



COMMISSION STATEMENT

April 30, 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> | | | | | | | | |
| 04/20/2018 | ***-**-84IR - FARQUHAR, TARA | FIDELITY ADV NEW INSIGHTS-CL A | 50.00 | 2.50 | 0.00 | 2.50 | 70.0 | 1.75 |
| | ACCOUNT #: LSR012312 | BUY 1 Units @34.0800 | | | | | | |
| 04/20/2018 | ***-**-84IR - FARQUHAR, TARA | PUTNAM EQUITY INCOME FUND-A | 50.00 | 2.50 | 0.00 | 2.50 | 70.0 | 1.75 |
| | ACCOUNT #: LSR012312 | BUY 2 Units @25.9600 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$100.00 | \$5.00 | \$0.00 | \$5.00 | | \$3.50 |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | |
| 04/30/2018 | ***-**-216I - COOK, CHARLES | SYMMETRY RIA | 28,056.82 | 70.14 | 0.00 | 70.14 | 70.0 | 49.10 |
| | ACCOUNT #: 598603 | BUY 0 Units @2.8056 | | | | | | |
| 04/30/2018 | ***-**-673I - CZUBIK, | SYMMETRY RIA | 89,174.76 | 222.94 | 0.00 | 222.94 | 70.0 | 156.06 |
| | ACCOUNT #: 598877 | BUY 0 Units @8.9174 | | | | | | |
| 04/30/2018 | ***-**-51FB - HANSEN, DEBRA | SYMMETRY RIA | 13,470.02 | 33.67 | 0.00 | 33.67 | 70.0 | 23.57 |
| | ACCOUNT #: 601213 | BUY 0 Units @1.3470 | | | | | | |
| 04/30/2018 | ***-**-52FB - LIBBY, KENNETH | SYMMETRY RIA | 71,905.70 | 179.77 | 0.00 | 179.77 | 70.0 | 125.84 |
| | ACCOUNT #: 601226 | BUY 0 Units @7.1905 | | | | | | |
| 04/30/2018 | ***-**-81FB - BRANT, CHRIS | SYMMETRY RIA | 51,191.88 | 127.98 | 0.00 | 127.98 | 70.0 | 89.59 |
| | ACCOUNT #: 602506 | BUY 0 Units @5.1191 | | | | | | |
| 04/30/2018 | ***-**-41FB - SHELDON, DOUGLAS | SYMMETRY RIA | 4,532.38 | 11.33 | 0.00 | 11.33 | 70.0 | 7.93 |
| | ACCOUNT #: 609208 | BUY 0 Units @0.4532 | | | | | | |
| 04/30/2018 | ***-**-674I - RAMSEY, MARION | SYMMETRY RIA | 35,268.06 | 88.17 | 0.00 | 88.17 | 70.0 | 61.72 |
| | ACCOUNT #: 645187 | BUY 0 Units @3.5268 | | | | | | |
| 04/30/2018 | ***-**-43FB - NEW ENGLAND | SYMMETRY RIA | 55,995.69 | 139.99 | 0.00 | 139.99 | 70.0 | 97.99 |
| | ACCOUNT #: SYM22 | BUY 0 Units @5.5995 | | | | | | |
| * RIA SUBTOTAL * | | | \$349,595.31 | \$873.99 | \$0.00 | \$873.99 | | \$611.80 |
| <u>PRODUCT CATEGORY: 529 PLAN</u> | | | | | | | | |
| 04/30/2018 | ***-**-925P - FENGLER, DANIEL | CHET 529 | 100.00 | 2.50 | 0.00 | 2.50 | 70.0 | 1.75 |
| | ACCOUNT #: 68939901202 | BUY 0 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-925P - FENGLER, DANIEL | CHET 529 | 100.00 | 2.50 | 0.00 | 2.50 | 70.0 | 1.75 |
| | ACCOUNT #: 68939901201 | BUY 0 Units @0.0000 | | | | | | |
| * 529 PLAN SUBTOTAL * | | | \$200.00 | \$5.00 | \$0.00 | \$5.00 | | \$3.50 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 04/30/2018 | ***-**-657I - BERRIEN, ALLEN | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00 | 0.05 | 0.00 | 0.05 | 70.0 | 0.04 |
| | ACCOUNT #: LSR010323 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-226O - MAYERSON, MS | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00 | 0.50 | 0.00 | 0.50 | 70.0 | 0.35 |
| | ACCOUNT #: LSR010890 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-226O - MAYERSON, MS | PACIFIC FUNDS FLOAT RATE INCOME CL | 0.00 | 2.86 | 0.00 | 2.86 | 70.0 | 2.00 |
| | ACCOUNT #: LSR010890 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-736I - UNGER, HELEN | PACIFIC FUNDS FLOAT RATE INCOME CL | 0.00 | 0.94 | 0.00 | 0.94 | 70.0 | 0.66 |
| | ACCOUNT #: LSR011196 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-673I - CZUBIK, | PACIFIC FUNDS LMT DURATION HIGH INC | 0.00 | 2.93 | 0.00 | 2.93 | 70.0 | 2.05 |
| | ACCOUNT #: LSR010662 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-521I - SCHRYNEMAKERS, | PACIFIC FUNDS LMT DURATION HIGH INC | 0.00 | 4.33 | 0.00 | 4.33 | 70.0 | 3.03 |
| | ACCOUNT #: LSR010663 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-918I - SANCHEZ, THERESA | PACIFIC FUNDS LMT DURATION HIGH INC | 0.00 | 2.77 | 0.00 | 2.77 | 70.0 | 1.94 |
| | ACCOUNT #: LSR010742 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-18IN - SANCHEZ, THERESA | PACIFIC FUNDS LMT DURATION HIGH INC | 0.00 | 3.28 | 0.00 | 3.28 | 70.0 | 2.30 |
| | ACCOUNT #: LSR010749 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-736I - UNGER, HELEN | PACIFIC FUNDS STRATEGIC INC FD A | 0.00 | 2.87 | 0.00 | 2.87 | 70.0 | 2.01 |
| | ACCOUNT #: LSR011196 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-38UT - SANTOS UTMA CT, | PL PORT OPTIMIZATION MOD AGGRESSIVE | 0.00 | 1.01 | 0.00 | 1.01 | 70.0 | 0.71 |
| | ACCOUNT #: LSR011266 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-24UT - SANTOS UTMA CT, | PL PORT OPTIMIZATION MOD AGGRESSIVE | 0.00 | 1.01 | 0.00 | 1.01 | 70.0 | 0.71 |
| | ACCOUNT #: LSR011267 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-68UT - SANTOS UTMA CT, | PL PORT OPTIMIZATION MOD AGGRESSIVE | 0.00 | 0.50 | 0.00 | 0.50 | 70.0 | 0.35 |
| | ACCOUNT #: LSR011270 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-71UT - SANTOS UTMA CT, | PL PORT OPTIMIZATION MOD AGGRESSIVE | 0.00 | 0.50 | 0.00 | 0.50 | 70.0 | 0.35 |
| | ACCOUNT #: LSR011271 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-223I - GAY, LISA | PL PORTFOLIO OPTIMIZATION AGGRESSIV | 0.00 | 1.26 | 0.00 | 1.26 | 70.0 | 0.88 |
| | ACCOUNT #: LSR011789 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-340I - PERRONE, JOSEPH | PL PORTFOLIO OPTIMIZATION AGGRESSIV | 0.00 | 1.26 | 0.00 | 1.26 | 70.0 | 0.88 |
| | ACCOUNT #: LSR011803 | BUY 1 Units @0.0000 | | | | | | |
| 04/30/2018 | ***-**-732I - FARGUHAR, | PL PORTFOLIO OPTIMIZATION AGGRESSIV | 0.00 | 2.39 | 0.00 | 2.39 | 70.0 | 1.67 |
| | ACCOUNT #: LSR011806 | BUY 1 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/30/2018 | ***-**-839X - D'AMICO, AMY ACCOUNT #: LSR012357 | PL PORTFOLIO OPTIMIZATION AGGRESSIV BUY 1 Units @0.0000 | 0.00 | 4.13 | 0.00 | 4.13 | 70.0 | 2.89 |
| 04/30/2018 | ***-**-57IO - SOCHA, CYNTHIA ACCOUNT #: LSR010500 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 6.61 | 0.00 | 6.61 | 70.0 | 4.63 |
| 04/30/2018 | ***-**-340J - PERRONE, ACCOUNT #: LSR011761 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 1.27 | 0.00 | 1.27 | 70.0 | 0.89 |
| 04/30/2018 | ***-**-223I - GAY, LISA ACCOUNT #: LSR011789 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 3.36 | 0.00 | 3.36 | 70.0 | 2.35 |
| 04/30/2018 | ***-**-059O - LIBBY, AMY ACCOUNT #: LSR012236 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 3.00 | 0.00 | 3.00 | 70.0 | 2.10 |
| 04/30/2018 | ***-**-036I - LIBBY, GREGORY ACCOUNT #: LSR012248 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 3.03 | 0.00 | 3.03 | 70.0 | 2.12 |
| 04/30/2018 | ***-**-059I - LIBBY, AMY ACCOUNT #: LSR012269 | PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000 | 0.00 | 2.82 | 0.00 | 2.82 | 70.0 | 1.97 |
| 04/30/2018 | ***-**-036I - LIBBY, GREGORY ACCOUNT #: LSR012248 | PL PORTFOLIO OPTIMIZATION MODERATE BUY 1 Units @0.0000 | 0.00 | 1.01 | 0.00 | 1.01 | 70.0 | 0.71 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$53.69 | \$0.00 | \$53.69 | | \$37.59 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$349,895.31 | \$937.68 | \$0.00 | \$937.68 | | \$656.39 |



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| BROKER COMMISSION TOTALS | | | | | | | | |
| | | | | | | Broker Transactions | | \$656.39 |
| | | | | | | 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 | | \$656.39 |
| | | | | | | Year-to-date Earnings | | \$16,598.04 |