



COMMISSION STATEMENT

January 29, 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>								
01/22/2018	***-**-84IR - FARQUHAR, TARA	FIDELITY ADV NEW INSIGHTS-CL A	50.01	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: LSR012312	BUY 1 Units @35.7500						
01/19/2018	***-**-809I - RICH, JOSEPH	PACIFIC FUNDS LMT DURATION HIGH INC	20,823.14	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010668	SELL 2271 Units @9.1700						
01/19/2018	***-**-069I - RICH, PATRICIA	PACIFIC FUNDS LMT DURATION HIGH INC	16,982.37	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010684	SELL 1852 Units @9.1700						
01/22/2018	***-**-84IR - FARQUHAR, TARA	PUTNAM EQUITY INCOME FUND-A	49.99	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: LSR012312	BUY 2 Units @27.3600						
01/23/2018	***-**-069I - RICH, PATRICIA	RESOURCE REAL ESTATES-NFS	3,000.00	165.00	18.00	147.00	70.0	102.90
	ACCOUNT #: LSR010684	BUY 281 Units @10.6700						
* MUTUAL FUNDS SUBTOTAL *			\$40,905.51	\$170.00	\$54.00	\$116.00		\$70.40
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/26/2018	***-**-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>								
01/29/2018	***-**-657I - BERRIEN, ALLEN	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: LSR010323	BUY 1 Units @0.0000						
01/29/2018	***-**-226O - MAYERSON, MS	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.48	0.00	0.48	70.0	0.34
	ACCOUNT #: LSR010890	BUY 1 Units @0.0000						
01/29/2018	***-**-889I - BAILLARGEON,	JANUS HENDERSON GLBL EQUITY INC CL	0.00	0.86	0.00	0.86	70.0	0.60
	ACCOUNT #: LSR012333	BUY 1 Units @0.0000						
01/16/2018	***-**-57IR - SOCHA, CYNTHIA	JOHN HANCOCK TECHNICAL OPPS CL A	0.00	2.19	0.00	2.19	70.0	1.53
	ACCOUNT #: 00002019641	BUY 0 Units @0.0000						
01/29/2018	***-**-43IN - RISKALLA,	PIMCO COMMODITIES PLUS STRATEGY CL	0.00	2.77	0.00	2.77	70.0	1.94
	ACCOUNT #: LSR010472	BUY 1 Units @0.0000						
01/29/2018	***-**-57IO - SOCHA, CYNTHIA	PIMCO COMMODITIES PLUS STRATEGY CL	0.00	1.84	0.00	1.84	70.0	1.29
	ACCOUNT #: LSR010500	BUY 1 Units @0.0000						
01/29/2018	***-**-889I - BAILLARGEON,	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.87	0.00	0.87	70.0	0.61
	ACCOUNT #: LSR012333	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-287O - AMANTE, JAMES ACCOUNT #: LSR010473	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	3.04	0.00	3.04	70.0	2.13
01/29/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	70.0	1.62
01/29/2018	***-**-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
01/29/2018	***-**-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
01/29/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	70.0	1.79
01/29/2018	***-**-31IR - BRUNO, CAROL ACCOUNT #: LSR012058	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	70.0	0.82
01/29/2018	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	70.0	1.45
01/29/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	70.0	1.23
01/29/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	70.0	0.43
01/29/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	4.14	0.00	4.14	70.0	2.90
01/29/2018	***-**-04UT - BRODER, HARRISON ACCOUNT #: LSR011807	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	70.0	0.30
01/29/2018	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	70.0	0.35
01/29/2018	***-**-99UT - BRODER, ZACHARY ACCOUNT #: LSR011809	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	70.0	0.35
01/29/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	7.57	0.00	7.57	70.0	5.30
01/29/2018	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	70.0	0.97
01/29/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	4.20	0.00	4.20	70.0	2.94



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	6.55	0.00	6.55	70.0	4.59
01/29/2018	***-**-673I - CZUBIK, ACCOUNT #: LSR010662	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	3.40	0.00	3.40	70.0	2.38
01/29/2018	***-**-09IR - RICH, JOSEPH ACCOUNT #: LSR010679	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	70.0	0.80
01/29/2018	***-**-69IR - RICH, PATRICIA ACCOUNT #: LSR010683	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	70.0	0.79
01/29/2018	***-**-18IN - SANCHEZ, THERESA ACCOUNT #: LSR010749	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	70.0	1.74
01/29/2018	***-**-26IN - SANTOS, FATIMA ACCOUNT #: LSR011234	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	70.0	0.18
01/29/2018	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	70.0	1.44
01/29/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	3.03	0.00	3.03	70.0	2.12
01/29/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	70.0	0.21
01/29/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	70.0	1.72
01/29/2018	***-**-226O - MAYERSON, MS ACCOUNT #: LSR010890	PUTNAM TAX-FREE HIGH YIELD FUND CLA BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	70.0	3.68
01/29/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	PUTNAM TAX-FREE HIGH YIELD-B BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	70.0	3.96
01/16/2018	***-**-118I - PIRULLI, DEBORAH ACCOUNT #: 00002034826	STRATEGIC INCOME A BUY 0 Units @0.0000	0.00	5.18	0.00	5.18	70.0	3.63
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$80.20	\$0.00	\$80.20		\$56.19
*** BROKER TRANSACTIONS TOTAL ***			\$41,005.51	\$252.70	\$54.00	\$198.70		\$128.34



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$128.34
						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		\$128.34
						Year-to-date Earnings		\$8,989.61