



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**September 30, 2017**

09/28/2017  
 Page No. 1

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: INTERVAL FUNDS</u></b>								
^09/13/2017	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	44.68	0.00	44.68	90.0	0.00
		* INTERVAL FUNDS SUBTOTAL *	\$0.00	\$44.68	\$0.00	\$44.68		\$0.00
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
^09/01/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	0.00	3.68	0.00	3.68	90.0	0.00
^09/01/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	0.00	2.52	0.00	2.52	90.0	0.00
^09/01/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	0.00	4.79	0.00	4.79	90.0	0.00
^09/01/2017	DREW, KEVIN	AM FUNDS 2050 TARGET DATE-A	0.00	4.05	0.00	4.05	90.0	0.00
^09/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	0.00	13.90	0.00	13.90	90.0	0.00
^09/01/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	0.00	4.28	0.00	4.28	90.0	0.00
^09/01/2017	VICKREY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	90.0	0.00
^09/01/2017	FITCH, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	5.10	0.00	5.10	90.0	0.00
^09/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	0.00	2.37	0.00	2.37	90.0	0.00
^09/01/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	0.00	3.05	0.00	3.05	90.0	0.00
^09/01/2017	LITWINKO, TERI	AM FUNDS AMERICAN BALANCED A	0.00	1.54	0.00	1.54	90.0	0.00
^09/01/2017	STRACK, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	1.01	0.00	1.01	90.0	0.00
^09/01/2017	SCHENKEL, HUNTER	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS AMERICAN BALANCED A	0.00	3.92	0.00	3.92	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	2.79	0.00	2.79	90.0	0.00
^09/01/2017	BROWN, KAY	AM FUNDS AMERICAN BALANCED A	0.00	0.97	0.00	0.97	90.0	0.00
^09/15/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	5.00	0.00	5.00	90.0	0.00
^09/01/2017	HABESHY, MAGDY	AM FUNDS AMERICAN BALANCED C	0.00	14.46	0.00	14.46	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.22	0.00	0.22	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.71	0.00	1.71	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	90.0	0.00
^09/01/2017	ROOS, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.44	0.00	3.44	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>								
^09/01/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	90.0	0.00
^09/01/2017	VICKREY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	90.0	0.00
^09/01/2017	FITCH, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	90.0	0.00
^09/01/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.76	0.00	0.76	90.0	0.00
^09/18/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	25.00	0.00	25.00	90.0	0.00
^09/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	0.00	1.20	90.0	0.00
^09/01/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.40	0.00	1.40	90.0	0.00
^09/01/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.54	0.00	5.54	90.0	0.00
^09/01/2017	VICKREY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.99	0.00	2.99	90.0	0.00
^09/01/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.73	0.00	5.73	90.0	0.00
^09/01/2017	FITCH, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	0.00
^09/01/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.00
^09/01/2017	STRACK, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	0.00
^09/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.55	0.00	1.55	90.0	0.00
^09/15/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	10.00	0.00	10.00	90.0	0.00
^09/18/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	25.00	0.00	25.00	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.23	0.00	0.23	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.22	0.00	0.22	90.0	0.00
^09/01/2017	STANLEY, LAURA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	90.0	0.00
^09/14/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	50.00	2.38	0.00	2.38	90.0	0.00
^09/14/2017	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	2.38	0.00	2.38	90.0	0.00
^09/22/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^09/22/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.50	0.00	0.50	90.0	0.00
^ / /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	1.63	0.00	1.63	90.0	0.00
^09/22/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.39	0.00	0.39	90.0	0.00
^09/22/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.27	0.00	0.27	90.0	0.00
^09/22/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	1.19	0.00	1.19	90.0	0.00
^09/22/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	1.83	0.00	1.83	90.0	0.00
^09/22/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^09/22/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	1.19	0.00	1.19	90.0	0.00
^09/01/2017	STANLEY, JOHN	INFLATION LINKED BOND FUND A	0.00	0.96	0.00	0.96	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 &amp; 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>								
^09/01/2017	STANLEY, LAURA	INFLATION LINKED BOND FUND A	0.00	0.30	0.00	0.30	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$1,630.00	\$184.18	\$0.00	\$184.18		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$1,630.00	\$228.86	\$0.00	\$228.86		\$0.00

**SPLIT TRANSACTIONS****BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209**

09/01/2017	ROEBEL, DAVID	AM FUNDS 2020 TARGET DATE-A	0.00	1.10	0.00	1.10	90.0	0.99
09/01/2017	RICE, SCOTT	AM FUNDS 2025 TARGET DATE-A	0.00	0.76	0.00	0.76	90.0	0.68
09/01/2017	SCOTT, JAMES	AM FUNDS 2040 TARGET DATE-A	0.00	1.44	0.00	1.44	90.0	1.30
09/01/2017	DREW, KEVIN	AM FUNDS 2050 TARGET DATE-A	0.00	1.22	0.00	1.22	90.0	1.10
09/01/2017	ROOS, DEBORAH	AM FUNDS AMCAP A	0.00	4.17	0.00	4.17	90.0	3.75
09/01/2017	TOURNEY, JOSEPH	AM FUNDS AMCAP A	0.00	1.28	0.00	1.28	90.0	1.15
09/01/2017	VICKREY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.33
09/01/2017	FITCH, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	1.53	0.00	1.53	90.0	1.38
09/01/2017	SITES, AMY	AM FUNDS AMERICAN BALANCED A	0.00	0.71	0.00	0.71	90.0	0.64
09/01/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	0.00	0.92	0.00	0.92	90.0	0.83
09/01/2017	LITWINKO, TERI	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
09/01/2017	STRACK, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	90.0	0.27
09/01/2017	SCHENKEL, HUNTER	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	90.0	0.10
09/01/2017	STANLEY, LAURA	AM FUNDS AMERICAN BALANCED A	0.00	1.18	0.00	1.18	90.0	1.06
09/01/2017	STANLEY, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.84	0.00	0.84	90.0	0.76
09/01/2017	BROWN, KAY	AM FUNDS AMERICAN BALANCED A	0.00	0.29	0.00	0.29	90.0	0.26
09/15/2017	DORSETT, LARA	AM FUNDS AMERICAN BALANCED A	100.00	1.50	0.00	1.50	90.0	1.35
09/01/2017	HABESHY, MAGDY	AM FUNDS AMERICAN BALANCED C	0.00	4.34	0.00	4.34	90.0	3.91
09/01/2017	STANLEY, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
09/01/2017	STANLEY, LAURA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
09/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	90.0	0.46
09/01/2017	STANLEY, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	90.0	0.06
09/01/2017	ROOS, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.03	0.00	1.03	90.0	0.93
09/01/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	90.0	0.23
09/01/2017	VICKREY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	90.0	0.67
09/01/2017	FITCH, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	90.0	0.24

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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/</b>			<b>#209</b>					
09/01/2017	ERVIN, DERRICK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.01	0.00	0.01	90.0	0.01
09/01/2017	STANLEY, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	90.0	0.21
09/18/2017	KLINE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	500.00	7.50	0.00	7.50	90.0	6.75
09/01/2017	SHERWOOD, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	90.0	0.32
09/01/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
09/01/2017	GATER-BITTING, DEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.66	0.00	1.66	90.0	1.49
09/01/2017	VICKREY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.81
09/01/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.72	0.00	1.72	90.0	1.55
09/01/2017	FITCH, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	90.0	0.31
09/01/2017	ERVIN, DERRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.00	0.00	0.00	90.0	0.00
09/01/2017	STRACK, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
09/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
09/01/2017	STANLEY, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
09/15/2017	ROBERTSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	200.00	3.00	0.00	3.00	90.0	2.70
09/18/2017	KLINE, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	500.00	7.50	0.00	7.50	90.0	6.75
09/01/2017	STANLEY, LAURA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
09/01/2017	STANLEY, LAURA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	90.0	0.06
09/01/2017	STANLEY, LAURA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.09	0.00	0.09	90.0	0.08
09/14/2017	SHERWOOD, JULIE	ASCENSUS INA 2019 ENROLLMENT PORT C	50.00	0.71	0.00	0.71	90.0	0.64
09/14/2017	MULLINS, JAMES	ASCENSUS INA 2022 ENROLLMENT PTF A	50.00	0.71	0.00	0.71	90.0	0.64
09/22/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
09/22/2017	EGLY, KEITH	ASCENSUS INA BLACKROCK LG CAP VALUE	50.00	0.15	0.00	0.15	90.0	0.14
/ /	SHERWOOD, JULIE	ASCENSUS INA COLLEGE PORTFOLIO CL A	0.00	0.49	0.00	0.49	90.0	0.44
09/22/2017	LINN, JASON	ASCENSUS INA INTERNATIONAL EQ INDEX	8.25	0.12	0.00	0.12	90.0	0.11
09/22/2017	LINN, JASON	ASCENSUS INA PIMCO TOTAL RETURN POR	8.25	0.08	0.00	0.08	90.0	0.07
09/22/2017	EGLY, KEITH	ASCENSUS-INA BLACKROCK LG CAP VALUE	25.00	0.36	0.00	0.36	90.0	0.32
09/22/2017	LINN, JASON	ASCENSUS-INA LG CAP INDEX PF CL A	38.50	0.55	0.00	0.55	90.0	0.50
09/22/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
09/22/2017	HINTON, SCOTT	ASCENSUS-INA LG CAP INDEX PF CL A	25.00	0.36	0.00	0.36	90.0	0.32
09/13/2017	BURTNETTE, PATRICIA	BR TOTAL INC & REAL ESTATE FUND C	0.00	13.40	0.00	13.40	90.0	12.06
09/01/2017	STANLEY, JOHN	INFLATION LINKED BOND FUND A	0.00	0.29	0.00	0.29	90.0	0.26
09/01/2017	STANLEY, LAURA	INFLATION LINKED BOND FUND A	0.00	0.09	0.00	0.09	90.0	0.08
<b>* L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *</b>			<b>\$1,630.00</b>	<b>\$68.70</b>	<b>\$0.00</b>	<b>\$68.70</b>		<b>\$61.82</b>

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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
<u>BROKER TRANSACTIONS</u>								
*** SPLIT TRANSACTIONS TOTAL ***			\$1,630.00	\$68.70	\$0.00	\$68.70		\$61.82

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$61.82
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$69.50
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$131.32
Year-to-date Gross	\$1,467.18
Year-to-date Earnings	\$1,190.27

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