



# COMMISSION STATEMENT

## May 07, 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>								
04/27/2018	***-**-47FB - TORRES, SHARI	AMCAP FUND-A	163.89	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @33.0900						
04/27/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	194.65	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 7 Units @26.9300						
04/27/2018	***-**-53IO - MOSHER, JEANINE	AMERICAN BALANCED FUND-A	999.99	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011815	SELL 37 Units @26.9300						
04/23/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	70.0	2.23
	ACCOUNT #: 04000740312	BUY 5 Units @16.2100						
04/23/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	70.0	2.23
	ACCOUNT #: 04000740312	BUY 5 Units @16.2100						
04/27/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	45.68	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 4 Units @10.1900						
04/27/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	200.09	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @40.3400						
04/23/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD BOND FUND-A	29.53	0.89	0.00	0.89	70.0	0.62
	ACCOUNT #: 00088824619	BUY 1 Units @20.7600						
04/23/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD BOND FUND-A	5.54	0.17	0.00	0.17	70.0	0.12
	ACCOUNT #: 00088824619	BUY 0 Units @20.7600						
04/23/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	132.92	5.65	0.00	5.65	70.0	3.96
	ACCOUNT #: 00088824619	BUY 2 Units @54.5100						
04/23/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	24.92	1.06	0.00	1.06	70.0	0.74
	ACCOUNT #: 00088824619	BUY 0 Units @54.5100						
04/16/2018	***-**-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						
04/23/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	44.31	1.88	0.00	1.88	70.0	1.32
	ACCOUNT #: 00088824619	BUY 1 Units @59.8900						
04/23/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	8.31	0.35	0.00	0.35	70.0	0.25
	ACCOUNT #: 00088824619	BUY 0 Units @59.8900						
04/23/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	13.00	0.13	0.00	0.13	70.0	0.09
	ACCOUNT #: 04000234328	BUY 0 Units @62.0400						
04/23/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	3.90	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 04000234328	BUY 0 Units @62.0400						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
05/01/2018	***-**-548J - MOLONEY, JAMES	MAINSTAY US EQUITY OPPORTUNITIES CL	2,015.00	80.60	18.00	62.60	70.0	43.82
	ACCOUNT #: LSR011813	BUY 198 Units @10.1900						
04/16/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 4 Units @14.3000						
04/23/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	160.00	4.40	0.00	4.40	70.0	3.08
	ACCOUNT #: 00186955359	BUY 5 Units @33.9700						
04/23/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	190.00	5.23	0.00	5.23	70.0	3.66
	ACCOUNT #: 00186955359	BUY 32 Units @6.0200						
04/23/2018	***-**-5922 - HOTAILING,	PUTNAM INTERNATIONAL EQUITY-A	80.00	2.20	0.00	2.20	70.0	1.54
	ACCOUNT #: 00186955359	BUY 3 Units @27.4700						
04/23/2018	***-**-5922 - HOTAILING,	PUTNAM MID-CAP VALUE FUND-A	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 3 Units @20.5700						
04/27/2018	***-**-47FB - TORRES, SHARI	THE BOND FUND OF AMERICA-A	122.61	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 10 Units @12.5100						
04/23/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	70.0	1.76
	ACCOUNT #: 00088824619	BUY 1 Units @54.8100						
04/23/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	11.07	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 00088824619	BUY 0 Units @54.8100						
04/27/2018	***-**-47FB - TORRES, SHARI	THE GROWTH FUND OF AMERICA-A	113.25	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 2 Units @52.0200						
04/23/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	70.0	0.88
	ACCOUNT #: 00088824619	BUY 1 Units @24.1300						
04/23/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	5.54	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 00088824619	BUY 0 Units @24.1300						
04/25/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	252.36	4.04	0.00	4.04	70.0	2.83
	ACCOUNT #: 01293376129	BUY 5 Units @46.2100						
04/27/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	159.29	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 3 Units @45.6800						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN (continued)</u></b>								
		* MUTUAL FUNDS SUBTOTAL *	\$5,534.47	\$129.93	\$18.00	\$111.93		\$78.38
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
05/07/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	2.14	0.00	2.14	70.0	1.50
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
05/07/2018	***-**-6717 - DEBONIS, BRENDA	NEW YORK 529 TRAILS	0.00	0.58	0.00	0.58	70.0	0.41
	ACCOUNT #: 77423426901	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$0.00	\$2.72	\$0.00	\$2.72		\$1.91
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
04/30/2018	***-**-7131 - PHILLIPS, DAVID	MASS MUTUAL VA DTCC TRAILS	0.00	58.50	0.00	58.50	70.0	40.95
	ACCOUNT #: EVN46024214	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$58.50	\$0.00	\$58.50		\$40.95
		*** BROKER TRANSACTIONS TOTAL ***	\$5,534.47	\$191.15	\$18.00	\$173.15		\$121.24

### **BROKER COMMISSION TOTALS**

Broker Transactions	\$121.24
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

Net Commission Earned	\$121.24
Year-to-date Earnings	\$23,270.70