



Concorde Investment Services, LLC
COMMISSION STATEMENT
July 15, 2018

07/16/2018
Page No. 1

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
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/08/2018	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.60	0.00	8.60	90.0	7.74
06/11/2018	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.70	0.00	7.70	90.0	6.93
06/11/2018	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	6.02	0.00	6.02	90.0	5.42
06/11/2018	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	12.26	0.00	12.26	90.0	11.03
06/11/2018	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	6.19	0.00	6.19	90.0	5.57
06/11/2018	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	3.65	0.00	3.65	90.0	3.29
06/11/2018	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	5.30	0.00	5.30	90.0	4.77
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$49.72	\$0.00	\$49.72		\$44.75
<u>PRODUCT CATEGORY: STOCKS</u>								
05/18/2018	CARROLL, JAMES	CIM COML TR CORP	-21,700.00	-1,356.25	6.00	-1,362.25	90.0	-1,226.03
05/18/2018	CARROLL, JAMES	CIM COML TR CORP	21,700.00	1,085.00	22.00	1,063.00	90.0	956.70
05/18/2018	HEIHN, DELTON	CIM COML TR CORP	-10,475.00	-654.69	6.00	-660.69	90.0	-594.62
05/18/2018	HEIHN, DELTON	CIM COML TR CORP	10,475.00	523.75	22.00	501.75	90.0	451.58
06/22/2018	HICKMAN, FRANCES	CIM COML TR CORP	8.00	0.00	22.00	-22.00	90.0	-19.80
06/22/2018	LAM, GENE	CIM COML TR CORP	11.08	0.00	22.00	-22.00	90.0	-19.80
06/22/2018	HICKMAN, FRANCES	CIM COML TR CORP	20,000.00	1,000.00	22.00	978.00	90.0	880.20
06/22/2018	LAM, GENE	CIM COML TR CORP	27,700.00	1,385.00	22.00	1,363.00	90.0	1,226.70
* STOCKS SUBTOTAL *			\$47,719.08	\$1,982.81	\$144.00	\$1,838.81		\$1,654.93
*** CLEARING TRANSACTIONS TOTAL ***			\$47,719.08	\$2,032.53	\$144.00	\$1,888.53		\$1,699.68

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
06/27/2018	SENESE, CARMEN	HPI REAL ESTATE FUND VI LLC	50,000.00	3,000.00	0.00	3,000.00	92.0	2,760.00
* PRIVATE PLACEMENT SUBTOTAL *			\$50,000.00	\$3,000.00	\$0.00	\$3,000.00		\$2,760.00
<u>PRODUCT CATEGORY: REIT</u>								
06/08/2018	PHIPPS, CHRISTEEN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.86	0.00	13.86	92.0	12.75
06/08/2018	PHIPPS, LESLIE	CARTER VALIDUS MC REIT II CLASS T	0.00	29.46	0.00	29.46	92.0	27.10
06/08/2018	SHERRIEB, HAROLD	CARTER VALIDUS MC REIT II CLASS T	0.00	64.98	0.00	64.98	92.0	59.78
06/08/2018	MCELVAIN, TED	CARTER VALIDUS MC REIT II CLASS T	0.00	9.89	0.00	9.89	92.0	9.10
06/08/2018	HINCKLEY, CYNTHIA	CARTER VALIDUS MC REIT II CLASS T	0.00	2.58	0.00	2.58	92.0	2.37
06/08/2018	HINCKLEY, BRYAN	CARTER VALIDUS MC REIT II CLASS T	0.00	13.32	0.00	13.32	92.0	12.25
05/17/2018	RAYFIELD, MARY	CIM COMMERCIAL TRUST SERIES A	10,000.00	500.00	0.00	500.00	92.0	460.00
05/21/2018	MASSEY, ARTHUR	CIM COMMERCIAL TRUST SERIES A	14,100.00	705.00	0.00	705.00	92.0	648.60
06/25/2018	MCDOWELL, TAWN	CIM COMMERCIAL TRUST SERIES A	25,000.00	1,250.00	0.00	1,250.00	92.0	1,150.00
06/25/2018	SUMMERALL, PHYLLIS	CIM COMMERCIAL TRUST SERIES A	35,000.00	1,750.00	0.00	1,750.00	92.0	1,610.00
* REIT SUBTOTAL *			\$84,100.00	\$4,339.09	\$0.00	\$4,339.09		\$3,991.95
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
05/31/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND A	64,076.84	13.61	0.00	13.61	92.0	12.52
05/31/2018	EUBANKS, MILDRED	BR TOTAL INC & REAL ESTATE FUND A	20,233.46	17.19	0.00	17.19	92.0	15.81
05/31/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND C	15,636.06	13.28	0.00	13.28	92.0	12.22
05/31/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	13,415.58	11.40	0.00	11.40	92.0	10.49
05/31/2018	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND C	15,783.02	13.40	0.00	13.40	92.0	12.33
05/31/2018	OXFORD, RONALD	BR TOTAL INC & REAL ESTATE FUND C	25,300.66	21.49	0.00	21.49	92.0	19.77
05/31/2018	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	73,076.92	62.07	0.00	62.07	92.0	57.10
05/31/2018	MIRES, LINDA K OXFORD-	BR TOTAL INC & REAL ESTATE FUND C	25,256.55	21.45	0.00	21.45	92.0	19.73
05/31/2018	RECTOR, RICHARD	BR TOTAL INC & REAL ESTATE FUND C	20,191.14	17.15	0.00	17.15	92.0	15.78
05/31/2018	LYBBERT, BLAIR	BR TOTAL INC & REAL ESTATE FUND C	26,881.84	22.83	0.00	22.83	92.0	21.00
05/31/2018	PERRY CHILDRENS TR, RUDOLPH	BR TOTAL INC & REAL ESTATE FUND C	12,379.33	10.52	0.00	10.52	92.0	9.68
05/31/2018	THREADGILL, VICKY	BR TOTAL INC & REAL ESTATE FUND C	15,441.57	13.12	0.00	13.12	92.0	12.07
05/31/2018	BARFIELD, RONALD	BR TOTAL INC & REAL ESTATE FUND C	3,591.70	3.05	0.00	3.05	92.0	2.81
05/31/2018	LYONS, DAVID	BR TOTAL INC & REAL ESTATE FUND C	3,071.51	2.61	0.00	2.61	92.0	2.40
05/31/2018	LYONS, LORA	BR TOTAL INC & REAL ESTATE FUND C	19,964.73	16.96	0.00	16.96	92.0	15.60
05/31/2018	TOMLINSON, HAROLD	BR TOTAL INC & REAL ESTATE FUND C	2,539.84	2.16	0.00	2.16	92.0	1.99
* INTERVAL FUNDS SUBTOTAL *			\$356,840.75	\$262.29	\$0.00	\$262.29		\$241.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
07/02/2018	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
06/29/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
07/02/2018	ST JOHN, FINN	COLLEGE 2033 FUND-529A	100.00	3.50	0.00	3.50	90.0	3.15
07/02/2018	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	16.07	0.00	16.07	90.0	14.46
/ /	AMOS, ALEXANDER	FA 529 COLLEGE PORT OLD CL A	0.00	17.24	0.00	17.24	90.0	15.52
* 529 PLANS SUBTOTAL *			\$245.00	\$43.76	\$0.00	\$43.76		\$39.40
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/29/2018	WILSON, TED	AM FUNDS CAPITAL WORLD GRTH & INC C	2,009.87	20.10	0.00	20.10	90.0	18.09
07/06/2018	WILSON, TED	AM FUNDS CAPITAL WORLD GRTH & INC C	2,027.65	20.28	0.00	20.28	90.0	18.25
06/25/2018	HAMPTON, JARROTT	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/26/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85
06/26/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
06/26/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/26/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85
06/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
06/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
* MUTUAL FUNDS SUBTOTAL *			\$4,847.52	\$48.48	\$0.00	\$48.48		\$43.65
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/03/2018	HIPKINS, PENELOPE	JNL PERSPECTIVE II 04/14	13,027.54	911.93	0.00	911.93	90.0	820.74
* VARIABLE ANNUITIES SUBTOTAL *			\$13,027.54	\$911.93	\$0.00	\$911.93		\$820.74
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	WESTMORELAND, SUSAN	FIDELITY ADV SHORT TERM BOND CL A	0.00	0.78	0.00	0.78	90.0	0.70
/ /	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
07/02/2018	VECCHIO, SANDRA	PUTNAM GROWTH OPP A	0.00	1.83	0.00	1.83	90.0	1.65
07/03/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.55	0.00	4.55	90.0	4.10
07/03/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	16.86	0.00	16.86	90.0	15.17
07/03/2018	PERRY CHILDRENS TR, RUDOLPH	TRANSAMERICA MLP & ENERGY INC - C	0.00	12.90	0.00	12.90	90.0	11.61
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$39.80	\$0.00	\$39.80		\$35.83

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
06/30/2018	JOHNSON, LONZO	LFG TRAILS	39,446.93	98.62	0.00	98.62	90.0	88.76
06/30/2018	TERRY, CHARLES	LFG TRAILS	221,667.01	277.08	0.00	277.08	90.0	249.37
06/30/2018	THOMAS, BRENDA	LFG TRAILS	42,005.47	105.01	0.00	105.01	90.0	94.51
06/29/2018	WITKOWSKI, CHESTER	AXA ACCUM 07 (NQ)	0.00	24.89	0.00	24.89	90.0	22.40
06/29/2018	COMBS, RICHARD	AXA ACCUM 07 ELITE (RO IRA)	0.00	87.55	0.00	87.55	90.0	78.80
06/29/2018	DERMARDEROSIANSMITH, LAURA	AXA ACCUM 07 ELITE (RO IRA)	0.00	86.73	0.00	86.73	90.0	78.06
06/29/2018	THREADGILL, VICKY	AXA ACCUM 07 ELITE (RO IRA)	0.00	76.75	0.00	76.75	90.0	69.08
06/29/2018	SNEED, NOMIE	AXA EQUITABLE 00248C378	0.00	65.81	0.00	65.81	90.0	59.23
06/29/2018	GIBSON, STACEY	AXA REITREMENT CORNERSTONE 13 L	0.00	770.41	0.00	770.41	90.0	693.37
06/29/2018	SONES, MONICA	AXA RETIREMENT CORNERSTONE 13 B	0.00	13.25	0.00	13.25	90.0	11.93
06/29/2018	PROPST, MARGARETT	HARTFORD LEADERS OUTLOOK	0.00	37.73	0.00	37.73	90.0	33.96
06/29/2018	RICHTER, ROBERT	HARTFORD LEADERS OUTLOOK	0.00	15.55	0.00	15.55	90.0	14.00
06/29/2018	ARMOUR, DANA	HARTFORD PHCM V	0.00	58.62	0.00	58.62	90.0	52.76
06/30/2018	HENSLEE, CHARLES	JNL PERSPECTIVE	0.00	2.12	0.00	2.12	90.0	1.91
06/30/2018	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	0.00	43.10	0.00	43.10	90.0	38.79
06/30/2018	CADY, KENDA	JNL PERSPECTIVE L	0.00	33.39	0.00	33.39	90.0	30.05
06/30/2018	HEIL, ROBERT	JNL PERSPECTIVE L	0.00	66.50	0.00	66.50	90.0	59.85
06/30/2018	PARKIN, DAVID	JNL PERSPECTIVE L	0.00	67.59	0.00	67.59	90.0	60.83
06/30/2018	TOMLINSON, HAROLD	JNL PERSPECTIVE L	0.00	118.38	0.00	118.38	90.0	106.54
06/30/2018	MARKS, FRANCES	JNL PERSPECTIVE L	0.00	44.05	0.00	44.05	90.0	39.65
06/30/2018	MARKS, RICHARD	JNL PERSPECTIVE L	0.00	44.20	0.00	44.20	90.0	39.78
06/30/2018	SENESE, CATHERINE	JNL PERSPECTIVE L	0.00	6.70	0.00	6.70	90.0	6.03
06/30/2018	HARVEY, HELEN	JNL PERSPECTIVE L	0.00	79.55	0.00	79.55	90.0	71.60
06/30/2018	SENESE, CARMEN	JNL PERSPECTIVE L	0.00	21.94	0.00	21.94	90.0	19.75
06/30/2018	HARVEY, JESSE	JNL PERSPECTIVE L	0.00	98.73	0.00	98.73	90.0	88.86
06/30/2018	IRBY, MALCOLM DON & E	JNL PERSPECTIVE L	0.00	20.33	0.00	20.33	90.0	18.30
06/30/2018	PERRY, JANINE	JNL PERSPECTIVE L	0.00	21.28	0.00	21.28	90.0	19.15
06/30/2018	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	0.00	57.00	0.00	57.00	90.0	51.30
06/30/2018	HYDE, KATHY	PRU AS APEX II	0.00	34.93	0.00	34.93	90.0	31.44
06/30/2018	HYDE, KATHY	PRU AS APEX II	0.00	8.73	0.00	8.73	90.0	7.86
06/30/2018	HYDE, KATHY	PRU AS APEX II	0.00	2.02	0.00	2.02	90.0	1.82
06/30/2018	HYDE, KATHY	PRU AS APEX II	0.00	8.08	0.00	8.08	90.0	7.27
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$303,119.41	\$2,496.62	\$0.00	\$2,496.62		\$2,247.01

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<u> OVERRIDE TRANSACTIONS </u>								
*** DIRECT TRANSACTIONS TOTAL ***			\$812,180.22	\$11,141.97	\$0.00	\$11,141.97		\$10,179.88
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
06/30/2018	WISE, LUCILE	LFG TRAILS	91,559.90	228.90	0.00	228.90	48.0	96.14
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
06/11/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.34	0.00	4.34	48.0	1.82
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
06/11/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
06/11/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.57	0.00	6.57	48.0	2.76
06/11/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	48.0	1.56
06/11/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.58	0.00	0.58	48.0	0.24
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05
06/11/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	48.0	0.73
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
06/11/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	48.0	0.24
07/02/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
07/02/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
06/11/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.29	0.00	4.29	48.0	1.80
06/11/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.56	0.00	0.56	48.0	0.24
06/11/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.07
06/11/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	48.0	0.91
06/11/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.53	0.00	3.53	48.0	1.48
06/11/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.54	0.00	0.54	48.0	0.23
06/11/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
06/11/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.09
06/11/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.09
06/29/2018	WU, PEILI	AXA 00246Q312	0.00	294.31	0.00	294.31	48.0	123.61
06/29/2018	WALRAVEN, VIRGINIA	AXA ACCUM 07 ELITE (RO IRA)	0.00	34.20	0.00	34.20	48.0	14.36
06/12/2018	HEAD, HOWARD	ENTERPRISE PRODS PARTNERS L P COM U	5,873.32	60.00	22.00	38.00	48.0	15.96
06/29/2018	GODWIN, SANDRA	HARTFORD PHCM V	0.00	16.36	0.00	16.36	48.0	6.87

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-S141 REG SMITH #367 </u>								
06/30/2018	BRIDGES, JANIS	JNL ELITE ACCESS	0.00	90.99	0.00	90.99	48.0	38.22
06/30/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	0.00	63.70	0.00	63.70	48.0	26.75
06/30/2018	CROWTHER, JOHN	JNL ELITE ACCESS	0.00	12.31	0.00	12.31	48.0	5.17
07/09/2018	SMITH, RICHARD	JNL PERSPECTIVE II 04/14	50,000.00	3,500.00	0.00	3,500.00	48.0	1,470.00
06/30/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	0.00	33.62	0.00	33.62	48.0	14.12
06/30/2018	REEDER, WESLEY	JNL PERSPECTIVE L	0.00	19.63	0.00	19.63	48.0	8.24
06/30/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	0.00	39.01	0.00	39.01	48.0	16.38
06/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	40.85	0.00	40.85	48.0	17.16
06/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	44.36	0.00	44.36	48.0	18.63
06/30/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	0.00	25.45	0.00	25.45	48.0	10.69
06/11/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.44	0.00	0.44	48.0	0.18
06/30/2018	JEFFERS, LARRY	PRU AS APEX II	0.00	99.53	0.00	99.53	48.0	41.80
06/30/2018	JEFFERS, LARRY	PRU AS APEX II	0.00	24.88	0.00	24.88	48.0	10.45
07/02/2018	HORNE, CHARLES	PUTNAM EQUITY INCOME A	0.00	3.39	0.00	3.39	48.0	1.42
07/02/2018	HORNE, CHARLES	PUTNAM GLOBAL HEALTH CARE A	0.00	3.20	0.00	3.20	48.0	1.34
07/02/2018	HORNE, CHARLES	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.36	0.00	2.36	48.0	0.99
06/11/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.97	0.00	0.97	48.0	0.41
07/02/2018	HORNE, CHARLES	PUTNAM MULTI-CAP VALUE A	0.00	3.03	0.00	3.03	48.0	1.27
07/02/2018	AARY, HARLEY	PUTNAM SMALL CAP GROWTH-A	0.00	0.35	0.00	0.35	48.0	0.15
07/02/2018	HORNE, CHARLES	PUTNAM SMALL CAP VALUE A	0.00	1.05	0.00	1.05	48.0	0.44
07/02/2018	HORNE, CHARLES	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.48	0.00	0.48	48.0	0.20
/ /	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
06/28/2018	BURNS, ANNE	SEC BEN 814121158	0.00	28.45	0.00	28.45	48.0	11.95
07/03/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.25	0.00	10.25	48.0	4.31
07/03/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.16	0.00	4.16	48.0	1.75
 * MARK-S141 REG SMITH SUBTOTAL *			\$147,733.22	\$4,731.15	\$22.00	\$4,709.15		\$1,977.82
<u> BROKER: MARK-S142 ALTS SMITH #368 </u>								
05/31/2018	ORR POWER OF ATTORNEY,	BR TOTAL INC & REAL ESTATE FUND A	80,772.05	17.15	0.00	17.15	49.0	7.37
05/31/2018	BONGIORNO, VALERIE	BR TOTAL INC & REAL ESTATE FUND A	1,075.57	0.23	0.00	0.23	49.0	0.10
05/31/2018	ORR, PATRICIA	BR TOTAL INC & REAL ESTATE FUND A	8,329.95	1.77	0.00	1.77	49.0	0.76

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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S142 ALTS SMITH #368</u>								
05/31/2018	ORR, RICHARD	BR TOTAL INC & REAL ESTATE FUND A	19,168.36	4.07	0.00	4.07	49.0	1.75
05/31/2018	CORLEY, WILBUR	BR TOTAL INC & REAL ESTATE FUND A	21,039.43	4.47	0.00	4.47	49.0	1.92
05/31/2018	SPENCER, HAROLD	BR TOTAL INC & REAL ESTATE FUND A	23,218.36	4.93	0.00	4.93	49.0	2.12
05/31/2018	WILSON TRUST, WOODROW & JOANN	BR TOTAL INC & REAL ESTATE FUND A	10,488.97	2.23	0.00	2.23	49.0	0.96
05/31/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	37,879.23	32.17	0.00	32.17	49.0	13.83
05/31/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	32,641.02	27.72	0.00	27.72	49.0	11.92
05/31/2018	TMICO	BR TOTAL INC & REAL ESTATE FUND C	21,029.31	17.87	0.00	17.87	49.0	7.68
05/31/2018	WISE TRUST, LUCILE	BR TOTAL INC & REAL ESTATE FUND C	20,170.06	17.13	0.00	17.13	49.0	7.37
05/31/2018	BONGIORNO, VALERIE	BR TOTAL INC & REAL ESTATE FUND C	30,192.01	25.64	0.00	25.64	49.0	11.03
05/31/2018	BONGIORNO, VALERIE	BR TOTAL INC & REAL ESTATE FUND C	15,452.42	13.12	0.00	13.12	49.0	5.64
* MARK-S142 ALTS SMITH SUBTOTAL *			\$321,456.74	\$168.50	\$0.00	\$168.50		\$72.45
*** OVERRIDE TRANSACTIONS TOTAL ***			\$469,189.96	\$4,899.65	\$22.00	\$4,877.65		\$2,050.27

ADJUSTMENTS

07/15/2018	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
07/15/2018	*EO INS: CURRENT MONTH INS	0.00						-300.00
07/15/2018	*LASER APP: CURRENT MONTH	0.00						-18.00
07/15/2018	*RBC: W/O DEBIT BALANCE 7A503063	0.00						-30.00
07/15/2018	*RBC: WEALTH STATION	0.00						-25.00
07/15/2018	*RBC: WEALTHSTATION - C POOLE	0.00						-25.00
07/15/2018	*RBC: WEALTHSTATION - J CONDRAY	0.00						-25.00
07/15/2018	*TECH: CURRENT MONTH BASIC	0.00						-180.00
07/15/2018	*TECHNOLOGY: ADMIN - CHRISTINA POOLE	0.00						-130.00
07/15/2018	*TECHNOLOGY: ADMIN - JAMIE CONDRAY	0.00						-130.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-870.00

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	\$11,879.56
Split Transactions	\$0.00
Override Transactions	\$2,050.27
Adjustments	\$-870.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$13,059.83
Year-to-date Gross	\$133,338.83
Year-to-date Earnings	\$157,941.87