



COMMISSION STATEMENT

May 21, 2018

DAVID BRODER
143 Longfellow Rd
Shelton, CT 06484

BROKER #: 198
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>								
05/11/2018	***-**-674I - RAMSEY, MARION	JOHN HANCOCK TECHNICAL OPPS CL A	22.39	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @12.5700						
05/15/2018	***-**-736I - UNGER, HELEN	PACIFIC FUNDS STRATEGIC INC FD A	5,000.00	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR011196	SELL 468 Units @10.6800						
05/11/2018	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	62.25	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 3 Units @24.7900						
05/11/2018	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	140.40	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 24 Units @5.8000						
05/17/2018	***-**-714O - MAYERSON, STEVEN	RESOURCE REAL ESTATES-NFS	8,629.00	474.59	18.00	456.59	70.0	319.61
	ACCOUNT #: LSR012678	BUY 798 Units @10.8200						
		* MUTUAL FUNDS SUBTOTAL *	\$13,854.04	\$492.59	\$36.00	\$456.59		\$319.61
<u>PRODUCT CATEGORY: RIA</u>								
05/21/2018	***-**-87FB - AMANTE, JAMES	GENWORTH ADVISOR FEES	0.00	-125.00	0.00	-125.00	70.0	-87.50
		BUY 1 Units @0.0000						
05/21/2018	***-**-44FB - ADDONA, MARIO	GPS ACCUMULATION, PROFILE 5, GROWTH	13,943.71	52.14	0.00	52.14	70.0	36.50
	ACCOUNT #: 3394862	BUY 0 Units @139.4371						
05/21/2018	***-**-87FB - AMANTE, JAMES	GLOBAL MARKET BLEND, PROFILE 5, GRO	86,079.58	214.60	0.00	214.60	70.0	150.22
	ACCOUNT #: 3479710	BUY 0 Units @860.7958						
		* RIA SUBTOTAL *	\$100,023.29	\$141.74	\$0.00	\$141.74		\$99.22
<u>PRODUCT CATEGORY: 529 PLAN</u>								
05/21/2018	***-**-925P - FENGLER, DANIEL	CHET 529	100.00	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: 68939901202	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$100.00	\$2.50	\$0.00	\$2.50		\$1.75
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/21/2018	***-**-752I - BRODER, RUTH	FIDELITY ADV BALANCED CL A	0.00	1.78	0.00	1.78	70.0	1.25
	ACCOUNT #: LSR010670	BUY 1 Units @0.0000						
05/21/2018	***-**-287O - AMANTE, JAMES	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: LSR010473	BUY 1 Units @0.0000						
05/21/2018	***-**-26IN - SANTOS, FATIMA	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.48	0.00	0.48	70.0	0.34
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	11.24	0.00	11.24	70.0	7.87
05/21/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	70.0	1.62
05/21/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	70.0	0.24
05/21/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	70.0	0.85
05/21/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	7.16	0.00	7.16	70.0	5.01
05/21/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	3.80	0.00	3.80	70.0	2.66
05/21/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	3.52	0.00	3.52	70.0	2.46
05/21/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	10.71	0.00	10.71	70.0	7.50
05/21/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV CONSUMER STAPLES-CL T BUY 1 Units @0.0000	0.00	8.65	0.00	8.65	70.0	6.06
05/21/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	12.19	0.00	12.19	70.0	8.53
05/21/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	70.0	4.12
05/21/2018	***-**-226O - MAYERSON, MS ACCOUNT #: LSR010890	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	70.0	2.06
05/21/2018	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	70.0	0.58
05/21/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	70.0	0.50
05/21/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	70.0	1.70
05/21/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADVISOR EQUITY INCOME CL T BUY 1 Units @0.0000	0.00	14.23	0.00	14.23	70.0	9.96



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	FIDELITY ADVISOR REAL ESTATE INCOME BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	70.0	2.30
05/14/2018	***-**-57IR - SOCHA, CYNTHIA ACCOUNT #: 00002019641	JOHN HANCOCK TECHNICAL OPPS CL A BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	70.0	1.57
05/21/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	JOHN HANCOCK TECHNICAL OPPS CL A BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	70.0	0.30
05/21/2018	***-**-721I - GUARNA, CATERINA ACCOUNT #: LSR012322	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	70.0	0.60
05/21/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	4.41	0.00	4.41	70.0	3.09
05/21/2018	***-**-287O - AMANTE, JAMES ACCOUNT #: LSR010473	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	70.0	2.06
05/21/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	70.0	1.57
05/21/2018	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	70.0	0.02
05/21/2018	***-**-99UT - BRODER, ZACHARY ACCOUNT #: LSR011809	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	70.0	0.01
05/21/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	70.0	1.73
05/21/2018	***-**-31IR - BRUNO, CAROL ACCOUNT #: LSR012058	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	70.0	0.80
05/21/2018	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	70.0	1.40
05/21/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	70.0	0.85
05/21/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	70.0	0.48
05/21/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	70.0	2.80
05/21/2018	***-**-04UT - BRODER, HARRISON ACCOUNT #: LSR011807	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	70.0	0.12



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-B	0.00	0.48	0.00	0.48	70.0	0.34
	ACCOUNT #: LSR011808	BUY 1 Units @0.0000						
05/21/2018	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-B	0.00	0.48	0.00	0.48	70.0	0.34
	ACCOUNT #: LSR011809	BUY 1 Units @0.0000						
05/21/2018	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-C	0.00	0.01	0.00	0.01	70.0	0.01
	ACCOUNT #: LSR011807	BUY 1 Units @0.0000						
05/21/2018	***-**-43IN - RISKALLA,	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	7.19	0.00	7.19	70.0	5.03
	ACCOUNT #: LSR010472	BUY 1 Units @0.0000						
05/21/2018	***-**-069I - RICH, PATRICIA	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	3.99	0.00	3.99	70.0	2.79
	ACCOUNT #: LSR010684	BUY 1 Units @0.0000						
05/21/2018	***-**-76TR - STEELE	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	6.32	0.00	6.32	70.0	4.42
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
05/21/2018	***-**-673I - CZUBIK,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	3.24	0.00	3.24	70.0	2.27
	ACCOUNT #: LSR010662	BUY 1 Units @0.0000						
05/21/2018	***-**-18IN - SANCHEZ, THERESA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.41	0.00	2.41	70.0	1.69
	ACCOUNT #: LSR010749	BUY 1 Units @0.0000						
05/21/2018	***-**-26IN - SANTOS, FATIMA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						
05/21/2018	***-**-674O - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	1.98	0.00	1.98	70.0	1.39
	ACCOUNT #: LSR012274	BUY 1 Units @0.0000						
05/21/2018	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.83	0.00	2.83	70.0	1.98
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
05/21/2018	***-**-84IR - FARQUHAR, TARA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.33	0.00	0.33	70.0	0.23
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
05/21/2018	***-**-732J - FARQUHAR,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.37	0.00	2.37	70.0	1.66
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
05/21/2018	***-**-226O - MAYERSON, MS	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	5.08	0.00	5.08	70.0	3.56
	ACCOUNT #: LSR010890	BUY 1 Units @0.0000						
05/21/2018	***-**-809O - RICH, JOSEPH	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	0.85	0.00	0.85	70.0	0.60
	ACCOUNT #: LSR012491	BUY 1 Units @0.0000						
05/21/2018	***-**-76TR - STEELE	PUTNAM TAX-FREE HIGH YIELD-B	0.00	5.44	0.00	5.44	70.0	3.81
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-52IN - BRODER, RUTH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	3.06	0.00	3.06	70.0	2.14
05/21/2018	***-**-543I - RISKALLA, ACCOUNT #: 20033401	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	2.82	0.00	2.82	70.0	1.97
05/21/2018	***-**-76TR - STEELE ACCOUNT #: 20033530	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	2.01	0.00	2.01	70.0	1.41
05/21/2018	***-**-846I - BREEN, KENNETH ACCOUNT #: 020033838	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	3.32	0.00	3.32	70.0	2.32
05/21/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	4.12	0.00	4.12	70.0	2.88
05/21/2018	***-**-09IR - RICH, JOSEPH ACCOUNT #: LSR010679	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	70.0	1.16
05/21/2018	***-**-69IR - RICH, PATRICIA ACCOUNT #: LSR010683	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	70.0	1.15
05/21/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	3.88	0.00	3.88	70.0	2.72
05/21/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	2.90	0.00	2.90	70.0	2.03
05/21/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	70.0	0.38
05/21/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	70.0	1.37
05/21/2018	***-**-721I - GUARNA, CATERINA ACCOUNT #: LSR012322	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	70.0	0.60
05/21/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	70.0	5.89
05/14/2018	***-**-118I - PIRULLI, DEBORAH ACCOUNT #: 00002034826	STRATEGIC INCOME A BUY 0 Units @0.0000	0.00	4.99	0.00	4.99	70.0	3.49
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$204.71	\$0.00	\$204.71		\$143.33
*** BROKER TRANSACTIONS TOTAL ***			\$113,977.33	\$841.54	\$36.00	\$805.54		\$563.91



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BROKER COMMISSION TOTALS								
Broker Transactions \$563.91								
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 \$563.91								
Year-to-date Earnings \$18,060.54								