00 | \$0.00 | \$10.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS AMERICAN MUTUAL 529A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS AMERICAN MUTUAL 529A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS AMERICAN MUTUAL A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/15/2017 | GARCIA, SUSAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 08/10/2017 | ST JOHN, FINN | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 08/25/2017 | GRAVES, BENJAMIN | AMERICAN FUNDS COLLEGE 2033 FUND-52 | 40.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 08/09/2017 | MCELVAIN, TED | INVESCO BALANCED-RISK ALLOCATION-C | 125.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 08/09/2017 | MCELVAIN, TED | INVESCO BALANCED-RISK ALLOCATION-C | 75.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |

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 |
|---------------------------------------|---------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 08/09/2017 | BURTS, TERRY | INVESCO BALANCED-RISK ALLOCATION-C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/09/2017 | BURTS, TERRY | INVESCO BALANCED-RISK ALLOCATION-C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/11/2017 | MCELVAIN, TED | INVESCO BALANCED-RISK ALLOCATION-C | 125.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| 08/11/2017 | MCELVAIN, TED | INVESCO BALANCED-RISK ALLOCATION-C | 75.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 08/11/2017 | BURTS, TERRY | INVESCO BALANCED-RISK ALLOCATION-C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 08/11/2017 | BURTS, TERRY | INVESCO BALANCED-RISK ALLOCATION-C | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$990.00 | \$24.53 | \$0.00 | \$24.53 | | \$22.10 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$64,990.00 | \$4,577.01 | \$0.00 | \$4,577.01 | | \$4,201.18 |

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

| | | | | | | | | |
|-------------------------------------|-----------------------|------------------------------|---------|--------|--------|--------|------|--------|
| 08/15/2017 | UNTIL AGE 21, TX/UTMA | AM FUNDS GROWTH PORT A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 0.89 |
| / / | 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 | 0.09 | 0.00 | 0.09 | 48.0 | 0.04 |
| / / | BONGIORNO, JANET | RYDEX GUGGENHEIM UTILITIES A | 0.00 | 0.07 | 0.00 | 0.07 | 48.0 | 0.03 |
| / / | BONGIORNO, JANET | RYDEX HEALTH CARE-A | 0.00 | 0.05 | 0.00 | 0.05 | 48.0 | 0.02 |
| * MARK-S141 REG SMITH SUBTOTAL * | | | \$50.00 | \$2.38 | \$0.00 | \$2.38 | | \$1.00 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$50.00 | \$2.38 | \$0.00 | \$2.38 | | \$1.00 |

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$4,201.18 |
| Split Transactions | \$0.00 |
| Override Transactions | \$1.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$4,202.18 |
| Year-to-date Gross | \$52,898.86 |
| Year-to-date Earnings | \$87,695.39 |