



Concorde Investment Services, LLC
COMMISSION STATEMENT
November 30, 2017

11/30/2017
Page No. 1

DANIEL RAUPP
417 E. Main Street
3rd Floor
Port Jefferson, NY 11777

BROKER #: R132
BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
11/15/2017	RAUPP, DANIEL	CBS CORP CL B COM	5,564.69	0.00	22.50	-22.50	100.0	-22.50
11/15/2017	RAUPP, DANIEL	CBS CORP CL B COM	5,559.74	0.00	22.50	-22.50	100.0	-22.50
11/15/2017	RIZZO, RYAN	CBS CORP CL B COM	5,574.59	0.00	22.50	-22.50	100.0	-22.50
11/22/2017	RAUPP, DANIEL	ENTERCOM COMMUNICATIONS CORP CL A	-6,603.50	0.00	22.84	-22.84	100.0	-22.84
11/22/2017	RAUPP, DANIEL	ENTERCOM COMMUNICATIONS CORP CL A	-6,606.31	0.00	22.84	-22.84	100.0	-22.84
11/22/2017	RIZZO, RYAN	ENTERCOM COMMUNICATIONS CORP CL A	-6,603.50	0.00	22.84	-22.84	100.0	-22.84
* STOCKS SUBTOTAL *			\$-3,114.29	\$0.00	\$136.02	\$-136.02		\$-136.02
*** CLEARING TRANSACTIONS TOTAL ***			\$-3,114.29	\$0.00	\$136.02	\$-136.02		\$-136.02
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/20/2017	REILLY, LINDA	JNL PERSPECTIVE II 04/14	253,779.23	5,075.58	0.00	5,075.58	100.0	5,075.58
10/29/2017	TRAINOR, EDWARD	TRANSAMERICA LIBERTY	56,386.48	46.99	0.00	46.99	100.0	46.99
* VARIABLE ANNUITIES SUBTOTAL *			\$310,165.71	\$5,122.57	\$0.00	\$5,122.57		\$5,122.57
*** DIRECT TRANSACTIONS TOTAL ***			\$310,165.71	\$5,122.57	\$0.00	\$5,122.57		\$5,122.57

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
11/10/2017	MALONEY, JOHN	TEI DIVERSIFIED INC & OPP FD 3	100,000.00	3,500.00	0.00	3,500.00	100.0	3,500.00
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$100,000.00	\$3,500.00	\$0.00	\$3,500.00		\$3,500.00
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
11/21/2017	LOCASTRO, DONNA	GLOBAL NET LEASE INC COM	-2,880.12	0.00	11.24	-11.24	100.0	-11.24
11/21/2017	LOCASTRO, DONNA	NEW YORK REIT INC COM	-2,552.76	0.00	11.26	-11.26	100.0	-11.26
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$-5,432.88	\$0.00	\$22.50	\$-22.50		\$-22.50
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
11/15/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	1,006.56	6.04	3.30	2.74	100.0	2.74
11/14/2017	FLAHERTY, STEPHEN	ING PREMIUM PLUS	0.00	5.47	0.00	5.47	100.0	5.47
11/14/2017	FLAHERTY, PATRICIA	ING PREMIUM PLUS	0.00	2.79	0.00	2.79	100.0	2.79
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$1,006.56	\$14.30	\$3.30	\$11.00		\$11.00
<u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u>								
11/13/2017	WEEKS, GARY	INLAND NATIONAL MF PF II DST	406,663.00	15,249.86	0.00	15,249.86	100.0	15,249.86
* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *			\$406,663.00	\$15,249.86	\$0.00	\$15,249.86		\$15,249.86
<u>BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381</u>								
11/21/2017	CSD CLOVER HLDGS	INLAND GULF COAST IND'L DST	467,157.89	4,881.80	0.00	4,881.80	100.0	4,881.80
* R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K SUBTOTAL *			\$467,157.89	\$4,881.80	\$0.00	\$4,881.80		\$4,881.80
*** SPLIT TRANSACTIONS TOTAL ***			\$969,394.57	\$23,645.96	\$25.80	\$23,620.16		\$23,620.16

VERRIDE TRANSACTIONS

<u>BROKER: MARC LINSKY #10</u>								
11/09/2017	CAMARDO, SHANE	AMERICAN FUNDS COLLEGE 2033 FUND-52	500.00	17.50	0.00	17.50	90.0	0.30
* MARC LINSKY SUBTOTAL *			\$500.00	\$17.50	\$0.00	\$17.50		\$0.30
<u>BROKER: JON PAUL CIRELLI #246</u>								
10/31/2017	ONE PARKING	JOHN HANCOCK LIFE INS CO	0.00	148.58	0.00	148.58	95.0	7.43
10/31/2017	KISSIL, GEORGE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	3.46	0.00	3.46	95.0	0.17
* JON PAUL CIRELLI SUBTOTAL *			\$0.00	\$152.04	\$0.00	\$152.04		\$7.60

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ALAN LICHTENSTEIN #249</u>								
11/15/2017	BALDWIN, PATRICE	POWERSHARES QQQ TR UNIT SER 1	15,231.50	0.00	22.50	-22.50	75.0	-2.81
11/15/2017	BALDWIN, PATRICE	VANGUARD ADMIRAL FDS INC S&P MIDCAP	14,957.39	0.00	22.50	-22.50	75.0	-2.81
11/15/2017	BALDWIN, PATRICE	VANGUARD INDEX FDS VANGUARD VALUE E	14,951.94	0.00	22.50	-22.50	75.0	-2.81
11/16/2017	BALDWIN, PATRICE	VANGUARD WHITEHALL FDS HIGH DIVIDEN	15,005.90	0.00	22.50	-22.50	75.0	-2.81
* ALAN LICHTENSTEIN SUBTOTAL *			\$60,146.73	\$0.00	\$90.00	\$-90.00		\$-11.24
<u>BROKER: MARC LINSKY #263</u>								
11/15/2017	CHIECO, DANIEL	AM CENT EQUITY INCOME	403.20	20.16	22.00	-1.84	90.0	-0.03
11/15/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
11/15/2017	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	54.22	2.71	22.00	-19.29	90.0	-0.33
11/15/2017	BOND-HILTNER, LINDA	AM FUNDS ICA A	432.50	21.63	22.00	-0.37	90.0	-0.01
11/15/2017	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	429.48	21.47	22.00	-0.53	90.0	-0.01
11/22/2017	APPLEBAUM, RHEA	APPLE INC COM	-1,566.99	30.00	22.50	7.50	90.0	0.13
11/16/2017	DAMICO, JOSEPH	FIDELITY FREEDOM TWENTY THIRTY FUND	-35,284.37	0.00	22.00	-22.00	90.0	-0.37
11/13/2017	APPLEBAUM, ALVIN	GENESIS ENERGY LP UNITS LTD PARTNER	-22,721.20	29.75	23.50	6.25	90.0	0.11
10/31/2017	ROSENBLUM, LUCILLE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	45.97	0.00	45.97	90.0	0.78
11/15/2017	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	200.46	2.00	22.00	-20.00	90.0	-0.34
11/05/2017	MCFADDEN, ANDREW	LANDMARK 2002	0.00	916.82	0.00	916.82	90.0	15.59
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,406.50	45.71	22.00	23.71	90.0	0.40
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,044.00	33.93	22.00	11.93	90.0	0.20
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	377.00	12.25	22.00	-9.75	90.0	-0.17
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,401.82	21.03	22.00	-0.97	90.0	-0.02
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,041.60	15.62	22.00	-6.38	90.0	-0.11
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	368.90	5.53	22.00	-16.47	90.0	-0.28
11/15/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	377.58	5.66	22.00	-16.34	90.0	-0.28
11/09/2017	O'DONNELL, ROSEMARY	METLIFE SHIELD LEVEL SELECT 6 YR	40,000.00	2,400.00	0.00	2,400.00	90.0	40.80
11/13/2017	GROTTOLA, FRANK	OBSIDIAN ENERGY LTD REGISTERED SHS	-1,767.18	30.00	24.19	5.81	90.0	0.10
11/10/2017	MORTON, MARTHA	PAC LIFE INNOVATIVE SELECT	0.00	55.59	0.00	55.59	90.0	0.95
11/13/2017	HALL, GLORIA	PAC LIFE INNOVATIVE SELECT	0.00	219.90	0.00	219.90	90.0	3.74
11/13/2017	GROTTOLA, FRANK	PEMBINA PIPELINE CORP COM ISIN#CA70	-64,390.04	30.00	24.71	5.29	90.0	0.09
11/13/2017	GROTTOLA, FRANK	PERMIAN BASIN RTY TR UNIT BEN INT	-20,308.12	30.00	25.20	4.80	90.0	0.08
11/15/2017	GALERMAN, ALAN	PREFERRED APT CMNTYS INC COM	-43,603.00	30.00	25.00	5.00	90.0	0.09
11/15/2017	GALERMAN, LIORA	PREFERRED APT CMNTYS INC COM	-17,376.32	30.00	23.20	6.80	90.0	0.12
11/16/2017	BACHMAN, ALLEN	PREFERRED APT CMNTYS INC COM	-53,391.75	30.00	25.75	4.25	90.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC LINSKY #263</u>								
11/16/2017	NEUMAN, PHILLIP	PREFERRED APT CMNTYS INC COM	-31,879.35	30.00	24.25	5.75	90.0	0.10
11/17/2017	HOSID, IRA	PREFERRED APT CMNTYS INC COM	-41,913.80	30.00	25.00	5.00	90.0	0.09
11/27/2017	GARLICK, MILDRED	PREFERRED APT CMNTYS INC COM	-48,431.96	22.00	25.38	-3.38	90.0	-0.06
11/27/2017	NEUMAN, PHILLIP	PREFERRED APT CMNTYS INC COM	-21,632.30	22.00	23.50	-1.50	90.0	-0.03
11/27/2017	PERETTI, FRANCES	PREFERRED APT CMNTYS INC COM	-21,619.50	22.00	23.50	-1.50	90.0	-0.03
10/24/2017	GALERMAN, ALAN	TRANSAMERICA LIBERTY	118,216.61	98.51	0.00	98.51	90.0	1.67
* MARC LINSKY SUBTOTAL *			\$-259,907.01	\$4,321.49	\$601.68	\$3,719.81		\$63.23
*** OVERRIDE TRANSACTIONS TOTAL ***			\$-199,260.28	\$4,491.03	\$691.68	\$3,799.35		\$59.89

ADJUSTMENTS

11/30/2017	*FEDERAL EXPRESS: 5-987-00899 11/08	0.00						-116.23
11/30/2017	*FEDERAL EXPRESS: 5-995-22360 11/15	0.00						-23.33
11/30/2017	*FEDERAL EXPRESS: 6-002-32938 11/22	0.00						-43.92
11/30/2017	*MISC: C FULMER, A LEEDS K141	0.00						540.00
11/30/2017	*MISC: C FULMER, A LEEDS C141	0.00						540.00
11/30/2017	*MISC: MAILER	0.00						-239.50
11/30/2017	*MISC: ROY AFLAC 1031DST	0.00						1,126.00
11/30/2017	*MISC: ROY, AFLAC, 1031DST	0.00						1,326.00
11/30/2017	*PERSHING: MARKUPS	0.00						180.00
11/30/2017	*PERSHING: MARKUPS	0.00						30.00
11/30/2017	*PERSHING: MARKUPS	0.00						4.50
11/30/2017	*SPLIT PAYOUT/OVERRIDE: BRANCH - -	0.00						10.45
11/30/2017	*SPLIT PAYOUT/OVERRIDE: BRANCH - CI	0.00						92.28
11/30/2017	*SPLIT PAYOUT/OVERRIDE: SPLIT - KI	0.00						62.56
11/30/2017	*SPLIT PAYOUT/OVERRIDE: SPLIT - PF	0.00						166.43
11/30/2017	*SPLIT PAYOUT/OVERRIDE: SPLIT - CIR	0.00						461.09
11/30/2017	*SPLIT PAYOUT/OVERRIDE: SPLIT - PFL	0.00						166.43
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$4,282.76

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BROKER COMMISSION TOTALS

Broker Transactions	\$4,986.55
Split Transactions	\$23,620.16
Override Transactions	\$59.89
Adjustments	\$4,282.76
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$32,949.36
Year-to-date Gross	\$1,449,406.55
Year-to-date Earnings	\$1,467,167.68