



Concorde Investment Services, LLC

11/13/2017

Page No. 1

COMMISSION STATEMENT

November 15, 2017

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
11/01/2017	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
10/10/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	3.95	0.00	3.95	48.0	1.90
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
10/10/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
10/10/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.31	0.00	6.31	48.0	3.03
11/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.20
10/10/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.50	0.00	3.50	48.0	1.68
11/01/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.20
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
10/10/2017	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.52	0.00	1.52	48.0	0.73
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
11/01/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
11/01/2017	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
10/10/2017	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	3.81	0.00	3.81	48.0	1.83
10/10/2017	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	48.0	0.98
10/10/2017	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.31	0.00	3.31	48.0	1.59
10/10/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.07
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.07
10/10/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
10/10/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
10/10/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
10/31/2017	TMICO	FRANKLIN INCOME C	0.00	7.91	0.00	7.91	48.0	3.80
10/31/2017	SPURGIN, LISBETH	FRANKLIN TOTAL RETURN FUNDS -CL C	0.00	5.40	0.00	5.40	48.0	2.59

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/31/2017	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	0.00	0.00	0.00	0.00	48.0	0.00
10/31/2017	MCCORMICK, DEBORAH	FT FOUNDING FUNDS ALLOC A	0.00	27.49	0.00	27.49	48.0	13.20
10/10/2017	BOWLAND, BOBBY	INVESCO MIDCAP CORE EQUITY A	0.00	7.78	0.00	7.78	48.0	3.73
10/10/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.99	0.00	0.99	48.0	0.48
10/10/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.84	0.00	0.84	48.0	0.40
/ /	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	0.08	0.00	0.08	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
11/02/2017	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	11.06	0.00	11.06	48.0	5.31
11/02/2017	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.39	0.00	4.39	48.0	2.11
* MUTUAL FUNDS SUBTOTAL *			\$450.00	\$114.06	\$0.00	\$114.06		\$54.76
<u>PRODUCT CATEGORY: STOCKS</u>								
10/16/2017	VICHI, PETER	PREFERRED APT CMNTYS INC COM	16,068.70	160.00	22.00	138.00	48.0	66.24
* STOCKS SUBTOTAL *			\$16,068.70	\$160.00	\$22.00	\$138.00		\$66.24
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/27/2017	RADER, LLOYD	AM GEN POLARIS PLATINUM III	214,400.92	13,400.06	0.00	13,400.06	48.0	6,432.03
11/02/2017	ALSTYNE, EUGENE	AM GEN POLARIS PLATINUM III	203,884.89	12,742.81	0.00	12,742.81	48.0	6,116.55
11/08/2017	GODWIN, SANDRA	AM GEN POLARIS PLATINUM III	150,084.07	9,380.25	0.00	9,380.25	48.0	4,502.52
10/31/2017	BRIDGES, JANIS	JNL ELITE ACCESS	103,637.17	86.36	0.00	86.36	48.0	41.45
10/31/2017	RHODES, VIRGINIA	JNL ELITE ACCESS	76,326.43	15.90	0.00	15.90	48.0	7.63
10/31/2017	CROWTHER, JOHN	JNL ELITE ACCESS	58,980.00	12.29	0.00	12.29	48.0	5.90
10/31/2017	NOBLES, VERLIE	JNL PERSPECTIVE L	31,814.15	34.47	0.00	34.47	48.0	16.55
10/31/2017	REEDER, WESLEY	JNL PERSPECTIVE L	17,640.24	19.11	0.00	19.11	48.0	9.17
10/31/2017	SPURGIN, BRENT	JNL PERSPECTIVE L	37,460.45	40.58	0.00	40.58	48.0	19.48
10/31/2017	GODWIN, SANDRA	JNL PERSPECTIVE L	149,951.50	162.45	0.00	162.45	48.0	77.98
10/31/2017	WALLACE, DEBORREH	JNL PERSPECTIVE L	83,123.89	69.27	0.00	69.27	48.0	33.25
10/31/2017	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,109.32	25.09	0.00	25.09	48.0	12.04
10/30/2017	BURNS, ANNE	SEC BEN 814121158	36,889.24	30.73	0.00	30.73	48.0	14.75
* VARIABLE ANNUITIES SUBTOTAL *			\$1,194,302.27	\$36,019.37	\$0.00	\$36,019.37		\$17,289.30
*** DIRECT TRANSACTIONS TOTAL ***			\$1,210,820.97	\$36,293.43	\$22.00	\$36,271.43		\$17,410.30

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>ADJUSTMENTS</u>								
11/15/2017		*AI INSIGHT: AI INSIGHT - CURRENT M	0.00					-7.00
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
11/15/2017		*LASER APP: LASER APP - CURRENT MON	0.00					-18.00
11/15/2017		*RBC: RBC CURRENT MONTH	0.00					-25.00
11/15/2017		*TECHNOLOGY: ADMIN - D INMAN	0.00					-130.00
11/15/2017		*TECHNOLOGY: CURRENT MONTH - BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-660.00

BROKER COMMISSION TOTALS

Broker Transactions	\$17,410.30
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-660.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-166.01
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$16,584.29
Year-to-date Gross	\$43,289.00
Year-to-date Earnings	\$20,773.34

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