



COMMISSION STATEMENT

August 20, 2018

SAMUEL BARBER
327 Church St
Naugatuck, CT 06770

BROKER #: B06
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> | | | | | | | | |
| 08/14/2018 | ***-**-76FB - MANDEL, MICHAEL | AQR LQGE CAP MULTI STYLE FD CL R6- | 503.99 | 0.00 | 0.00 | 0.00 | 75.0 | 0.00 |
| | ACCOUNT #: LSM000217 | SELL 27 Units @18.5900 | | | | | | |
| 08/10/2018 | ***-**-3812 - NORIEGA, CARLOS | FRK GTH ALC 9-12 YR 529 PORT CL A | 600.00 | 22.50 | 0.00 | 22.50 | 75.0 | 16.88 |
| | ACCOUNT #: 000000007007857 | BUY 18 Units @32.7300 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$1,103.99 | \$22.50 | \$0.00 | \$22.50 | | \$16.88 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | |
|-----|--------------------------------|-------------------------------------|------|-------|------|-------|------|-------|
| / / | ***-**-7340 - RODESCHINI, | AMERICAN BALANCED FUND-C | 0.00 | 19.54 | 0.00 | 19.54 | 75.0 | 14.66 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-7340 - RODESCHINI, | CLEARBRIDGE AGGRESSIVE GROWTH C | 0.00 | 9.41 | 0.00 | 9.41 | 75.0 | 7.06 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-63IO - BARBER, | FIRST EAGLE GLOBAL FUND CLASS C | 0.00 | 0.61 | 0.00 | 0.61 | 75.0 | 0.46 |
| | ACCOUNT #: LSR011933 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-67IO - FERNANDEZ, ANA | FIRST EAGLE GLOBAL FUND CLASS C | 0.00 | 0.87 | 0.00 | 0.87 | 75.0 | 0.65 |
| | ACCOUNT #: LSR011946 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-7340 - RODESCHINI, | FUNDAMENTAL INVESTORS-C | 0.00 | 6.82 | 0.00 | 6.82 | 75.0 | 5.12 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-63IO - BARBER, | JPMORGAN EQUITY INCOME FUND CLASS C | 0.00 | 0.12 | 0.00 | 0.12 | 75.0 | 0.09 |
| | ACCOUNT #: LSR011933 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-63IO - BARBER, | JPMORGAN EQUITY INCOME FUND CLASS C | 0.00 | 0.04 | 0.00 | 0.04 | 75.0 | 0.03 |
| | ACCOUNT #: LSR011933 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-7340 - RODESCHINI, | JPMORGAN LARGE CAP GROWTH CLASS C | 0.00 | 36.43 | 0.00 | 36.43 | 75.0 | 27.32 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-67IO - FERNANDEZ, ANA | JPMORGAN LARGE CAP GROWTH CLASS C | 0.00 | 1.64 | 0.00 | 1.64 | 75.0 | 1.23 |
| | ACCOUNT #: LSR011946 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-7340 - RODESCHINI, | JPMORGAN LARGE CAP GROWTH CLASS C | 0.00 | 12.14 | 0.00 | 12.14 | 75.0 | 9.11 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-67IO - FERNANDEZ, ANA | JPMORGAN LARGE CAP GROWTH CLASS C | 0.00 | 0.55 | 0.00 | 0.55 | 75.0 | 0.41 |
| | ACCOUNT #: LSR011946 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-71IO - ALBERTO, MICHAEL | LARGE CAP GROWTH FUND - A | 0.00 | 0.74 | 0.00 | 0.74 | 75.0 | 0.56 |
| | ACCOUNT #: LSR011938 | BUY 1 Units @0.0000 | | | | | | |
| / / | ***-**-7340 - RODESCHINI, | THE GROWTH FUND OF AMERICA-C | 0.00 | 20.65 | 0.00 | 20.65 | 75.0 | 15.49 |
| | ACCOUNT #: LSR011934 | BUY 1 Units @0.0000 | | | | | | |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| / / | ***-**-63IO - BARBER, ACCOUNT #: LSR011933 | WESTERN ASSET CORE BOND FUND CL C BUY 1 Units @0.0000 | 0.00 | 0.09 | 0.00 | 0.09 | 75.0 | 0.07 |
| / / | ***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984 | WESTERN ASSET MANAGED MUNI CL C BUY 1 Units @0.0000 | 0.00 | 14.78 | 0.00 | 14.78 | 75.0 | 11.09 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$124.43 | \$0.00 | \$124.43 | | \$93.35 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$1,103.99 | \$146.93 | \$0.00 | \$146.93 | | \$110.23 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$110.23 |
| 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 | \$110.23 |
| Year-to-date Earnings | \$37,078.09 |