



# COMMISSION STATEMENT

June 18, 2018

GARRETT MORETZ

181 North Main Street, Ste 208  
Mooresville, NC 28115

BROKER #: B09

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>								
06/08/2018	***-**-501I - DAGENHART, JAMES	IVY HIGH INCOME CL A	5,681.39	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012101	SELL 758 Units @7.5000						
06/11/2018	***-**-677I - LAIL, DWIGHT	IVY HIGH INCOME CL A	7,069.45	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012166	SELL 943 Units @7.5000						
06/13/2018	***-**-110I - CLINGON, BILLY	MORGAN STANLEY GROWTH PORT A-NFS	2,299.99	115.00	18.00	97.00	82.0	79.54
	ACCOUNT #: LSR012015	BUY 45 Units @51.4700						
06/13/2018	***-**-501I - DAGENHART, JAMES	MORGAN STANLEY GROWTH PORT A-NFS	6,000.01	300.00	18.00	282.00	82.0	231.24
	ACCOUNT #: LSR012101	BUY 117 Units @51.4700						
* MUTUAL FUNDS SUBTOTAL *			<b>\$21,050.84</b>	<b>\$415.00</b>	<b>\$72.00</b>	<b>\$343.00</b>		<b>\$274.78</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>								
06/18/2018	***-**-29FB - ANTHONY, APRIL	EQIS ADVISOR FEES	79.71	79.71	0.00	79.71	82.0	65.36
	ACCOUNT #: RB5070200L	BUY 0 Units @0.0000						
06/18/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	86.83	86.83	0.00	86.83	82.0	71.20
	ACCOUNT #: RH0813100D	BUY 0 Units @0.0000						
06/18/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	67.71	67.71	0.00	67.71	82.0	55.52
	ACCOUNT #: RH24513009	BUY 0 Units @0.0000						
06/18/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	109.66	109.66	0.00	109.66	82.0	89.92
	ACCOUNT #: RE1889900Z	BUY 0 Units @0.0000						
06/18/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	41.88	41.88	0.00	41.88	82.0	34.34
	ACCOUNT #: RE1910700J	BUY 0 Units @0.0000						
06/18/2018	***-**-40FB - BOHNAKER, ANGELA	EQIS ADVISOR FEES	40.93	40.93	0.00	40.93	82.0	33.56
	ACCOUNT #: RC6490700F	BUY 0 Units @0.0000						
06/18/2018	***-**-95FB - BROWN, SUSAN	EQIS ADVISOR FEES	80.14	80.14	0.00	80.14	82.0	65.71
	ACCOUNT #: RD9347700L	BUY 0 Units @0.0000						
06/18/2018	***-**-57FB - CAMERY, DALE	EQIS ADVISOR FEES	86.65	86.65	0.00	86.65	82.0	71.05
	ACCOUNT #: RD90457005	BUY 0 Units @0.0000						
06/18/2018	***-**-57FB - CAMERY, DALE	EQIS ADVISOR FEES	172.55	172.55	0.00	172.55	82.0	141.49
	ACCOUNT #: RD9898400H	BUY 0 Units @0.0000						
06/18/2018	***-**-71FB - CARPENTIER,	EQIS ADVISOR FEES	26.41	26.41	0.00	26.41	82.0	21.66
	ACCOUNT #: RC9591500B	BUY 0 Units @0.0000						
06/18/2018	***-**-77FB - CLAYTON, HORACE	EQIS ADVISOR FEES	183.03	183.03	0.00	183.03	82.0	150.08
	ACCOUNT #: RD9998300X	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: RIA (continued)</u></b>								
06/18/2018	***-**-68FB - CLAYTON, LINDA	EQIS ADVISOR FEES	40.26	40.26	0.00	40.26	82.0	33.01
	ACCOUNT #: RE0183300B	BUY 0 Units @0.0000						
06/18/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	28.69	28.69	0.00	28.69	82.0	23.53
	ACCOUNT #: RE18633003	BUY 0 Units @0.0000						
06/18/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	37.56	37.56	0.00	37.56	82.0	30.80
	ACCOUNT #: RE3069500F	BUY 0 Units @0.0000						
06/18/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	41.74	41.74	0.00	41.74	82.0	34.23
	ACCOUNT #: RH0640000T	BUY 0 Units @0.0000						
06/18/2018	***-**-34FB - CLYMER, BETTY	EQIS ADVISOR FEES	10.68	10.68	0.00	10.68	82.0	8.76
	ACCOUNT #: RB3961400D	BUY 0 Units @0.0000						
06/18/2018	***-**-58FB - CLYMER, DEFOREST	EQIS ADVISOR FEES	9.14	9.14	0.00	9.14	82.0	7.49
	ACCOUNT #: RB48104005	BUY 0 Units @0.0000						
06/18/2018	***-**-41FB - COOPER, JOHN	EQIS ADVISOR FEES	32.00	32.00	0.00	32.00	82.0	26.24
	ACCOUNT #: RD5958000D	BUY 0 Units @0.0000						
06/18/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	52.36	52.36	0.00	52.36	82.0	42.94
	ACCOUNT #: RD06254009	BUY 0 Units @0.0000						
06/18/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	45.08	45.08	0.00	45.08	82.0	36.97
	ACCOUNT #: RD0777800L	BUY 0 Units @0.0000						
06/18/2018	***-**-21FB - DAVIS, SIMONE	EQIS ADVISOR FEES	233.93	233.93	0.00	233.93	82.0	191.82
	ACCOUNT #: RD9797800H	BUY 0 Units @0.0000						
06/18/2018	***-**-26FB - FARZALO, STEVE	EQIS ADVISOR FEES	14.61	14.61	0.00	14.61	82.0	11.98
	ACCOUNT #: RG9748700J	BUY 0 Units @0.0000						
06/18/2018	***-**-34FB - FOWLER, MILTON	EQIS ADVISOR FEES	138.71	138.71	0.00	138.71	82.0	113.74
	ACCOUNT #: RH1017400L	BUY 0 Units @0.0000						
06/18/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	6.21	6.21	0.00	6.21	82.0	5.09
	ACCOUNT #: RB33734009	BUY 0 Units @0.0000						
06/18/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	30.33	30.33	0.00	30.33	82.0	24.87
	ACCOUNT #: RB3372800H	BUY 0 Units @0.0000						
06/18/2018	***-**-39FB - GRINDLE, ROBERT	EQIS ADVISOR FEES	124.18	124.18	0.00	124.18	82.0	101.83
	ACCOUNT #: RE0934000F	BUY 0 Units @0.0000						
06/18/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES	48.68	48.68	0.00	48.68	82.0	39.92
	ACCOUNT #: RE25241003	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: RIA (continued)</u></b>								
06/18/2018	***-**-77FB - HARRIS, ACCOUNT #: RE3069400N	EQIS ADVISOR FEES BUY 0 Units @0.0000	128.61	128.61	0.00	128.61	82.0	105.46
06/18/2018	***-**-48FB - HEFNER, EULA ACCOUNT #: RH0641100H	EQIS ADVISOR FEES BUY 0 Units @0.0000	23.57	23.57	0.00	23.57	82.0	19.33
06/18/2018	***-**-03FB - HINES, WALTER ACCOUNT #: RD57517005	EQIS ADVISOR FEES BUY 0 Units @0.0000	21.16	21.16	0.00	21.16	82.0	17.35
06/18/2018	***-**-84FB - HOLDER, DERRICK ACCOUNT #: RA4189700Z	EQIS ADVISOR FEES BUY 0 Units @0.0000	112.80	112.80	0.00	112.80	82.0	92.50
06/18/2018	***-**-84FB - HOLDER, DERRICK ACCOUNT #: RA41927007	EQIS ADVISOR FEES BUY 0 Units @0.0000	54.73	54.73	0.00	54.73	82.0	44.88
06/18/2018	***-**-45FB - HULL, DEBORAH ACCOUNT #: RG98804003	EQIS ADVISOR FEES BUY 0 Units @0.0000	14.76	14.76	0.00	14.76	82.0	12.10
06/18/2018	***-**-13FB - HULL, GARY ACCOUNT #: RE2367800J	EQIS ADVISOR FEES BUY 0 Units @0.0000	67.28	67.28	0.00	67.28	82.0	55.17
06/18/2018	***-**-98FB - HUNTER, JEFFREY ACCOUNT #: RH0076800D	EQIS ADVISOR FEES BUY 0 Units @0.0000	17.66	17.66	0.00	17.66	82.0	14.48
06/18/2018	***-**-26FB - KOMINEK, DAVID ACCOUNT #: RD9045800X	EQIS ADVISOR FEES BUY 0 Units @0.0000	113.40	113.40	0.00	113.40	82.0	92.99
06/18/2018	***-**-27FB - KULIKOWSKI, SARA ACCOUNT #: RC4594100B	EQIS ADVISOR FEES BUY 0 Units @0.0000	11.27	11.27	0.00	11.27	82.0	9.24
06/18/2018	***-**-94FB - MARQUIS, ALAN ACCOUNT #: RE3062300N	EQIS ADVISOR FEES BUY 0 Units @0.0000	41.02	41.02	0.00	41.02	82.0	33.64
06/18/2018	***-**-65FB - MCINTYRE, SHARON ACCOUNT #: RD90434001	EQIS ADVISOR FEES BUY 0 Units @0.0000	40.35	40.35	0.00	40.35	82.0	33.09
06/18/2018	***-**-65FB - MCINTYRE, SHARON ACCOUNT #: RD9897700X	EQIS ADVISOR FEES BUY 0 Units @0.0000	87.66	87.66	0.00	87.66	82.0	71.88
06/18/2018	***-**-77FB - MCKAIG, MARK ACCOUNT #: RD5247000H	EQIS ADVISOR FEES BUY 0 Units @0.0000	20.36	20.36	0.00	20.36	82.0	16.70
06/18/2018	***-**-77FB - MCKAIG, MARK ACCOUNT #: RD52495005	EQIS ADVISOR FEES BUY 0 Units @0.0000	19.35	19.35	0.00	19.35	82.0	15.87
06/18/2018	***-**-59FB - MCKAIG, PATRICIA ACCOUNT #: RD5092500P	EQIS ADVISOR FEES BUY 0 Units @0.0000	59.90	59.90	0.00	59.90	82.0	49.12



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: RIA (continued)</u></b>								
06/18/2018	***-**-59FB - MCKAIG, PATRICIA	EQIS ADVISOR FEES	13.84	13.84	0.00	13.84	82.0	11.35
	ACCOUNT #: RD5249700P	BUY 0 Units @0.0000						
06/18/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	35.65	35.65	0.00	35.65	82.0	29.23
	ACCOUNT #: RB5869400H	BUY 0 Units @0.0000						
06/18/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	10.45	10.45	0.00	10.45	82.0	8.57
	ACCOUNT #: RB5866400T	BUY 0 Units @0.0000						
06/18/2018	***-**-70FB - FERRELL,	EQIS ADVISOR FEES	51.20	51.20	0.00	51.20	82.0	41.98
	ACCOUNT #: RB50708009	BUY 0 Units @0.0000						
06/18/2018	***-**-759I - MERRILL, SARA	EQIS ADVISOR FEES	24.25	24.25	0.00	24.25	82.0	19.89
	ACCOUNT #: RB5875400D	BUY 0 Units @0.0000						
06/18/2018	***-**-58FB - NELSON-GAINES,	EQIS ADVISOR FEES	13.22	13.22	0.00	13.22	82.0	10.84
	ACCOUNT #: RH0166600L	BUY 0 Units @0.0000						
06/18/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	70.50	70.50	0.00	70.50	82.0	57.81
	ACCOUNT #: RG9534800V	BUY 0 Units @0.0000						
06/18/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	23.15	23.15	0.00	23.15	82.0	18.98
	ACCOUNT #: RG9885700V	BUY 0 Units @0.0000						
06/18/2018	***-**-77FB - PECK, GORDON	EQIS ADVISOR FEES	33.66	33.66	0.00	33.66	82.0	27.60
	ACCOUNT #: RE14731003	BUY 0 Units @0.0000						
06/18/2018	***-**-98FB - PFYFFER, ALBERT	EQIS ADVISOR FEES	40.19	40.19	0.00	40.19	82.0	32.96
	ACCOUNT #: RE1500600F	BUY 0 Units @0.0000						
06/18/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	0.04	0.04	0.00	0.04	82.0	0.03
	ACCOUNT #: RG9882800Z	BUY 0 Units @0.0000						
06/18/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	0.04	0.04	0.00	0.04	82.0	0.03
	ACCOUNT #: RG9885300R	BUY 0 Units @0.0000						
06/18/2018	***-**-43FB - RODES, KENNETH	EQIS ADVISOR FEES	87.75	87.75	0.00	87.75	82.0	71.96
	ACCOUNT #: RE1686200F	BUY 0 Units @0.0000						
06/18/2018	***-**-13FB - RUSSELL, MARK	EQIS ADVISOR FEES	32.47	32.47	0.00	32.47	82.0	26.63
	ACCOUNT #: RG9722700B	BUY 0 Units @0.0000						
06/18/2018	***-**-51FB - SCHMITT, CAROL	EQIS ADVISOR FEES	76.75	76.75	0.00	76.75	82.0	62.94
	ACCOUNT #: RD9797400D	BUY 0 Units @0.0000						
06/18/2018	***-**-67FB - SCHMITT, EDWARD	EQIS ADVISOR FEES	32.14	32.14	0.00	32.14	82.0	26.35
	ACCOUNT #: RE0237700Z	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: RIA (continued)</b>								
06/18/2018	***-**-52FB - SCHNABEL, ACCOUNT #: RH00769005	EQIS ADVISOR FEES BUY 0 Units @0.0000	70.27	70.27	0.00	70.27	82.0	57.62
06/18/2018	***-**-94FB - SWAN, ANDREW ACCOUNT #: RE0718400R	EQIS ADVISOR FEES BUY 0 Units @0.0000	34.72	34.72	0.00	34.72	82.0	28.47
06/18/2018	***-**-97FB - SWAN, MELANIE ACCOUNT #: RE0718300Z	EQIS ADVISOR FEES BUY 0 Units @0.0000	24.01	24.01	0.00	24.01	82.0	19.69
06/18/2018	***-**-66FB - WHITE, BARBARA ACCOUNT #: RE0718500J	EQIS ADVISOR FEES BUY 0 Units @0.0000	5.67	5.67	0.00	5.67	82.0	4.65
06/18/2018	***-**-72FB - YOUNG, TAMMY ACCOUNT #: RH03043009	EQIS ADVISOR FEES BUY 0 Units @0.0000	177.42	177.42	0.00	177.42	82.0	145.48
06/18/2018	***-**-36CL - MORETZ, CLIENTS	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	1,202.90	0.00	1,202.90	82.0	986.38
<b>* RIA SUBTOTAL *</b>			<b>\$3,560.93</b>	<b>\$4,763.83</b>	<b>\$0.00</b>	<b>\$4,763.83</b>		<b>\$3,906.35</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
06/01/2018	***-**-157O - YOUNG, ROBERT ACCOUNT #: 00060071420	AMCAP FUND-A BUY 0 Units @0.0000	0.00	5.00	0.00	5.00	82.0	4.10
06/18/2018	***-**-071X - HENDRIX, NSPS ACCOUNT #: LSR012263	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	82.0	0.30
06/01/2018	***-**-157O - YOUNG, ROBERT ACCOUNT #: 00060071420	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	82.0	3.76
06/01/2018	***-**-5195 - BROWN, SUSAN ACCOUNT #: 00073149394	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	82.0	0.17
06/18/2018	***-**-972I - GRIFFIN, OTIS ACCOUNT #: LSR011960	EATON VANCE INCOME FUND OF BOSTON C BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	82.0	0.87
06/18/2018	***-**-10IR - CLINGON, BILLY ACCOUNT #: LSR012010	EATON VANCE MULTI SECTOR INCOME CL BUY 1 Units @0.0000	0.00	3.87	0.00	3.87	82.0	3.17
06/18/2018	***-**-726O - FARZALO, STEVE ACCOUNT #: LSR011965	EATON VANCE NATIONAL MUNICIPAL FUND BUY 1 Units @0.0000	0.00	8.08	0.00	8.08	82.0	6.63
06/18/2018	***-**-71IR - HENDRIX, DONNA ACCOUNT #: LSR012260	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	82.0	0.32
06/18/2018	***-**-972I - GRIFFIN, OTIS ACCOUNT #: LSR011960	JANUS HENDERSON HIGH YIELD A-NFS BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	82.0	0.85



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
06/18/2018	***-**-10IR - CLINGON, BILLY	MFS AGGRESSIVE GROWTH ALLOC CL C	0.00	4.41	0.00	4.41	82.0	3.62
	ACCOUNT #: LSR012010	BUY 1 Units @0.0000						
06/01/2018	***-**-5195 - BROWN, SUSAN	NEW WORLD FUND-529A	0.00	1.48	0.00	1.48	82.0	1.21
	ACCOUNT #: 00073149394	BUY 0 Units @0.0000						
06/18/2018	***-**-440I - BOHNAKER, ANGELA	PRUDENTIAL JENNISON SMALL COMPANY C	0.00	0.86	0.00	0.86	82.0	0.71
	ACCOUNT #: LSR012403	BUY 1 Units @0.0000						
06/01/2018	***-**-5195 - BROWN, SUSAN	THE GROWTH FUND OF AMERICA-529A	0.00	2.94	0.00	2.94	82.0	2.41
	ACCOUNT #: 00073149394	BUY 0 Units @0.0000						
06/01/2018	***-**-5195 - BROWN, SUSAN	THE INVESTMENT COMPANY OF AMERICA-5	0.00	0.56	0.00	0.56	82.0	0.46
	ACCOUNT #: 00073149394	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$34.86</b>	<b>\$0.00</b>	<b>\$34.86</b>		<b>\$28.58</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$24,611.77</b>	<b>\$5,213.69</b>	<b>\$72.00</b>	<b>\$5,141.69</b>		<b>\$4,209.71</b>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$4,209.71
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$95.65
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$4,305.36</b>
<b>Year-to-date Earnings</b>	<b>\$45,772.98</b>