



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**August 31, 2017**

08/29/2017  
 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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

**BROKER TRANSACTIONS**

**PRODUCT CATEGORY: INTERVAL FUNDS**

|                             |                     |                                  |        |         |        |         |      |        |
|-----------------------------|---------------------|----------------------------------|--------|---------|--------|---------|------|--------|
| ^07/31/2017                 | BURTNETTE, PATRICIA | GRIFFIN INST'L ACCESS R E FUND C | 0.00   | 45.05   | 0.00   | 45.05   | 90.0 | 0.00   |
| * INTERVAL FUNDS SUBTOTAL * |                     |                                  | \$0.00 | \$45.05 | \$0.00 | \$45.05 |      | \$0.00 |

**PRODUCT CATEGORY: MUTUAL FUNDS**

|             |                    |                                     |        |       |      |       |      |      |
|-------------|--------------------|-------------------------------------|--------|-------|------|-------|------|------|
| ^08/15/2017 | DORSETT, LARA      | AM FUNDS AMERICAN BALANCED A        | 100.00 | 5.00  | 0.00 | 5.00  | 90.0 | 0.00 |
| ^08/18/2017 | SITES, AMY         | AM FUNDS AMERICAN BALANCED A        | 125.00 | 6.25  | 0.00 | 6.25  | 90.0 | 0.00 |
| ^08/17/2017 | KLINE, NANCY       | AM FUNDS CAPITAL WORLD GRTH & INC A | 500.00 | 25.00 | 0.00 | 25.00 | 90.0 | 0.00 |
| ^08/15/2017 | ROBERTSON, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A   | 200.00 | 10.00 | 0.00 | 10.00 | 90.0 | 0.00 |
| ^08/17/2017 | KLINE, NANCY       | AM FUNDS GROWTH FUND OF AMERICA A   | 500.00 | 25.00 | 0.00 | 25.00 | 90.0 | 0.00 |
| ^08/14/2017 | SHERWOOD, JULIE    | ASCENSUS INA 2019 ENROLLMENT PORT C | 50.00  | 2.38  | 0.00 | 2.38  | 90.0 | 0.00 |
| ^08/25/2017 | JOHNSON, ERIC      | ASCENSUS INA 2022 ENROLLMENT PTF A  | 100.00 | 4.75  | 0.00 | 4.75  | 90.0 | 0.00 |
| ^08/11/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.50  | 0.00 | 0.50  | 90.0 | 0.00 |
| ^08/11/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.50  | 0.00 | 0.50  | 90.0 | 0.00 |
| ^08/25/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.50  | 0.00 | 0.50  | 90.0 | 0.00 |
| ^08/25/2017 | 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 |
| ^08/18/2017 | SITES, EDWARD      | ASCENSUS INA COLLEGE PORTFOLIO CL A | 50.00  | 1.63  | 0.00 | 1.63  | 90.0 | 0.00 |
| ^08/11/2017 | LINN, JASON        | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25   | 0.39  | 0.00 | 0.39  | 90.0 | 0.00 |
| ^08/25/2017 | LINN, JASON        | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25   | 0.39  | 0.00 | 0.39  | 90.0 | 0.00 |
| ^08/11/2017 | LINN, JASON        | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25   | 0.27  | 0.00 | 0.27  | 90.0 | 0.00 |
| ^08/25/2017 | LINN, JASON        | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25   | 0.27  | 0.00 | 0.27  | 90.0 | 0.00 |
| ^08/11/2017 | EGLY, KEITH        | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00  | 1.19  | 0.00 | 1.19  | 90.0 | 0.00 |
| ^08/25/2017 | EGLY, KEITH        | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00  | 1.19  | 0.00 | 1.19  | 90.0 | 0.00 |
| ^08/11/2017 | LINN, JASON        | ASCENSUS-INA LG CAP INDEX PF CL A   | 38.50  | 1.83  | 0.00 | 1.83  | 90.0 | 0.00 |
| ^08/11/2017 | HINTON, SCOTT      | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00  | 1.19  | 0.00 | 1.19  | 90.0 | 0.00 |
| ^08/11/2017 | HINTON, SCOTT      | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00  | 1.19  | 0.00 | 1.19  | 90.0 | 0.00 |
| ^08/25/2017 | LINN, JASON        | ASCENSUS-INA LG CAP INDEX PF CL A   | 38.50  | 1.83  | 0.00 | 1.83  | 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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|---------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>     |               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |               |                                     |                      |                     |                    |                   |      |                      |
| ^08/25/2017                           | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00                | 1.19                | 0.00               | 1.19              | 90.0 | 0.00                 |
| ^08/25/2017                           | HINTON, SCOTT | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00                | 1.19                | 0.00               | 1.19              | 90.0 | 0.00                 |
| ^08/14/2017                           | SITES, TEGAN  | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 0.39                | 0.00               | 0.39              | 90.0 | 0.00                 |
| * MUTUAL FUNDS SUBTOTAL *             |               |                                     | <b>\$2,085.00</b>    | <b>\$96.15</b>      | <b>\$0.00</b>      | <b>\$96.15</b>    |      | <b>\$0.00</b>        |
| *** BROKER TRANSACTIONS TOTAL ***     |               |                                     | <b>\$2,085.00</b>    | <b>\$141.20</b>     | <b>\$0.00</b>      | <b>\$141.20</b>   |      | <b>\$0.00</b>        |

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

|            |                    |                                     |        |      |      |      |      |      |
|------------|--------------------|-------------------------------------|--------|------|------|------|------|------|
| 08/15/2017 | DORSETT, LARA      | AM FUNDS AMERICAN BALANCED A        | 100.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 08/18/2017 | SITES, AMY         | AM FUNDS AMERICAN BALANCED A        | 125.00 | 1.88 | 0.00 | 1.88 | 90.0 | 1.69 |
| 08/17/2017 | KLINE, NANCY       | AM FUNDS CAPITAL WORLD GRTH & INC A | 500.00 | 7.50 | 0.00 | 7.50 | 90.0 | 6.75 |
| 08/15/2017 | ROBERTSON, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A   | 200.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 08/17/2017 | KLINE, NANCY       | AM FUNDS GROWTH FUND OF AMERICA A   | 500.00 | 7.50 | 0.00 | 7.50 | 90.0 | 6.75 |
| 08/14/2017 | SHERWOOD, JULIE    | ASCENSUS INA 2019 ENROLLMENT PORT C | 50.00  | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 08/25/2017 | JOHNSON, ERIC      | ASCENSUS INA 2022 ENROLLMENT PTF A  | 100.00 | 1.43 | 0.00 | 1.43 | 90.0 | 1.29 |
| 08/11/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.15 | 0.00 | 0.15 | 90.0 | 0.14 |
| 08/11/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.15 | 0.00 | 0.15 | 90.0 | 0.14 |
| 08/25/2017 | EGLY, KEITH        | ASCENSUS INA BLACKROCK LG CAP VALUE | 50.00  | 0.15 | 0.00 | 0.15 | 90.0 | 0.14 |
| 08/25/2017 | 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 |
| 08/18/2017 | SITES, EDWARD      | ASCENSUS INA COLLEGE PORTFOLIO CL A | 50.00  | 0.49 | 0.00 | 0.49 | 90.0 | 0.44 |
| 08/11/2017 | LINN, JASON        | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25   | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| 08/25/2017 | LINN, JASON        | ASCENSUS INA INTERNATIONAL EQ INDEX | 8.25   | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| 08/11/2017 | LINN, JASON        | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25   | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 08/25/2017 | LINN, JASON        | ASCENSUS INA PIMCO TOTAL RETURN POR | 8.25   | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 08/11/2017 | EGLY, KEITH        | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00  | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 08/25/2017 | EGLY, KEITH        | ASCENSUS-INA BLACKROCK LG CAP VALUE | 25.00  | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 08/11/2017 | LINN, JASON        | ASCENSUS-INA LG CAP INDEX PF CL A   | 38.50  | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 08/11/2017 | HINTON, SCOTT      | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00  | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 08/11/2017 | HINTON, SCOTT      | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00  | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 08/25/2017 | LINN, JASON        | ASCENSUS-INA LG CAP INDEX PF CL A   | 38.50  | 0.55 | 0.00 | 0.55 | 90.0 | 0.50 |
| 08/25/2017 | HINTON, SCOTT      | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00  | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |

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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                               |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ #209</u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| 08/25/2017   | HINTON, SCOTT       | ASCENSUS-INA LG CAP INDEX PF CL A   | 25.00                | 0.36                | 0.00               | 0.36              | 90.0 | 0.32                 |
| 07/31/2017   | BURTNETTE, PATRICIA | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 13.52               | 0.00               | 13.52             | 90.0 | 12.17                |
| 08/14/2017   | SITES, TEGAN        | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| * L131-KEITH/JOE/FCCU LAYMAN/WIEGAND/ SUBTOTAL *               |                     |                                     | <b>\$2,085.00</b>    | <b>\$42.40</b>      | <b>\$0.00</b>      | <b>\$42.40</b>    |      | <b>\$38.17</b>       |
| *** SPLIT TRANSACTIONS TOTAL ***                               |                     |                                     | <b>\$2,085.00</b>    | <b>\$42.40</b>      | <b>\$0.00</b>      | <b>\$42.40</b>    |      | <b>\$38.17</b>       |

**BROKER COMMISSION TOTALS**

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

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

|                              |                   |
|------------------------------|-------------------|
| <b>Balance Forward</b>       | <b>\$38.17</b>    |
| <b>Year-to-date Gross</b>    | <b>\$1,353.28</b> |
| <b>Year-to-date Earnings</b> | <b>\$1,093.70</b> |

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 \*\* - Indicates adjustment is not included in Totals or Commissions  
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed