



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	JANUS HENDERSON GBL EQUITY INC CL BUY 2634 Units @8.3900	22,100.00	1,105.00	18.00	1,087.00	70.0	760.90
12/26/2017	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 3007 Units @7.3500	22,100.00	773.50	18.00	755.50	70.0	528.85
12/21/2017	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	PUTNAM HIGH YIELD ADVANTAGE CLASS B SELL 1762 Units @5.7600	10,149.23	0.00	18.00	-18.00	100.0	-18.00
12/21/2017	***-**-09IR - RICH, JOSEPH ACCOUNT #: LSR010679	PUTNAM HIGH YIELD ADVANTAGE-A SELL 1400 Units @5.9100	8,274.24	0.00	18.00	-18.00	100.0	-18.00
12/21/2017	***-**-69IR - RICH, PATRICIA ACCOUNT #: LSR010683	PUTNAM HIGH YIELD ADVANTAGE-A SELL 1396 Units @5.9100	8,248.92	0.00	18.00	-18.00	100.0	-18.00
12/26/2017	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	RESOURCE REAL ESTATES-NFS BUY 4151 Units @10.6800	44,333.00	2,438.31	18.00	2,420.31	70.0	1,694.22
12/28/2017	***-**-721I - GUARNA, CATERINA ACCOUNT #: LSR012322	RESOURCE REAL ESTATES-NFS BUY 419 Units @10.7400	4,500.00	247.50	18.00	229.50	70.0	160.65
* MUTUAL FUNDS SUBTOTAL *			\$119,705.39	\$4,564.31	\$126.00	\$4,438.31		\$3,090.62
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/26/2017	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	JOHN HANCOCK TECHNICAL OPPS CL A BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	70.0	0.43
12/26/2017	***-**-226O - MAYERSON, MS ACCOUNT #: LSR010890	PACIFIC FUNDS FLOAT RATE INCOME CL BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	70.0	1.90
12/26/2017	***-**-736I - UNGER, HELEN ACCOUNT #: LSR011196	PACIFIC FUNDS FLOAT RATE INCOME CL BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	70.0	0.69
12/26/2017	***-**-673I - CZUBIK, ACCOUNT #: LSR010662	PACIFIC FUNDS LMT DURATION HIGH INC BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	70.0	2.01
12/26/2017	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	PACIFIC FUNDS LMT DURATION HIGH INC BUY 1 Units @0.0000	0.00	4.19	0.00	4.19	70.0	2.93
12/26/2017	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	PACIFIC FUNDS LMT DURATION HIGH INC BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	70.0	2.99
12/26/2017	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	PACIFIC FUNDS LMT DURATION HIGH INC BUY 1 Units @0.0000	0.00	3.48	0.00	3.48	70.0	2.44
12/26/2017	***-**-918I - SANCHEZ, THERESA ACCOUNT #: LSR010742	PACIFIC FUNDS LMT DURATION HIGH INC BUY 1 Units @0.0000	0.00	2.71	0.00	2.71	70.0	1.90



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/26/2017	***-**-18IN - SANCHEZ, THERESA	PACIFIC FUNDS LMT DURATION HIGH INC	0.00	3.16	0.00	3.16	70.0	2.21
	ACCOUNT #: LSR010749	BUY 1 Units @0.0000						
12/26/2017	***-**-736I - UNGER, HELEN	PACIFIC FUNDS STRATEGIC INC FD A	0.00	2.89	0.00	2.89	70.0	2.02
	ACCOUNT #: LSR011196	BUY 1 Units @0.0000						
12/26/2017	***-**-84IR - FARQUHAR, TARA	PIONEER FUND C	0.00	0.90	0.00	0.90	70.0	0.63
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
12/26/2017	***-**-38UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.93	0.00	0.93	70.0	0.65
	ACCOUNT #: LSR011266	BUY 1 Units @0.0000						
12/26/2017	***-**-24UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.93	0.00	0.93	70.0	0.65
	ACCOUNT #: LSR011267	BUY 1 Units @0.0000						
12/26/2017	***-**-68UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: LSR011270	BUY 1 Units @0.0000						
12/26/2017	***-**-71UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: LSR011271	BUY 1 Units @0.0000						
12/26/2017	***-**-223I - GAY, LISA	PL PORTFOLIO OPTIMIZATION AGGRESSIV	0.00	1.19	0.00	1.19	70.0	0.83
	ACCOUNT #: LSR011789	BUY 1 Units @0.0000						
12/26/2017	***-**-340I - PERRONE, JOSEPH	PL PORTFOLIO OPTIMIZATION AGGRESSIV	0.00	1.18	0.00	1.18	70.0	0.83
	ACCOUNT #: LSR011803	BUY 1 Units @0.0000						
12/26/2017	***-**-732I - FARGUHAR,	PL PORTFOLIO OPTIMIZATION AGGRESSIV	0.00	2.24	0.00	2.24	70.0	1.57
	ACCOUNT #: LSR011806	BUY 1 Units @0.0000						
12/26/2017	***-**-57IO - SOCHA, CYNTHIA	PL PORTFOLIO OPTIMIZATION MOD AGGRE	0.00	5.82	0.00	5.82	70.0	4.07
	ACCOUNT #: LSR010500	BUY 1 Units @0.0000						
12/26/2017	***-**-340J - PERRONE,	PL PORTFOLIO OPTIMIZATION MOD AGGRE	0.00	1.20	0.00	1.20	70.0	0.84
	ACCOUNT #: LSR011761	BUY 1 Units @0.0000						
12/26/2017	***-**-223I - GAY, LISA	PL PORTFOLIO OPTIMIZATION MOD AGGRE	0.00	2.75	0.00	2.75	70.0	1.93
	ACCOUNT #: LSR011789	BUY 1 Units @0.0000						
12/26/2017	***-**-059O - LIBBY, AMY	PL PORTFOLIO OPTIMIZATION MOD AGGRE	0.00	1.42	0.00	1.42	70.0	0.99
	ACCOUNT #: LSR012236	BUY 1 Units @0.0000						
12/26/2017	***-**-059I - LIBBY, AMY	PL PORTFOLIO OPTIMIZATION MOD AGGRE	0.00	1.48	0.00	1.48	70.0	1.04
	ACCOUNT #: LSR012269	BUY 1 Units @0.0000						
12/26/2017	***-**-287O - AMANTE, JAMES	PUTNAM EQUITY INCOME FUND-A	0.00	2.86	0.00	2.86	70.0	2.00
	ACCOUNT #: LSR010473	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/26/2017	***-**-340J - PERRONE, ACCOUNT #: LSR011761	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	70.0	1.52
12/26/2017	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	70.0	0.01
12/26/2017	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	70.0	1.67
12/26/2017	***-**-31IR - BRUNO, CAROL ACCOUNT #: LSR012058	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	70.0	0.77
12/26/2017	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	70.0	0.99
12/26/2017	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	70.0	0.84
12/26/2017	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	70.0	0.36
12/26/2017	***-**-04UT - BRODER, HARRISON ACCOUNT #: LSR011807	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	70.0	0.28
12/26/2017	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	70.0	0.33
12/26/2017	***-**-99UT - BRODER, ZACHARY ACCOUNT #: LSR011809	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	70.0	0.33
12/26/2017	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	7.32	0.00	7.32	70.0	5.12
12/26/2017	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	70.0	1.46
12/26/2017	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	4.07	0.00	4.07	70.0	2.85
12/26/2017	***-**-76TR - STEELE ACCOUNT #: LSR011320	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	6.32	0.00	6.32	70.0	4.42
12/26/2017	***-**-673I - CZUBIK, ACCOUNT #: LSR010662	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	3.29	0.00	3.29	70.0	2.30
12/26/2017	***-**-09IR - RICH, JOSEPH ACCOUNT #: LSR010679	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	70.0	1.19



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/26/2017	***-**-69IR - RICH, PATRICIA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	1.70	0.00	1.70	70.0	1.19
	ACCOUNT #: LSR010683	BUY 1 Units @0.0000						
12/26/2017	***-**-18IN - SANCHEZ, THERESA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.40	0.00	2.40	70.0	1.68
	ACCOUNT #: LSR010749	BUY 1 Units @0.0000						
12/26/2017	***-**-26IN - SANTOS, FATIMA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						
12/26/2017	***-**-674O - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	1.45	0.00	1.45	70.0	1.02
	ACCOUNT #: LSR012274	BUY 1 Units @0.0000						
12/26/2017	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.14	0.00	2.14	70.0	1.50
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
12/26/2017	***-**-732J - FARQUHAR,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.32	0.00	0.32	70.0	0.22
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
12/26/2017	***-**-226O - MAYERSON, MS	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	5.07	0.00	5.07	70.0	3.55
	ACCOUNT #: LSR010890	BUY 1 Units @0.0000						
12/26/2017	***-**-76TR - STEELE	PUTNAM TAX-FREE HIGH YIELD-B	0.00	5.45	0.00	5.45	70.0	3.82
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$105.45	\$0.00	\$105.45		\$73.80
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
12/19/2017	***-**-308I - FREEMAN, BERNARD	PACIFIC LIFE CUSIP 69448B175-NFS	0.00	52.29	0.00	52.29	70.0	36.60
	ACCOUNT #: VM17003445	BUY 0 Units @0.0000						
12/19/2017	***-**-57IR - BERRIEN, ALLEN	PACIFIC LIFE VA COMM	0.00	72.17	0.00	72.17	70.0	50.52
	ACCOUNT #: VM13006700	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$124.46	\$0.00	\$124.46		\$87.12
*** BROKER TRANSACTIONS TOTAL ***			\$119,705.39	\$4,794.22	\$126.00	\$4,668.22		\$3,251.54



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$3,251.54
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$8.49
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$3,260.03
						Year-to-date Earnings		\$3,260.03