



COMMISSION STATEMENT

May 28, 2018

TIMOTHY STATES
 1629 K ST NW STE 300
 SUITE 300
 WASHINGTON, DC 20001

BROKER #: A70
 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>								
05/17/2018	***-**-1950 - CARTER, IRIS	ALLIANZGI SHORT DURATION HI INC	2,026.51	33.71	18.00	15.71	75.0	11.78
	ACCOUNT #: LSR012687	SELL 138 Units @14.7300						
05/17/2018	***-**-1950 - CARTER, IRIS	BLACKROCK FLOATING RATE INC	130,363.03	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 13102 Units @9.9500						
05/17/2018	***-**-1950 - CARTER, IRIS	BLACKROCK FLOATING RATE INC	2,584.81	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 254 Units @10.1800						
05/17/2018	***-**-1950 - CARTER, IRIS	CALVERT INCOME FUND - A	7,070.51	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 446 Units @15.8600						
05/17/2018	***-**-1950 - CARTER, IRIS	COLUMBIA INCOME BUILDER FUND CL A	15,609.59	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 1323 Units @11.8000						
05/17/2018	***-**-1950 - CARTER, IRIS	FRNKLN FLOATING RATE DLY ACCESS FND	7,859.26	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 896 Units @8.7700						
05/22/2018	***-**-1950 - CARTER, IRIS	GLOBAL OPPORTUNITIES A	19,999.96	950.00	18.00	932.00	75.0	699.00
	ACCOUNT #: LSR012687	BUY 255 Units @78.4500						
05/17/2018	***-**-1950 - CARTER, IRIS	HAMLIN HIGH DIVIDEND EQ	3,445.02	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 148 Units @23.3000						
05/17/2018	***-**-1950 - CARTER, IRIS	HARTFORD WORLD BOND FUND CL Y	4,085.42	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 385 Units @10.6200						
05/17/2018	***-**-1950 - CARTER, IRIS	INTERNATIONAL BOND A	2,485.90	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 434 Units @5.7300						
05/17/2018	***-**-1950 - CARTER, IRIS	INV INT TERM MUNI INCOME FUND CL A	10,604.01	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 968 Units @10.9500						
05/17/2018	***-**-1950 - CARTER, IRIS	MFS EMERGING MARKETS DEBT FUND CL I	1,981.21	33.35	18.00	15.35	75.0	11.51
	ACCOUNT #: LSR012687	SELL 140 Units @14.1400						
05/17/2018	***-**-1950 - CARTER, IRIS	MFS MUNICIPAL HIGH INCOME FUND CL I	4,859.32	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 598 Units @8.1200						
05/17/2018	***-**-1950 - CARTER, IRIS	NUVEEN REAL ASSET INCOME FUND I	2,518.27	35.00	18.00	17.00	75.0	12.75
	ACCOUNT #: LSR012687	SELL 110 Units @22.9700						
05/17/2018	***-**-1950 - CARTER, IRIS	PRICIPAL PREFERRED SECURITIES INSTL	2,023.71	33.69	18.00	15.69	75.0	11.77
	ACCOUNT #: LSR012687	SELL 201 Units @10.0500						
05/17/2018	***-**-1950 - CARTER, IRIS	RISING DIVIDENDS FUND A	2,351.06	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 119 Units @19.7000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
05/17/2018	***--1950 - CARTER, IRIS	THORNBURG LIMITED TERM MUNICIPAL FU	19,449.62	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012687	SELL 1377 Units @14.1200						
		* MUTUAL FUNDS SUBTOTAL *	\$239,317.21	\$1,260.75	\$306.00	\$954.75		\$684.56
<u>PRODUCT CATEGORY: STOCKS</u>								
05/18/2018	***--1950 - CARTER, IRIS	CONOCOPHILLIPS UNSOLICITED ORDER	17,636.25	200.00	20.00	180.00	75.0	135.00
	ACCOUNT #: LSR012687	BUY 250 Units @70.5450						
05/21/2018	***--1950 - CARTER, IRIS	FACEBOOK INC COM USD0.000006 CL A	18,444.50	133.33	17.00	116.33	75.0	87.25
	ACCOUNT #: LSR012687	BUY 100 Units @184.4450						
05/21/2018	***--1950 - CARTER, IRIS	FACEBOOK INC COM USD0.000006 CL A	9,222.40	66.67	1.00	65.67	75.0	49.25
	ACCOUNT #: LSR012687	BUY 50 Units @184.4480						
05/18/2018	***--1950 - CARTER, IRIS	FIFTH THIRD BANCORP	10,234.50	150.00	21.00	129.00	75.0	96.75
	ACCOUNT #: LSR012687	BUY 300 Units @34.1150						
05/18/2018	***--1950 - CARTER, IRIS	MICROSOFT CORP UNSOLICITED ORDER EX	19,291.80	225.00	18.00	207.00	75.0	155.25
	ACCOUNT #: LSR012687	BUY 200 Units @96.4590						
05/18/2018	***--1950 - CARTER, IRIS	NEKTAR THERAPEUTICS	8,315.50	87.50	17.00	70.50	75.0	52.88
	ACCOUNT #: LSR012687	BUY 100 Units @83.1550						
05/18/2018	***--1950 - CARTER, IRIS	NEKTAR THERAPEUTICS	8,316.00	87.50	2.00	85.50	75.0	64.13
	ACCOUNT #: LSR012687	BUY 100 Units @83.1600						
05/18/2018	***--1950 - CARTER, IRIS	UNDER ARMOUR INC COM STK USD0.00033	8,016.00	135.00	23.00	112.00	75.0	84.00
	ACCOUNT #: LSR012687	BUY 400 Units @20.0400						
		* STOCKS SUBTOTAL *	\$99,476.95	\$1,085.00	\$119.00	\$966.00		\$724.51
		*** BROKER TRANSACTIONS TOTAL ***	\$338,794.16	\$2,345.75	\$425.00	\$1,920.75		\$1,409.07



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DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER COMMISSION TOTALS									
						Broker Transactions		\$1,409.07	
						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		\$1,409.07	
						Year-to-date Earnings		\$37,492.16	