



COMMISSION STATEMENT

July 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>								
07/20/2018	***-**-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 @36.3600						
07/24/2018	***-**-134I - KOONTZ, JOSEPH	PL PORTFOLIO OPTIMIZATION AGGRESSIV	27,300.01	1,296.75	18.00	1,278.75	70.0	895.13
	ACCOUNT #: LSR012089	BUY 1454 Units @18.7700						
07/26/2018	***-**-673I - CZUBIK,	PRUDENTIAL HIGH YIELD CLASS A	14,500.00	580.00	18.00	562.00	70.0	393.40
	ACCOUNT #: LSR010662	BUY 2562 Units @5.6600						
07/20/2018	***-**-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 @26.5400						
* MUTUAL FUNDS SUBTOTAL *			\$41,900.01	\$1,881.75	\$36.00	\$1,845.75		\$1,292.03
<u>PRODUCT CATEGORY: RIA</u>								
07/30/2018	***-**-216I - COOK, CHARLES	SYMMETRY RIA	27,133.54	67.83	0.00	67.83	70.0	47.48
	ACCOUNT #: 598603	BUY 0 Units @2.7133						
07/30/2018	***-**-673I - CZUBIK,	SYMMETRY RIA	88,840.95	222.10	0.00	222.10	70.0	155.47
	ACCOUNT #: 598877	BUY 0 Units @8.8840						
07/30/2018	***-**-51FB - HANSEN, DEBRA	SYMMETRY RIA	8,933.36	22.33	0.00	22.33	70.0	15.63
	ACCOUNT #: 601213	BUY 0 Units @0.8933						
07/30/2018	***-**-52FB - LIBBY, KENNETH	SYMMETRY RIA	71,776.00	179.44	0.00	179.44	70.0	125.61
	ACCOUNT #: 601226	BUY 0 Units @7.1776						
07/30/2018	***-**-81FB - BRANT, CHRIS	SYMMETRY RIA	50,964.22	127.41	0.00	127.41	70.0	89.19
	ACCOUNT #: 602506	BUY 0 Units @5.0964						
07/30/2018	***-**-41FB - SHELDON, DOUGLAS	SYMMETRY RIA	2,012.21	5.03	0.00	5.03	70.0	3.52
	ACCOUNT #: 609208	BUY 0 Units @0.2012						
07/30/2018	***-**-674I - RAMSEY, MARION	SYMMETRY RIA	34,450.77	86.13	0.00	86.13	70.0	60.29
	ACCOUNT #: 645187	BUY 0 Units @3.4450						
07/30/2018	***-**-43FB - NEW ENGLAND	SYMMETRY RIA	68,114.94	170.29	0.00	170.29	70.0	119.20
	ACCOUNT #: SYM22	BUY 0 Units @6.8114						
* RIA SUBTOTAL *			\$352,225.99	\$880.56	\$0.00	\$880.56		\$616.39



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
07/11/2018	***-**-925P - FENGLER, DANIEL	CHET 529	100.00	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: 68939901202	BUY 0 Units @0.0000						
07/16/2018	***-**-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
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/31/2018	***-**-642O - DINNERSTEIN,	FIDELITY CASH MM	0.00	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011108	BUY 1 Units @0.0000						
07/31/2018	***-**-657I - BERRIEN, ALLEN	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: LSR010323	BUY 1 Units @0.0000						
07/31/2018	***-**-226O - MAYERSON, MS	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR010890	BUY 1 Units @0.0000						
07/31/2018	***-**-736I - UNGER, HELEN	PACIFIC FUNDS FLOAT RATE INCOME CL	0.00	0.84	0.00	0.84	70.0	0.59
	ACCOUNT #: LSR011196	BUY 1 Units @0.0000						
07/31/2018	***-**-608O - MAYERSON, ERIC	PACIFIC FUNDS FLOAT RATE INCOME CL	0.00	1.39	0.00	1.39	70.0	0.97
	ACCOUNT #: LSR012679	BUY 1 Units @0.0000						
07/31/2018	***-**-673I - CZUBIK,	PACIFIC FUNDS LMT DURATION HIGH INC	0.00	2.53	0.00	2.53	70.0	1.77
	ACCOUNT #: LSR010662	BUY 1 Units @0.0000						
07/31/2018	***-**-521I - SCHRYNEMAKERS,	PACIFIC FUNDS LMT DURATION HIGH INC	0.00	3.77	0.00	3.77	70.0	2.64
	ACCOUNT #: LSR010663	BUY 1 Units @0.0000						
07/31/2018	***-**-918I - SANCHEZ, THERESA	PACIFIC FUNDS LMT DURATION HIGH INC	0.00	2.39	0.00	2.39	70.0	1.67
	ACCOUNT #: LSR010742	BUY 1 Units @0.0000						
07/31/2018	***-**-18IN - SANCHEZ, THERESA	PACIFIC FUNDS LMT DURATION HIGH INC	0.00	2.85	0.00	2.85	70.0	2.00
	ACCOUNT #: LSR010749	BUY 1 Units @0.0000						
07/31/2018	***-**-736I - UNGER, HELEN	PACIFIC FUNDS STRATEGIC INC FD A	0.00	1.67	0.00	1.67	70.0	1.17
	ACCOUNT #: LSR011196	BUY 1 Units @0.0000						
07/31/2018	***-**-38UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.98	0.00	0.98	70.0	0.69
	ACCOUNT #: LSR011266	BUY 1 Units @0.0000						
07/31/2018	***-**-24UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.98	0.00	0.98	70.0	0.69
	ACCOUNT #: LSR011267	BUY 1 Units @0.0000						
07/31/2018	***-**-68UT - SANTOS UTMA CT,	PL PORT OPTIMIZATION MOD AGGRESSIVE	0.00	0.49	0.00	0.49	70.0	0.34
	ACCOUNT #: LSR011270	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-71UT - SANTOS UTMA CT, ACCOUNT #: LSR011271	PL PORT OPTIMIZATION MOD AGGRESSIVE BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	70.0	0.34
07/31/2018	***-**-223I - GAY, LISA ACCOUNT #: LSR011789	PL PORTFOLIO OPTIMIZATION AGGRESSIV BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	70.0	0.87
07/31/2018	***-**-340I - PERRONE, JOSEPH ACCOUNT #: LSR011803	PL PORTFOLIO OPTIMIZATION AGGRESSIV BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	70.0	0.87
07/31/2018	***-**-732I - FARGUHAR, ACCOUNT #: LSR011806	PL PORTFOLIO OPTIMIZATION AGGRESSIV BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	70.0	1.65
07/31/2018	***-**-839X - D'AMICO, AMY ACCOUNT #: LSR012357	PL PORTFOLIO OPTIMIZATION AGGRESSIV BUY 1 Units @0.0000	0.00	4.06	0.00	4.06	70.0	2.84
07/31/2018	***-**-57IO - SOCHA, CYNTHIA ACCOUNT #: LSR010500	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	70.0	5.10
07/31/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	70.0	0.87
07/31/2018	***-**-223I - GAY, LISA ACCOUNT #: LSR011789	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	4.11	0.00	4.11	70.0	2.88
07/31/2018	***-**-059O - LIBBY, AMY ACCOUNT #: LSR012236	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	70.0	2.06
07/31/2018	***-**-036I - LIBBY, GREGORY ACCOUNT #: LSR012248	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	70.0	2.07
07/31/2018	***-**-059I - LIBBY, AMY ACCOUNT #: LSR012269	PL PORTFOLIO OPTIMIZATION MOD AGGRE BUY 1 Units @0.0000	0.00	3.23	0.00	3.23	70.0	2.26
07/31/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PL PORTFOLIO OPTIMIZATION MODERATE BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	70.0	0.01
07/31/2018	***-**-036I - LIBBY, GREGORY ACCOUNT #: LSR012248	PL PORTFOLIO OPTIMIZATION MODERATE BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	70.0	0.69
07/31/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PL PORTFOLIO OPTIMIZATION MODERATE BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	70.0	0.08
07/31/2018	***-**-721I - GUARNA, CATERINA ACCOUNT #: LSR012322	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	70.0	0.60
07/31/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	4.38	0.00	4.38	70.0	3.07



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-287O - AMANTE, JAMES	PUTNAM EQUITY INCOME FUND-A	0.00	3.01	0.00	3.01	70.0	2.11
	ACCOUNT #: LSR010473	BUY 1 Units @0.0000						
07/31/2018	***-**-340J - PERRONE,	PUTNAM EQUITY INCOME FUND-A	0.00	2.29	0.00	2.29	70.0	1.60
	ACCOUNT #: LSR011761	BUY 1 Units @0.0000						
07/31/2018	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-A	0.00	0.03	0.00	0.03	70.0	0.02
	ACCOUNT #: LSR011808	BUY 1 Units @0.0000						
07/31/2018	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-A	0.00	0.01	0.00	0.01	70.0	0.01
	ACCOUNT #: LSR011809	BUY 1 Units @0.0000						
07/31/2018	***-**-287K - AMANTE, JAMES	PUTNAM EQUITY INCOME FUND-A	0.00	2.52	0.00	2.52	70.0	1.76
	ACCOUNT #: LSR011868	BUY 1 Units @0.0000						
07/31/2018	***-**-31IR - BRUNO, CAROL	PUTNAM EQUITY INCOME FUND-A	0.00	1.16	0.00	1.16	70.0	0.81
	ACCOUNT #: LSR012058	BUY 1 Units @0.0000						
07/31/2018	***-**-674O - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	0.00	2.04	0.00	2.04	70.0	1.43
	ACCOUNT #: LSR012274	BUY 1 Units @0.0000						
07/31/2018	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	0.00	1.23	0.00	1.23	70.0	0.86
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
07/31/2018	***-**-84IR - FARQUHAR, TARA	PUTNAM EQUITY INCOME FUND-A	0.00	0.72	0.00	0.72	70.0	0.50
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
07/31/2018	***-**-732J - FARQUHAR,	PUTNAM EQUITY INCOME FUND-A	0.00	4.09	0.00	4.09	70.0	2.86
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
07/31/2018	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-B	0.00	0.18	0.00	0.18	70.0	0.13
	ACCOUNT #: LSR011807	BUY 1 Units @0.0000						
07/31/2018	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-B	0.00	0.49	0.00	0.49	70.0	0.34
	ACCOUNT #: LSR011808	BUY 1 Units @0.0000						
07/31/2018	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-B	0.00	0.49	0.00	0.49	70.0	0.34
	ACCOUNT #: LSR011809	BUY 1 Units @0.0000						
07/31/2018	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-C	0.00	0.01	0.00	0.01	70.0	0.01
	ACCOUNT #: LSR011807	BUY 1 Units @0.0000						
07/31/2018	***-**-43IN - RISKALLA,	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	7.15	0.00	7.15	70.0	5.01
	ACCOUNT #: LSR010472	BUY 1 Units @0.0000						
07/31/2018	***-**-069I - RICH, PATRICIA	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	3.97	0.00	3.97	70.0	2.78
	ACCOUNT #: LSR010684	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-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
07/31/2018	***-**-673I - CZUBIK, ACCOUNT #: LSR010662	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	3.21	0.00	3.21	70.0	2.25
07/31/2018	***-**-18IN - SANCHEZ, THERESA ACCOUNT #: LSR010749	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	70.0	1.69
07/31/2018	***-**-26IN - SANTOS, FATIMA ACCOUNT #: LSR011234	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	70.0	0.17
07/31/2018	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	70.0	1.39
07/31/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	70.0	1.94
07/31/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	70.0	0.23
07/31/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.37	0.00	2.37	70.0	1.66
07/31/2018	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	PUTNAM TAX-FREE HIGH YIELD FUND CLA BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	70.0	0.69
07/31/2018	***-**-608O - MAYERSON, ERIC ACCOUNT #: LSR012679	PUTNAM TAX-FREE HIGH YIELD FUND CLA BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	70.0	1.79
07/31/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	PUTNAM TAX-FREE HIGH YIELD-B BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	70.0	3.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$113.50	\$0.00	\$113.50		\$79.46
*** BROKER TRANSACTIONS TOTAL ***			\$394,326.00	\$2,880.81	\$36.00	\$2,844.81		\$1,991.38



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			INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
BROKER COMMISSION TOTALS							
Broker Transactions						\$1,991.38	
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						\$1,991.38	
Year-to-date Earnings						\$24,503.06	