



# COMMISSION STATEMENT

## March 19, 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>								
03/12/2018	***-**-461I - FISCHER, ACCOUNT #: LSR012487	AMERICAN CORPORATE BOND FUND A BUY 267 Units @10.4400	2,788.00	76.67	18.00	58.67	70.0	41.07
03/12/2018	***-**-09IO - FRANCIS, TERESA ACCOUNT #: LSR012472	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 86 Units @20.3400	1,740.01	87.00	18.00	69.00	70.0	48.30
03/12/2018	***-**-09IO - FRANCIS, TERESA ACCOUNT #: LSR012472	AMERICAN FUNDS GRWTH & INCOME PORT BUY 192 Units @16.5800	3,189.99	159.50	18.00	141.50	70.0	99.05
03/12/2018	***-**-461I - FISCHER, ACCOUNT #: LSR012487	AMERICAN HIGH-INCOME TRUST-A BUY 105 Units @10.6500	1,114.00	30.63	18.00	12.63	70.0	8.84
02/26/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 68 Units @12.6700	865.58	17.31	0.00	17.31	70.0	12.12
02/26/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 11 Units @12.6700	138.12	2.76	0.00	2.76	70.0	1.93
02/26/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 33 Units @14.3200	466.08	9.32	0.00	9.32	70.0	6.52
02/26/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 5 Units @14.3200	74.38	1.49	0.00	1.49	70.0	1.04
03/12/2018	***-**-09IO - FRANCIS, TERESA ACCOUNT #: LSR012472	PRESERVATION PORTFOLIO-A BUY 87 Units @10.0100	870.00	17.40	18.00	-0.60	100.0	-0.60
03/12/2018	***-**-461I - FISCHER, ACCOUNT #: LSR012487	THE INCOME FUND OF AMERICA-A BUY 115 Units @24.2100	2,788.00	76.67	18.00	58.67	70.0	41.07
03/12/2018	***-**-461I - FISCHER, ACCOUNT #: LSR012487	WASHINGTON MUTUAL INVESTORS FUND-A BUY 92 Units @48.5200	4,460.01	122.65	18.00	104.65	70.0	73.26
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$18,494.17</b>	<b>\$601.40</b>	<b>\$126.00</b>	<b>\$475.40</b>		<b>\$332.60</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/09/2018	***-**-3023 - DEWEY, STEVEN ACCOUNT #: 00009247327	AIG STRATEGIC BOND FUND CLASS A BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	70.0	1.69
03/19/2018	***-**-53IO - GIL, OMER ACCOUNT #: LSR011536	AMCAP FUND-A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	70.0	0.82
03/19/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	AMCAP FUND-A BUY 1 Units @0.0000	0.00	11.24	0.00	11.24	70.0	7.87
03/19/2018	***-**-091I - GLASSFORD, ACCOUNT #: LSR011526	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	70.0	1.37



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
03/19/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	0.00	13.52	0.00	13.52	70.0	9.46
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	AMERICAN BALANCED FUND-A	0.00	0.91	0.00	0.91	70.0	0.64
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS BLNCD PORTFOLIO CL A	0.00	0.25	0.00	0.25	70.0	0.18
	ACCOUNT #: LSR011898	BUY 1 Units @0.0000						
03/19/2018	***-**-569K - ANDERSON,	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	0.59	0.00	0.59	70.0	0.41
	ACCOUNT #: LSR011745	BUY 1 Units @0.0000						
03/19/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	0.26	0.00	0.26	70.0	0.18
	ACCOUNT #: LSR011898	BUY 1 Units @0.0000						
03/19/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS GRWTH & INCOME PORT	0.00	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: LSR011898	BUY 1 Units @0.0000						
03/19/2018	***-**-02IO - FISCHER, ALLYSE	AMERICAN FUNDS GRWTH & INCOME PORT	0.00	0.62	0.00	0.62	70.0	0.43
	ACCOUNT #: LSR012367	BUY 1 Units @0.0000						
03/19/2018	***-**-62UT - MAINVILLE UTMA	AMERICAN FUNDS INCOME PORT CL A	0.00	0.15	0.00	0.15	70.0	0.11
	ACCOUNT #: LSR011645	BUY 1 Units @0.0000						
03/19/2018	***-**-569K - ANDERSON,	AMERICAN FUNDS INCOME PORT CL A	0.00	0.51	0.00	0.51	70.0	0.36
	ACCOUNT #: LSR011745	BUY 1 Units @0.0000						
03/19/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS T/E PRESERVATION POR	0.00	0.28	0.00	0.28	70.0	0.20
	ACCOUNT #: LSR011547	BUY 1 Units @0.0000						
03/19/2018	***-**-943J - DAILY, MATTHEW	AMERICAN FUNDS T/E PRESERVATION POR	0.00	1.64	0.00	1.64	70.0	1.15
	ACCOUNT #: LSR011610	BUY 1 Units @0.0000						
03/19/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS T/E PRESERVATION POR	0.00	0.33	0.00	0.33	70.0	0.23
	ACCOUNT #: LSR011898	BUY 1 Units @0.0000						
03/19/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS TAX ADVANTGED INC PO	0.00	1.14	0.00	1.14	70.0	0.80
	ACCOUNT #: LSR011547	BUY 1 Units @0.0000						
03/19/2018	***-**-943J - DAILY, MATTHEW	AMERICAN FUNDS TAX ADVANTGED INC PO	0.00	0.58	0.00	0.58	70.0	0.41
	ACCOUNT #: LSR011610	BUY 1 Units @0.0000						
03/19/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS TAX ADVANTGED INC PO	0.00	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: LSR011898	BUY 1 Units @0.0000						
03/19/2018	***-**-091I - GLASSFORD,	AMERICAN HIGH-INCOME TRUST-A	0.00	1.60	0.00	1.60	70.0	1.12
	ACCOUNT #: LSR011526	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
03/19/2018	***-**-55IO - KOMAR, EDWARD	AMERICAN HIGH-INCOME TRUST-A	0.00	48.25	0.00	48.25	70.0	33.78
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	0.00	3.16	0.00	3.16	70.0	2.21
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	AMERICAN HIGH-INCOME TRUST-A	0.00	0.91	0.00	0.91	70.0	0.64
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-53IO - GIL, OMER	AMERICAN MUTUAL FUND-A	0.00	0.93	0.00	0.93	70.0	0.65
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						
03/19/2018	***-**-55IO - KOMAR, EDWARD	AMERICAN MUTUAL FUND-A	0.00	46.84	0.00	46.84	70.0	32.79
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	0.00	14.01	0.00	14.01	70.0	9.81
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	AMERICAN MUTUAL FUND-A	0.00	0.92	0.00	0.92	70.0	0.64
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-032I - JOHNSON, DARLENE	CAPITAL INCOME BUILDER-A	0.00	2.31	0.00	2.31	70.0	1.62
	ACCOUNT #: LSR011358	BUY 1 Units @0.0000						
03/19/2018	***-**-55IO - KOMAR, EDWARD	CAPITAL INCOME BUILDER-A	0.00	44.27	0.00	44.27	70.0	30.99
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-55IO - KOMAR, EDWARD	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	49.84	0.00	49.84	70.0	34.89
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-53IO - GIL, OMER	FUNDAMENTAL INVESTORS-A	0.00	0.75	0.00	0.75	70.0	0.53
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	FUNDAMENTAL INVESTORS-A	0.00	2.34	0.00	2.34	70.0	1.64
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-39UT - CHAUVIN UTMA NY,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.66	0.00	0.66	70.0	0.46
	ACCOUNT #: LSR011657	BUY 1 Units @0.0000						
03/19/2018	***-**-02IO - FISCHER, ALLYSE	GLOBAL GROWTH PORTFOLIO-A	0.00	0.93	0.00	0.93	70.0	0.65
	ACCOUNT #: LSR012367	BUY 1 Units @0.0000						
03/19/2018	***-**-53IO - GIL, OMER	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.21	0.00	0.21	70.0	0.15
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						
03/19/2018	***-**-53IO - GIL, OMER	NEW PERSPECTIVE FUND-A	0.00	0.72	0.00	0.72	70.0	0.50
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
03/19/2018	***-**-53IO - GIL, OMER	SMALLCAP WORLD FUND-A	0.00	0.44	0.00	0.44	70.0	0.31
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						
03/09/2018	***-**-3023 - DEWEY, STEVEN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	5.03	0.00	5.03	70.0	3.52
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
03/19/2018	***-**-55IO - KOMAR, EDWARD	THE BOND FUND OF AMERICA-A	0.00	17.86	0.00	17.86	70.0	12.50
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-47FB - TORRES, SHARI	THE BOND FUND OF AMERICA-A	0.00	8.52	0.00	8.52	70.0	5.96
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	THE BOND FUND OF AMERICA-A	0.00	2.67	0.00	2.67	70.0	1.87
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-60IN - TALBOT, JENNIFER	THE GROWTH FUND OF AMERICA-A	0.00	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: LSR011386	BUY 1 Units @0.0000						
03/19/2018	***-**-47FB - TORRES, SHARI	THE GROWTH FUND OF AMERICA-A	0.00	7.78	0.00	7.78	70.0	5.45
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
03/02/2018	***-**-5076 - TORRES, JASON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	0.34	0.00	0.34	70.0	0.24
	ACCOUNT #: 00000751783	BUY 0 Units @0.0000						
03/19/2018	***-**-032I - JOHNSON, DARLENE	THE INCOME FUND OF AMERICA-A	0.00	2.57	0.00	2.57	70.0	1.80
	ACCOUNT #: LSR011358	BUY 1 Units @0.0000						
03/19/2018	***-**-53IO - GIL, OMER	THE INCOME FUND OF AMERICA-A	0.00	0.43	0.00	0.43	70.0	0.30
	ACCOUNT #: LSR011536	BUY 1 Units @0.0000						
03/19/2018	***-**-55IO - KOMAR, EDWARD	THE INCOME FUND OF AMERICA-A	0.00	25.35	0.00	25.35	70.0	17.75
	ACCOUNT #: LSR011569	BUY 1 Units @0.0000						
03/19/2018	***-**-91IR - GLASSFORD,	THE INCOME FUND OF AMERICA-A	0.00	1.37	0.00	1.37	70.0	0.96
	ACCOUNT #: LSR012316	BUY 1 Units @0.0000						
03/19/2018	***-**-091I - GLASSFORD,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.33	0.00	2.33	70.0	1.63
	ACCOUNT #: LSR011526	BUY 1 Units @0.0000						
03/19/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	11.07	0.00	11.07	70.0	7.75
	ACCOUNT #: LSR011621	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$343.24</b>	<b>\$0.00</b>	<b>\$343.24</b>		<b>\$240.29</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$18,494.17</b>	<b>\$944.64</b>	<b>\$126.00</b>	<b>\$818.64</b>		<b>\$572.89</b>



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BRANCH #01001 - LifeMark Home Office

				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions	\$572.89	
						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	
Please Retain for Your Records						Balance Forward	\$0.00	
THERE WILL BE NO PAYMENT THIS PERIOD								
						Year-to-date Earnings	\$0.00	