



# COMMISSION STATEMENT

## July 16, 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>								
07/06/2018	***-**-00IO - DEWEY, JAN	AMERICAN CORPORATE BOND FUND A	150,510.00	1,806.12	18.00	1,788.12	70.0	1,251.68
	ACCOUNT #: LSR012701	BUY 14829 Units @10.1500						
07/06/2018	***-**-42IR - COOKE, ROBERT	AMERICAN FUNDS GROWTH PORTFOLIO A	1,170.00	58.50	18.00	40.50	70.0	28.35
	ACCOUNT #: LSR011395	BUY 58 Units @20.2300						
07/06/2018	***-**-42IR - COOKE, ROBERT	AMERICAN FUNDS INCOME PORT CL A	705.00	35.25	18.00	17.25	70.0	12.08
	ACCOUNT #: LSR011395	BUY 53 Units @13.2400						
07/06/2018	***-**-00IO - DEWEY, JAN	AMERICAN HIGH-INCOME TRUST-A	37,510.00	450.12	18.00	432.12	70.0	302.48
	ACCOUNT #: LSR012701	BUY 3649 Units @10.2800						
07/06/2018	***-**-00IO - DEWEY, JAN	AMERICAN MUTUAL FUND-A	150,510.01	1,806.12	18.00	1,788.12	70.0	1,251.68
	ACCOUNT #: LSR012701	BUY 3599 Units @41.8200						
07/12/2018	***-**-792J - FITZGERALD, MARY	CALVERT CONSERVATIVE ALLOC CL C-NFS	5,053.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012646	SELL 298 Units @16.9400						
07/06/2018	***-**-00IO - DEWEY, JAN	CAPITAL WORLD BOND FUND-A	37,510.00	450.12	18.00	432.12	70.0	302.48
	ACCOUNT #: LSR012701	BUY 1889 Units @19.8600						
06/20/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED MDT BALANCED	50.00	2.50	0.00	2.50	70.0	1.75
		BUY 0 Units @0.0000						
07/06/2018	***-**-42IR - COOKE, ROBERT	PRESERVATION PORTFOLIO-A	470.00	9.40	18.00	-8.60	100.0	-8.60
	ACCOUNT #: LSR011395	BUY 47 Units @9.9900						
07/06/2018	***-**-00IO - DEWEY, JAN	THE GROWTH FUND OF AMERICA-A	187,510.00	2,250.12	18.00	2,232.12	70.0	1,562.48
	ACCOUNT #: LSR012701	BUY 3369 Units @55.6500						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$570,998.01</b>	<b>\$6,868.25</b>	<b>\$162.00</b>	<b>\$6,706.25</b>		<b>\$4,686.38</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
07/12/2018	***-**-585X - LAURICELLA, ADAM	FIDELITY FREEDOM 2035	4,000.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR011433	BUY 263 Units @15.2000						
<b>* STOCKS SUBTOTAL *</b>			<b>\$4,000.00</b>	<b>\$0.00</b>	<b>\$18.00</b>	<b>\$-18.00</b>		<b>\$-18.00</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
07/16/2018	***-**-9587 - FILTER COMPANY,	MASS MUTUAL VA	0.00	1,467.35	0.00	1,467.35	70.0	1,027.15
	ACCOUNT #: 836356	BUY 1 Units @0.0000						
07/16/2018	***-**-5233 - DUTCHESS,	MASS MUTUAL VA	0.00	372.13	0.00	372.13	70.0	260.49
	ACCOUNT #: 841406	BUY 1 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,839.48</b>	<b>\$0.00</b>	<b>\$1,839.48</b>		<b>\$1,287.64</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
07/16/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	2.25	0.00	2.25	70.0	1.58
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
07/16/2018	***-**-6717 - DEBONIS, BRENDA	NEW YORK 529 TRAILS	0.00	0.59	0.00	0.59	70.0	0.41
	ACCOUNT #: 77423426901	BUY 0 Units @0.0000						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2.84</b>	<b>\$0.00</b>	<b>\$2.84</b>		<b>\$1.99</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/09/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	4.71	0.00	4.71	70.0	3.30
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
07/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	36.84	0.00	36.84	70.0	25.79
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
07/09/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	37.25	0.00	37.25	70.0	26.08
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
07/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN GLO GOVT INC TRST	0.00	48.27	0.00	48.27	70.0	33.79
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
07/09/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	7.89	0.00	7.89	70.0	5.52
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
07/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	42.83	0.00	42.83	70.0	29.98
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
07/09/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	6.20	0.00	6.20	70.0	4.34
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
06/30/2018	***-**-7131 - PHILLIPS, DAVID	CAPITAL INCOME A	0.00	24.26	0.00	24.26	70.0	16.98
	ACCOUNT #: 03008846068	BUY 0 Units @0.0000						
06/30/2018	***-**-3569 - ANDERSON,	CAPITAL INCOME A	0.00	1.27	0.00	1.27	70.0	0.89
	ACCOUNT #: 03008855924	BUY 0 Units @0.0000						
06/30/2018	***-**-751R - BORYK, CHRISTINA	CASH RESERVES A	0.00	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: 07604404499	BUY 0 Units @0.0000						
06/30/2018	***-**-3987 - LINGE, MARY	EQUITY INCOME FUND, INC. A	0.00	6.04	0.00	6.04	70.0	4.23
	ACCOUNT #: 08351856019	BUY 0 Units @0.0000						
06/30/2018	***-**-5922 - HOTAILING,	MAIN STREET FUND A	0.00	1.25	0.00	1.25	70.0	0.88
	ACCOUNT #: 04206469364	BUY 0 Units @0.0000						
06/30/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER CORP. BOND FUND A	0.00	2.44	0.00	2.44	70.0	1.71
	ACCOUNT #: 00100031714	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/30/2018	***-**-7131 - PHILLIPS, DAVID	OPPENHEIMER GLOBAL HIGH YIELD CL A	0.00	10.38	0.00	10.38	70.0	7.27
	ACCOUNT #: 00100011111	BUY 0 Units @0.0000						
06/30/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.19	0.00	3.19	70.0	2.23
	ACCOUNT #: 01952249841	BUY 0 Units @0.0000						
06/30/2018	***-**-7748 - MCCANNA, GLORIA	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	7.98	0.00	7.98	70.0	5.59
	ACCOUNT #: 03620059224	BUY 0 Units @0.0000						
06/30/2018	***-**-5680 - MOLINARO,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	2.65	0.00	2.65	70.0	1.86
	ACCOUNT #: 02911903132	BUY 0 Units @0.0000						
06/30/2018	***-**-3569 - ANDERSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	11.10	0.00	11.10	70.0	7.77
	ACCOUNT #: 02913088899	BUY 0 Units @0.0000						
07/02/2018	***-**-9351 - AGUIAR, JOSEPH	PUTNAM ABSOLUTE RETURN 700-A	0.00	16.05	0.00	16.05	70.0	11.24
	ACCOUNT #: 00551352400	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.71	0.00	0.71	70.0	0.50
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.36	0.00	0.36	70.0	0.25
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	0.00	11.52	0.00	11.52	70.0	8.06
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	3.53	0.00	3.53	70.0	2.47
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	35.44	0.00	35.44	70.0	24.81
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
07/02/2018	***-**-8786 - RUBIN, SCOTT	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	207.33	0.00	207.33	70.0	145.13
	ACCOUNT #: 00551359332	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.50	0.00	3.50	70.0	2.45
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	29.20	0.00	29.20	70.0	20.44
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.21	0.00	2.21	70.0	1.55
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-5922 - HOTAILING,	PUTNAM INTERNATIONAL EQUITY-A	0.00	12.85	0.00	12.85	70.0	9.00
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM INTL GROWTH & INC-A	0.00	2.16	0.00	2.16	70.0	1.51
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-5922 - HOTAILING,	PUTNAM MID-CAP VALUE FUND-A	0.00	12.34	0.00	12.34	70.0	8.64
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM MID-CAP VALUE FUND-A	0.00	3.27	0.00	3.27	70.0	2.29
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
07/02/2018	***-**-8786 - RUBIN, SCOTT	PUTNAM SMALL CAP GROWTH FUND CLASS	0.00	201.25	0.00	201.25	70.0	140.88
	ACCOUNT #: 00551359332	BUY 0 Units @0.0000						
07/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM U.S. GOVT INCOME TR-A	0.00	1.35	0.00	1.35	70.0	0.95
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
06/30/2018	***-**-7274 - VALENTINO,	RISING DIVIDENDS FUND A	0.00	3.54	0.00	3.54	70.0	2.48
	ACCOUNT #: 02253862573	BUY 0 Units @0.0000						
06/30/2018	***-**-8637 - BRUSIE, DOROTHY	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	17.17	0.00	17.17	70.0	12.02
	ACCOUNT #: 03551239700	BUY 0 Units @0.0000						
06/30/2018	***-**-0780 - CADMAN, ELONA	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.64	0.00	0.64	70.0	0.45
	ACCOUNT #: 03551252966	BUY 0 Units @0.0000						
06/30/2018	***-**-2538 - GOLDMAN, DANIEL	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	4.06	0.00	4.06	70.0	2.84
	ACCOUNT #: 03551329053	BUY 0 Units @0.0000						
06/30/2018	***-**-5680 - MOLINARO,	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	4.38	0.00	4.38	70.0	3.07
	ACCOUNT #: 03570606353	BUY 0 Units @0.0000						
06/30/2018	***-**-751R - BORYK, CHRISTINA	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	6.03	0.00	6.03	70.0	4.22
	ACCOUNT #: 03570643478	BUY 0 Units @0.0000						
06/30/2018	***-**-8637 - BRUSIE, DOROTHY	ROCHESTER FUND MUNICIPALS A	0.00	33.51	0.00	33.51	70.0	23.46
	ACCOUNT #: 03653246980	BUY 0 Units @0.0000						
06/30/2018	***-**-0780 - CADMAN, ELONA	ROCHESTER FUND MUNICIPALS A	0.00	2.28	0.00	2.28	70.0	1.60
	ACCOUNT #: 03653291596	BUY 0 Units @0.0000						
06/30/2018	***-**-2538 - GOLDMAN, DANIEL	ROCHESTER FUND MUNICIPALS A	0.00	10.35	0.00	10.35	70.0	7.25
	ACCOUNT #: 03653390475	BUY 0 Units @0.0000						
06/30/2018	***-**-5680 - MOLINARO,	ROCHESTER FUND MUNICIPALS C	0.00	6.70	0.00	6.70	70.0	4.69
	ACCOUNT #: 03670696509	BUY 0 Units @0.0000						
06/30/2018	***-**-7748 - MCCANNA, GLORIA	ROCHESTER FUND MUNICIPALS C	0.00	7.77	0.00	7.77	70.0	5.44
	ACCOUNT #: 03670698060	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/30/2018	***--75IR - BORYK, CHRISTINA	ROCHESTER FUND MUNICIPALS C	0.00	7.02	0.00	7.02	70.0	4.91
	ACCOUNT #: 03670728728	BUY 0 Units @0.0000						
06/30/2018	***--7131 - PHILLIPS, DAVID	SENIOR FLOATING RATE FUND C	0.00	71.99	0.00	71.99	70.0	50.39
	ACCOUNT #: 02932073918	BUY 0 Units @0.0000						
06/30/2018	***--7131 - PHILLIPS, DAVID	SENIOR FLOATING RATE FUND-CL C	0.00	48.02	0.00	48.02	70.0	33.61
	ACCOUNT #: 00100011210	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,021.08</b>	<b>\$0.00</b>	<b>\$1,021.08</b>		<b>\$714.81</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$574,998.01</b>	<b>\$9,731.65</b>	<b>\$180.00</b>	<b>\$9,551.65</b>		<b>\$6,672.82</b>

## BROKER COMMISSION TOTALS

Broker Transactions	\$6,672.82
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$82.18
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$6,755.00</b>
<b>Year-to-date Earnings</b>	<b>\$38,690.81</b>