



# COMMISSION STATEMENT

August 06, 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>								
07/30/2018	***-**-47FB - TORRES, SHARI	AMCAP FUND-A	165.89	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @33.6500						
07/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	193.77	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 7 Units @27.6700						
07/30/2018	***-**-67IR - SHANNON,	AMERICAN FUNDS GROWTH PORTFOLIO A	274.00	13.70	18.00	-4.30	100.0	-4.30
	ACCOUNT #: LSR012619	BUY 13 Units @20.3600						
07/18/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS GRWTH & INCOME PORT	-1,125.00	-22.50	0.00	-22.50	70.0	-15.75
	ACCOUNT #: LSR011898	CANCEL 71 Units @15.9100						
07/18/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS GRWTH & INCOME PORT	446.12	8.91	18.00	-9.09	100.0	-9.09
	ACCOUNT #: LSR011898	BUY 28 Units @15.9100						
07/30/2018	***-**-67IR - SHANNON,	AMERICAN FUNDS GRWTH & INCOME PORT	280.01	14.00	18.00	-4.00	100.0	-4.00
	ACCOUNT #: LSR012619	BUY 17 Units @16.4400						
07/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	44.68	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 4 Units @10.2100						
07/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	200.98	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @41.8100						
07/26/2018	***-**-3569 - ANDERSON,	CAPITAL INCOME A	15,000.00	712.41	0.00	712.41	70.0	498.69
	ACCOUNT #: 03008855924	BUY 0 Units @0.0000						
07/16/2018	***-**-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						
07/16/2018	***-**-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						
07/16/2018	***-**-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						
07/23/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 4 Units @15.2300						
07/23/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	160.00	4.40	0.00	4.40	70.0	3.08
	ACCOUNT #: 00186955359	BUY 4 Units @37.1700						
07/23/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	190.00	5.23	0.00	5.23	70.0	3.66
	ACCOUNT #: 00186955359	BUY 32 Units @5.9500						
07/23/2018	***-**-5922 - HOTAILING,	PUTNAM INTERNATIONAL EQUITY-A	80.00	2.20	0.00	2.20	70.0	1.54
	ACCOUNT #: 00186955359	BUY 3 Units @26.4600						



# COMMISSION STATEMENT

August 06, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
07/23/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM MID-CAP VALUE FUND-A BUY 3 Units @22.2400	60.00	1.65	0.00	1.65	70.0	1.16
07/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE BOND FUND OF AMERICA-A SELL 9 Units @12.5200	118.80	0.00	0.00	0.00	70.0	0.00
07/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE GROWTH FUND OF AMERICA-A SELL 2 Units @54.7700	115.84	0.00	0.00	0.00	70.0	0.00
07/30/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	WASHINGTON MUTUAL INVESTORS FUND-A SELL 3 Units @45.7300	159.51	0.00	0.00	0.00	70.0	0.00
* MUTUAL FUNDS SUBTOTAL *			<b>\$16,624.60</b>	<b>\$750.78</b>	<b>\$54.00</b>	<b>\$696.78</b>		<b>\$482.55</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
07/06/2018	***-**-5917 - MAOLINARO, E ACCOUNT #: 00055567683	MAINSTAY 56062F327 BUY 0 Units @0.0000	0.00	14.88	0.00	14.88	70.0	10.42
07/06/2018	***-**-58UT - BABBONI, MAXWELL ACCOUNT #: 00055883190	MAINSTAY 56063U604 BUY 0 Units @0.0000	0.00	6.13	0.00	6.13	70.0	4.29
07/06/2018	***-**-0240 - CHAUVIN, LAURA ACCOUNT #: 00055749831	MAINSTAY 56063U703 BUY 0 Units @0.0000	0.00	5.75	0.00	5.75	70.0	4.03
07/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 0 Units @0.0000	0.00	101.24	0.00	101.24	70.0	70.87
07/06/2018	***-**-5917 - MAOLINARO, E ACCOUNT #: 00055567683	MAINSTAY EPOCH US EQUITY YIELD CLAS BUY 0 Units @0.0000	0.00	15.86	0.00	15.86	70.0	11.10
07/06/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 00011296257	MAINSTAY EPOCH US EQUITY YIELD INV BUY 0 Units @0.0000	0.00	3.82	0.00	3.82	70.0	2.67
07/06/2018	***-**-5917 - MAOLINARO, E ACCOUNT #: 00055567683	MAINSTAY EPOCH US EQUITY YIELD INV BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	70.0	0.86
07/06/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 00011296257	MAINSTAY HIGH-YIELD CORPORATE BOND BUY 0 Units @0.0000	0.00	20.21	0.00	20.21	70.0	14.15
07/06/2018	***-**-5917 - MAOLINARO, E ACCOUNT #: 00055567683	MAINSTAY MAP INVESTOR CLASS BUY 0 Units @0.0000	0.00	4.10	0.00	4.10	70.0	2.87
07/06/2018	***-**-5161 - FARKAS, ACCOUNT #: 00055513668	MAINSTAY MOD GROWTH ALLOC INVESTOR BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	70.0	1.03
07/06/2018	***-**-6593 - FARKAS, JOSEPH ACCOUNT #: 00055513669	MAINSTAY MOD GROWTH ALLOC INVESTOR BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	70.0	1.09



# COMMISSION STATEMENT

August 06, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/06/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	6.24	0.00	6.24	70.0	4.37
	ACCOUNT #: 00055720031	BUY 0 Units @0.0000						
07/06/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	0.00	59.12	0.00	59.12	70.0	41.38
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
07/06/2018	***-**-1983 - FARKAS, KAYLEE	MAINSTAY MODERATE ALLOCATION FUND C	0.00	26.96	0.00	26.96	70.0	18.87
	ACCOUNT #: 00055734681	BUY 0 Units @0.0000						
07/06/2018	***-**-3569 - ANDERSON,	MAINSTAY MODERATE GROWTH ALLOC FND	0.00	48.11	0.00	48.11	70.0	33.68
	ACCOUNT #: 00011265211	BUY 0 Units @0.0000						
07/06/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	0.00	0.79	0.00	0.79	70.0	0.55
	ACCOUNT #: 00055761480	BUY 0 Units @0.0000						
07/06/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TOTAL RETURN FUND A	0.00	10.76	0.00	10.76	70.0	7.53
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
07/06/2018	***-**-5917 - MAOLINARO, E	MAINSTAY U.S. SMALL CAP FUND INV CL	0.00	0.87	0.00	0.87	70.0	0.61
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
08/06/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	2.13	0.00	2.13	70.0	1.49
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
08/06/2018	***-**-6717 - DEBONIS, BRENDA	NEW YORK 529 TRAILS	0.00	0.61	0.00	0.61	70.0	0.43
	ACCOUNT #: 77423426901	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$331.83</b>	<b>\$0.00</b>	<b>\$331.83</b>		<b>\$232.29</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
07/31/2018	***-**-7131 - PHILLIPS, DAVID	MASS MUTUAL VA DTCC TRAILS	0.00	60.57	0.00	60.57	70.0	42.40
	ACCOUNT #: EVN46024214	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$60.57</b>	<b>\$0.00</b>	<b>\$60.57</b>		<b>\$42.40</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$16,624.60</b>	<b>\$1,143.18</b>	<b>\$54.00</b>	<b>\$1,089.18</b>		<b>\$757.24</b>



**COMMISSION STATEMENT**  
**August 06, 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 COMMISSION TOTALS</u></b>								
						Broker Transactions		\$757.24
						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
<b>Net Commission Earned</b>								<b>\$757.24</b>
<b>Year-to-date Earnings</b>								<b>\$40,682.22</b>