



COMMISSION STATEMENT

January 29, 2018

WILLIAM FRANCIS
2 Bobrick Road
Poughkeepsie, NY 12601

BROKER #: A88
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/22/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS TAX ADVANTGED INC PO	187.50	5.63	0.00	5.63	70.0	3.94
	ACCOUNT #: LSR011547	BUY 13 Units @14.4700						
01/24/2018	***-**-40IO - KOMAR, NANCY	AMERICAN HIGH-INCOME TRUST-A	104,900.00	1,049.00	18.00	1,031.00	70.0	721.70
	ACCOUNT #: LSR012375	BUY 10048 Units @10.4400						
01/24/2018	***-**-40IO - KOMAR, NANCY	AMERICAN MUTUAL FUND-A	44,900.00	449.00	18.00	431.00	70.0	301.70
	ACCOUNT #: LSR012375	BUY 1053 Units @42.6500						
01/16/2018	***-**-3281 - DEWITT JR, LEE	BALANCED STRATEGY FUND CLASS A	100.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 02400113961	BUY 8 Units @12.3900						
01/24/2018	***-**-162K - LANGTON,	CALVERT INTRNTL RESPBL INDEX A-NFS	20,325.00	254.06	18.00	236.06	70.0	165.24
	ACCOUNT #: LSR012318	BUY 800 Units @25.4100						
01/24/2018	***-**-162K - LANGTON,	CALVERT LONG-TERM INCOME FUND	13,550.00	169.37	18.00	151.37	70.0	105.96
	ACCOUNT #: LSR012318	BUY 781 Units @17.3500						
01/24/2018	***-**-162K - LANGTON,	CALVERT SMALL CAP VALUE FUND	13,549.99	169.37	18.00	151.37	70.0	105.96
	ACCOUNT #: LSR012318	BUY 538 Units @25.1700						
01/24/2018	***-**-162K - LANGTON,	CALVERT SOCIAL INDEX A	13,549.99	169.37	18.00	151.37	70.0	105.96
	ACCOUNT #: LSR012318	BUY 565 Units @24.0000						
01/24/2018	***-**-162K - LANGTON,	CALVERT SOCIAL INVESTMENT FD EQUITY	33,875.01	423.43	18.00	405.43	70.0	283.80
	ACCOUNT #: LSR012318	BUY 728 Units @46.5600						
01/24/2018	***-**-162K - LANGTON,	CALVERT SOCIAL INVESTMENT FUND BOND	33,875.00	423.43	18.00	405.43	70.0	283.80
	ACCOUNT #: LSR012318	BUY 2076 Units @16.3200						
01/24/2018	***-**-40IO - KOMAR, NANCY	CAPITAL INCOME BUILDER-A	104,900.01	1,049.00	18.00	1,031.00	70.0	721.70
	ACCOUNT #: LSR012375	BUY 1621 Units @64.7300						
01/08/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	1,000.41	10.00	0.00	10.00	70.0	7.00
	ACCOUNT #: 00055761480	BUY 94 Units @10.6200						
01/24/2018	***-**-40IO - KOMAR, NANCY	THE INCOME FUND OF AMERICA-A	44,900.01	449.00	18.00	431.00	70.0	301.70
	ACCOUNT #: LSR012375	BUY 1858 Units @24.1600						
* MUTUAL FUNDS SUBTOTAL *			\$429,612.92	\$4,622.66	\$180.00	\$4,442.66		\$3,109.86
<u>PRODUCT CATEGORY: STOCKS</u>								
01/23/2018	***-**-2582 - AGUIAR, DANA	VANGUARD INDEX FDS VANGUARD SMALL C	617.12	39.99	15.08	24.91	70.0	17.44
	ACCOUNT #: LSR012300	SELL 4 Units @154.2800						
* STOCKS SUBTOTAL *			\$617.12	\$39.99	\$15.08	\$24.91		\$17.44



COMMISSION STATEMENT

January 29, 2018

WILLIAM FRANCIS
2 Bobrick Road
Poughkeepsie, NY 12601

BROKER #: A88
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
01/29/2018	***-**-5233 - DUTCHESS, ACCOUNT #: 841406	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	47.38	0.00	47.38	70.0	33.17
		* VARIABLE ANNUITIES SUBTOTAL *	\$0.00	\$47.38	\$0.00	\$47.38		\$33.17
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
01/03/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: 01224249951	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	14.52	0.00	14.52	70.0	10.16
01/22/2018	***-**-976J - KILLIAN, JAMES ACCOUNT #: LSR011547	AMERICAN FUNDS T/E PRESERVATION POR BUY 6 Units @9.9800	62.50	1.25	0.00	1.25	70.0	0.88
01/26/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: 6020029186	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	70.0	2.04
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT 131582454 BUY 241 Units @28.1600	6,774.99	84.68	0.00	84.68	70.0	59.28
01/29/2018	***-**-637I - BRUSIE, DOROTHY ACCOUNT #: LSR011447	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.73	0.00	2.73	70.0	1.91
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY CONSERVATIV ALLOCATION CL BUY 1 Units @0.0000	0.00	9.38	0.00	9.38	70.0	6.57
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY EPOCH GLOBAL EQUITY YLD A BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	70.0	2.80
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY HIGH-YIELD CORPORATE BOND BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	70.0	6.41
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY MODERATE ALLOCATION CL A BUY 1 Units @0.0000	0.00	4.35	0.00	4.35	70.0	3.05
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY SHORT DURATION HIGH YLD A BUY 1 Units @0.0000	0.00	4.38	0.00	4.38	70.0	3.07
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY TOTAL RETURN FUND A BUY 1 Units @0.0000	0.00	4.15	0.00	4.15	70.0	2.91
01/29/2018	***-**-1983 - FARKAS, KAYLEE ACCOUNT #: 55734681	MAINSTAY TRAILS BUY 0 Units @0.0000	0.00	6.34	0.00	6.34	70.0	4.44
01/29/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 11296257	MAINSTAY TRAILS BUY 0 Units @0.0000	0.00	19.70	0.00	19.70	70.0	13.79
01/29/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 11296257	MAINSTAY TRAILS BUY 0 Units @0.0000	0.00	11.60	0.00	11.60	70.0	8.12



COMMISSION STATEMENT

January 29, 2018

WILLIAM FRANCIS
2 Bobrick Road
Poughkeepsie, NY 12601

BROKER #: A88
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	15.60	0.00	15.60	70.0	10.92
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	14.14	0.00	14.14	70.0	9.90
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	3.49	0.00	3.49	70.0	2.44
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	3.49	0.00	3.49	70.0	2.44
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	1.12	0.00	1.12	70.0	0.78
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-58UT - BABBONI, MAXWELL	MAINSTAY TRAILS	0.00	5.71	0.00	5.71	70.0	4.00
	ACCOUNT #: 00055883190	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	4.25	0.00	4.25	70.0	2.98
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-5161 - FARKAS,	MAINSTAY TRAILS	0.00	1.48	0.00	1.48	70.0	1.04
	ACCOUNT #: 55513668	BUY 0 Units @0.0000						
01/29/2018	***-**-6593 - FARKAS, JOSEPH	MAINSTAY TRAILS	0.00	1.56	0.00	1.56	70.0	1.09
	ACCOUNT #: 55513669	BUY 0 Units @0.0000						
01/29/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY TRAILS	0.00	6.14	0.00	6.14	70.0	4.30
	ACCOUNT #: 55720031	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	0.91	0.00	0.91	70.0	0.64
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-0240 - CHAUVIN, LAURA	MAINSTAY TRAILS	0.00	5.76	0.00	5.76	70.0	4.03
	ACCOUNT #: 55749831	BUY 0 Units @0.0000						
01/29/2018	***-**-6717 - DEBONIS, BRENDA	MAINSTAY TRAILS	0.00	4.39	0.00	4.39	70.0	3.07
	ACCOUNT #: 00011265204	BUY 0 Units @0.0000						
01/29/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY TRAILS	0.00	59.29	0.00	59.29	70.0	41.50
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
01/29/2018	***-**-3569 - ANDERSON,	MAINSTAY TRAILS	0.00	48.35	0.00	48.35	70.0	33.85
	ACCOUNT #: 00011265211	BUY 0 Units @0.0000						
01/29/2018	***-**-6717 - DEBONIS, BRENDA	MAINSTAY TRAILS	0.00	7.63	0.00	7.63	70.0	5.34
	ACCOUNT #: 00011265204	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 29, 2018

WILLIAM FRANCIS
2 Bobrick Road
Poughkeepsie, NY 12601

BROKER #: A88
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY TRAILS	0.00	102.48	0.00	102.48	70.0	71.74
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	-3.49	0.00	-3.49	70.0	-2.44
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-548I - MOLONEY, JAMES	MAINSTAY UNCONSTRND BOND OPPORTUNIT	0.00	7.36	0.00	7.36	70.0	5.15
	ACCOUNT #: LSR011545	BUY 1 Units @0.0000						
01/29/2018	***-**-548I - MOLONEY, JAMES	MAINSTAY US EQUITY OPPORTUNITIES CL	0.00	3.72	0.00	3.72	70.0	2.60
	ACCOUNT #: LSR011545	BUY 1 Units @0.0000						
01/29/2018	***-**-091I - GLASSFORD,	OPP PORT SERIES: MOD INV FD A	0.00	1.91	0.00	1.91	70.0	1.34
	ACCOUNT #: LSR011526	BUY 1 Units @0.0000						
01/29/2018	***-**-637I - BRUSIE, DOROTHY	OPPENHEIMER GLOBAL HIGH YIELD CL A	0.00	2.15	0.00	2.15	70.0	1.51
	ACCOUNT #: LSR011447	BUY 1 Units @0.0000						
01/29/2018	***-**-637I - BRUSIE, DOROTHY	OPPENHEIMER SENIOR FLOATING RATE PL	0.00	2.17	0.00	2.17	70.0	1.52
	ACCOUNT #: LSR011447	BUY 1 Units @0.0000						
01/29/2018	***-**-637I - BRUSIE, DOROTHY	OPPENHEIMER STEELPATH MLP INC.FND C	0.00	0.37	0.00	0.37	70.0	0.26
	ACCOUNT #: LSR011447	BUY 1 Units @0.0000						
01/29/2018	***-**-445J - NORTH, CHARLES	ROCHESTER FUND MUNICIPALS A	0.00	18.00	0.00	18.00	70.0	12.60
	ACCOUNT #: LSR011778	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$6,837.49	\$497.14	\$0.00	\$497.14		\$348.03
*** BROKER TRANSACTIONS TOTAL ***			\$437,067.53	\$5,207.17	\$195.08	\$5,012.09		\$3,508.50



BROKER #: A88
BRANCH #01001 - LifeMark Home Office

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$3,508.50
						Split Transactions		\$0.00
						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
						Net Commission Earned		\$3,508.50
						Year-to-date Earnings		\$8,947.82