



COMMISSION STATEMENT

August 13, 2018

BERT GOLDBERG
1048 W. Myrna Lane
Tempe, AZ 85284

BROKER #: 698
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> | | | | | | | | |
| 08/06/2018 | ***-**-0713 - SANTAPAOLA, ACCOUNT #: LSR012803 | CIION ARES DIVERSIFIED CREDIT C BUY 195 Units @25.6700 | 5,000.00 | 50.00 | 18.00 | 32.00 | 70.0 | 22.40 |
| 08/06/2018 | ***-**-0713 - SANTAPAOLA, ACCOUNT #: LSR012803 | GRIFFIN INST ACCESS REALESTATE FD C BUY 174 Units @28.7600 | 5,000.01 | 250.00 | 18.00 | 232.00 | 70.0 | 162.40 |
| 08/06/2018 | ***-**-0713 - SANTAPAOLA, ACCOUNT #: LSR012803 | LIFESTYLE BALANCED PORTFOLIO A BUY 3701 Units @16.2100 | 60,000.00 | 2,250.00 | 18.00 | 2,232.00 | 70.0 | 1,562.40 |
| 08/06/2018 | ***-**-0713 - SANTAPAOLA, ACCOUNT #: LSR012803 | RESOURCE CREDIT INCOME FUND A BUY 421 Units @11.8700 | 5,000.00 | 275.00 | 18.00 | 257.00 | 70.0 | 179.90 |
| 08/06/2018 | ***-**-0713 - SANTAPAOLA, ACCOUNT #: LSR012803 | RESOURCE REAL ESTATES-NFS BUY 451 Units @11.0800 | 5,000.01 | 275.00 | 18.00 | 257.00 | 70.0 | 179.90 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$80,000.02 | \$3,100.00 | \$90.00 | \$3,010.00 | | \$2,107.00 |
| <u>PRODUCT CATEGORY: EQUITY INDEXED ANNUITIES</u> | | | | | | | | |
| 08/03/2018 | ***-**-9761 - SANTAPAOLA, | NATIONWIDE PEAK FIXED INDEX ANNUITY BUY 1 Units @135000.000 | 134,454.70 | 7,058.87 | 0.00 | 7,058.87 | 70.0 | 4,941.21 |
| * EQUITY INDEXED ANNUITIES SUBTOTAL * | | | \$134,454.70 | \$7,058.87 | \$0.00 | \$7,058.87 | | \$4,941.21 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 08/07/2018 | ***-**-61UT - FREELAND, ACCOUNT #: 00009937552 | FEDERATED KAUFMANN FUND BUY 0 Units @0.0000 | 0.00 | 3.84 | 0.00 | 3.84 | 70.0 | 2.69 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$3.84 | \$0.00 | \$3.84 | | \$2.69 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 08/13/2018 | ***-**-0235 - RKS, PLUMBING & ACCOUNT #: 26983 | JOHN HANCOCK VA TRAILS BUY 1 Units @0.0000 | 0.00 | 888.87 | 0.00 | 888.87 | 70.0 | 622.21 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$888.87 | \$0.00 | \$888.87 | | \$622.21 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$214,454.72 | \$11,051.58 | \$90.00 | \$10,961.58 | | \$7,673.11 |



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| | | | INVESTMENT | GROSS | CLEARING | NET | BROKER | |
|-------------------------------------|--------|--|------------|------------|----------|-----------------------|--------|-------------|
| DATE | CLIENT | | AMOUNT | COMMISSION | CHARGE | COMMISSION | RATE | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div> | | | | | | | | |
| | | | | | | Broker Transactions | | \$7,673.11 |
| | | | | | | 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 | | \$7,673.11 |
| | | | | | | Year-to-date Earnings | | \$49,230.98 |