



COMMISSION STATEMENT

February 05, 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>								
01/16/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	40.00	1.60	0.00	1.60	70.0	1.12
	ACCOUNT #: 04752066331	BUY 1 Units @37.3700						
01/30/2018	***-**-47FB - TORRES, SHARI	AMCAP FUND-A	163.21	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @33.8900						
01/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	194.50	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 7 Units @27.9500						
01/30/2018	***-**-53IO - MOSHER, JEANINE	AMERICAN BALANCED FUND-A	399.99	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011815	SELL 14 Units @27.9500						
01/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	44.21	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 4 Units @10.4000						
01/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	204.25	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @42.5700						
01/16/2018	***-**-3987 - LINGE, MARY	EQUITY INCOME FUND, INC. A	100.00	4.75	0.00	4.75	70.0	3.33
	ACCOUNT #: 08351856019	BUY 0 Units @0.0000						
01/22/2018	***-**-5922 - HOTAILING,	FRANKLIN INCOME FUND CLASS A	112.50	3.15	0.00	3.15	70.0	2.21
	ACCOUNT #: 000090221306726	BUY 45 Units @2.5200						
01/22/2018	***-**-5922 - HOTAILING,	FRANKLIN RISING DIVIDENDS FD CLASS	112.50	3.15	0.00	3.15	70.0	2.21
	ACCOUNT #: 000015812472167	BUY 2 Units @66.5500						
01/22/2018	***-**-5922 - HOTAILING,	FRK HIGH INC FND - CL A	112.50	3.15	0.00	3.15	70.0	2.21
	ACCOUNT #: 000050118127094	BUY 57 Units @1.9700						
01/16/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	200.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 00055761480	BUY 19 Units @10.6100						
01/16/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER CORP. BOND FUND A	50.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 00100031714	BUY 0 Units @0.0000						
01/16/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	2.38	0.00	2.38	70.0	1.67
	ACCOUNT #: 01952249841	BUY 0 Units @0.0000						
01/22/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 4 Units @14.7000						
01/22/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	160.00	4.40	0.00	4.40	70.0	3.08
	ACCOUNT #: 00186955359	BUY 5 Units @35.0300						
01/22/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	190.00	5.23	0.00	5.23	70.0	3.66
	ACCOUNT #: 00186955359	BUY 31 Units @6.1500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM INTERNATIONAL EQUITY-A BUY 3 Units @28.9700	80.00	2.20	0.00	2.20	70.0	1.54
01/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM MID-CAP VALUE FUND-A BUY 3 Units @21.7500	60.00	1.65	0.00	1.65	70.0	1.16
01/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 000006984984022	TEMP GLOBAL BOND FND - CL A BUY 9 Units @12.5300	112.50	3.15	0.00	3.15	70.0	2.21
01/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE BOND FUND OF AMERICA-A SELL 9 Units @12.7200	119.20	0.00	0.00	0.00	70.0	0.00
01/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE GROWTH FUND OF AMERICA-A SELL 2 Units @53.5000	112.83	0.00	0.00	0.00	70.0	0.00
01/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	WASHINGTON MUTUAL INVESTORS FUND-A SELL 3 Units @47.9300	161.28	0.00	0.00	0.00	70.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$2,839.47	\$40.46	\$0.00	\$40.46		\$28.36
PRODUCT CATEGORY: STOCKS								
02/01/2018	***-**-585X - LAURICELLA, ADAM ACCOUNT #: LSR011433	FIDELITY FREEDOM 2035 BUY 122 Units @16.0300	1,950.00	0.00	18.00	-18.00	100.0	-18.00
* STOCKS SUBTOTAL *			\$1,950.00	\$0.00	\$18.00	\$-18.00		\$-18.00
PRODUCT CATEGORY: RIA								
02/05/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: 297864	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @4.6064	46,064.55	115.16	0.00	115.16	70.0	80.61
* RIA SUBTOTAL *			\$46,064.55	\$115.16	\$0.00	\$115.16		\$80.61
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
01/31/2018	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: EVN46024214	MASS MUTUAL VA DTCC TRAILS BUY 0 Units @0.0000	0.00	60.36	0.00	60.36	70.0	42.25
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$60.36	\$0.00	\$60.36		\$42.25
*** BROKER TRANSACTIONS TOTAL ***			\$50,854.02	\$215.98	\$18.00	\$197.98		\$133.22



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DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER COMMISSION TOTALS									
Broker Transactions \$133.22									
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 \$133.22									
Year-to-date Earnings \$133.22									