



# COMMISSION STATEMENT

## January 15, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/02/2018	***-**-8325 - BUECHEL, ACCOUNT #: 00088244527	AMERICAN BALANCED FUND-A BUY 5 Units @27.8100	126.92	2.03	0.00	2.03	70.0	1.42
01/02/2018	***-**-8325 - BUECHEL, ACCOUNT #: 00088244527	AMERICAN BALANCED FUND-A BUY 5 Units @27.8100	126.92	2.03	0.00	2.03	70.0	1.42
01/08/2018	***-**-53IO - MOSHER, JEANINE ACCOUNT #: LSR011815	AMERICAN BALANCED FUND-A SELL 91 Units @27.5400	2,500.00	0.00	18.00	-18.00	100.0	-18.00
01/02/2018	***-**-7033 - TURNER, BRYAN ACCOUNT #: 00089463498	AMERICAN FUNDS 2045 TARGET DATE-A BUY 36 Units @15.8900	565.40	9.05	0.00	9.05	70.0	6.34
01/02/2018	***-**-7033 - TURNER, BRYAN ACCOUNT #: 00089463498	AMERICAN FUNDS 2045 TARGET DATE-A BUY 11 Units @15.8900	169.60	2.71	0.00	2.71	70.0	1.90
01/02/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 17 Units @18.6500	323.08	5.17	0.00	5.17	70.0	3.62
01/02/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 7 Units @18.6500	138.48	2.22	0.00	2.22	70.0	1.55
01/08/2018	***-**-55IO - KOMAR, EDWARD ACCOUNT #: LSR011569	AMERICAN HIGH-INCOME TRUST-A BUY 594 Units @10.4400	6,200.00	62.00	18.00	44.00	70.0	30.80
01/08/2018	***-**-55IO - KOMAR, EDWARD ACCOUNT #: LSR011569	AMERICAN MUTUAL FUND-A BUY 136 Units @41.6000	5,640.00	56.40	18.00	38.40	70.0	26.88
01/08/2018	***-**-55IO - KOMAR, EDWARD ACCOUNT #: LSR011569	CAPITAL INCOME BUILDER-A BUY 84 Units @63.4500	5,349.98	53.50	18.00	35.50	70.0	24.85
01/08/2018	***-**-55IO - KOMAR, EDWARD ACCOUNT #: LSR011569	CAPITAL WORLD GROWTH AND INCOME FUN BUY 102 Units @52.4600	5,349.98	53.50	18.00	35.50	70.0	24.85
12/20/2017	***-**-0485 - WHALEN, STEPHEN ACCOUNT #: 06090486215	FEDERATED 31421R841 BUY 2 Units @20.0100	50.00	2.50	0.00	2.50	70.0	1.75
01/02/2018	***-**-2633 - BUTLER, JAIME ACCOUNT #: 00075179061	NEW PERSPECTIVE FUND-A BUY 1 Units @44.5300	33.12	0.53	0.00	0.53	70.0	0.37
01/02/2018	***-**-2633 - BUTLER, JAIME ACCOUNT #: 00075179061	NEW PERSPECTIVE FUND-A BUY 1 Units @44.5300	24.84	0.40	0.00	0.40	70.0	0.28
01/02/2018	***-**-9064 - GUERRERO, NIGEL ACCOUNT #: 00088394220	NEW PERSPECTIVE FUND-A BUY 1 Units @44.5300	38.08	0.61	0.00	0.61	70.0	0.43
01/02/2018	***-**-9064 - GUERRERO, NIGEL ACCOUNT #: 00088394220	NEW PERSPECTIVE FUND-A BUY 1 Units @44.5300	38.08	0.61	0.00	0.61	70.0	0.43



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
01/02/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 3 Units @13.1200						
01/02/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 2 Units @13.1200						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE BOND FUND OF AMERICA-A	12.69	0.20	0.00	0.20	70.0	0.14
	ACCOUNT #: 00088394220	BUY 1 Units @13.1200						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE BOND FUND OF AMERICA-A	12.69	0.20	0.00	0.20	70.0	0.14
	ACCOUNT #: 00088394220	BUY 1 Units @13.1200						
01/08/2018	***-**-55IO - KOMAR, EDWARD	THE BOND FUND OF AMERICA-A	2,537.00	25.37	18.00	7.37	70.0	5.16
	ACCOUNT #: LSR011569	BUY 197 Units @12.8500						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	50.77	0.81	0.00	0.81	70.0	0.57
	ACCOUNT #: 00088394220	BUY 1 Units @51.1800						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	50.77	0.81	0.00	0.81	70.0	0.57
	ACCOUNT #: 00088394220	BUY 1 Units @51.1800						
01/02/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 1 Units @23.9200						
01/02/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 1 Units @23.9200						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE INCOME FUND OF AMERICA-A	25.38	0.41	0.00	0.41	70.0	0.29
	ACCOUNT #: 00088394220	BUY 1 Units @23.9200						
01/02/2018	***-**-9064 - GUERRERO, NIGEL	THE INCOME FUND OF AMERICA-A	25.38	0.41	0.00	0.41	70.0	0.29
	ACCOUNT #: 00088394220	BUY 1 Units @23.9200						
01/08/2018	***-**-55IO - KOMAR, EDWARD	THE INCOME FUND OF AMERICA-A	3,099.99	31.00	18.00	13.00	70.0	9.10
	ACCOUNT #: LSR011569	BUY 131 Units @23.6700						
01/02/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 1 Units @41.5900						
01/02/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 1 Units @41.5900						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$32,663.03</b>	<b>\$315.26</b>	<b>\$126.00</b>	<b>\$189.26</b>		<b>\$127.10</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/12/2018	***-**-9587 - FILTER COMPANY, ACCOUNT #: 836356	MASS MUTUAL VA BUY 1 Units @0.0000	0.00	1,408.21	0.00	1,408.21	70.0	985.75
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$1,408.21</b>	<b>\$0.00</b>	<b>\$1,408.21</b>		<b>\$985.75</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
01/15/2018	***-**-775P - RYAN, MARY ACCOUNT #: 77321355401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	70.0	1.09
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$1.55</b>	<b>\$0.00</b>	<b>\$1.55</b>		<b>\$1.09</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/31/2017	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 03008846068	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	24.86	0.00	24.86	70.0	17.40
12/31/2017	***-**-3569 - ANDERSON, ACCOUNT #: 03008855924	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	70.0	0.90
12/31/2017	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 07604404499	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	70.0	0.00
12/31/2017	***-**-3987 - LINGE, MARY ACCOUNT #: 08351856019	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	5.72	0.00	5.72	70.0	4.00
12/31/2017	***-**-5922 - HOTAILING, ACCOUNT #: 04206469364	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	70.0	0.88
12/31/2017	***-**-3987 - LINGE, MARY ACCOUNT #: 00100031714	OPPENHEIMER CORP. BOND FUND A BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	70.0	1.66
12/31/2017	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 00100011111	OPPENHEIMER GLOBAL HIGH YIELD CL A BUY 0 Units @0.0000	0.00	10.80	0.00	10.80	70.0	7.56
12/31/2017	***-**-3987 - LINGE, MARY ACCOUNT #: 01952249841	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	70.0	2.04
12/31/2017	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 03620059224	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 0 Units @0.0000	0.00	7.80	0.00	7.80	70.0	5.46
12/31/2017	***-**-5680 - MOLINARO, ACCOUNT #: 02911903132	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	2.68	0.00	2.68	70.0	1.88
12/31/2017	***-**-3569 - ANDERSON, ACCOUNT #: 02913088899	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	10.95	0.00	10.95	70.0	7.67



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-7274 - VALENTINO, ACCOUNT #: 02253862573	RISEING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.47	0.00	3.47	70.0	2.43
12/31/2017	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03551239700	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	16.95	0.00	16.95	70.0	11.87
12/31/2017	***-**-0780 - CADMAN, ELONA ACCOUNT #: 03551252966	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	70.0	0.43
12/31/2017	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 03551329053	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	70.0	2.81
12/31/2017	***-**-5680 - MOLINARO, ACCOUNT #: 03570606353	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	4.81	0.00	4.81	70.0	3.37
12/31/2017	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 03570643478	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	5.88	0.00	5.88	70.0	4.12
12/31/2017	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03653246980	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	32.64	0.00	32.64	70.0	22.85
12/31/2017	***-**-0780 - CADMAN, ELONA ACCOUNT #: 03653291596	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	2.83	0.00	2.83	70.0	1.98
12/31/2017	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 03653390475	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	10.08	0.00	10.08	70.0	7.06
12/31/2017	***-**-5680 - MOLINARO, ACCOUNT #: 03670696509	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.36	0.00	7.36	70.0	5.15
12/31/2017	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 03670698060	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.46	0.00	7.46	70.0	5.22
12/31/2017	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 03670728728	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	6.74	0.00	6.74	70.0	4.72
12/31/2017	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 02932073918	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	72.44	0.00	72.44	70.0	50.71
12/31/2017	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 00100011210	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	48.41	0.00	48.41	70.0	33.89
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$294.35</b>	<b>\$0.00</b>	<b>\$294.35</b>		<b>\$206.06</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$32,663.03</b>	<b>\$2,019.37</b>	<b>\$126.00</b>	<b>\$1,893.37</b>		<b>\$1,320.00</b>



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BRANCH #01001 - LifeMark Home Office

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
					Broker Transactions			\$1,320.00
					Split Transactions			\$0.00
					Override Transactions			\$0.00
					Adjustments			\$0.00
					Payroll Draw			\$0.00
					Base Salary			\$0.00
					Prior Period Balance			\$74.22
					FINRA Assessment			\$0.00
					SIPC Assessment			\$0.00
					Net Commission Earned			\$1,394.22
					Year-to-date Earnings			\$2,764.13