



COMMISSION STATEMENT

July 23, 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: RIA</u>								
07/23/2018	***-**-15CL - BRODER, CLIENTS	ASSETMARK QRTL PLATFORM MAINTENANC BUY 1 Units @0.0000	0.00	-125.00	0.00	-125.00	70.0	-87.50
/ /	***-**-44FB - ADDONA, MARIO ACCOUNT #: 3394862	GPS ACCUMULATION, PROFILE 5, GROWTH BUY 0 Units @140.6039	14,060.39	53.15	0.00	53.15	70.0	37.21
/ /	***-**-87FB - AMANTE, JAMES ACCOUNT #: 3479710	GLOBAL MARKET BLEND, PROFILE 5, GRO BUY 0 Units @870.5626	87,056.26	219.38	0.00	219.38	70.0	153.57
* RIA SUBTOTAL *			\$101,116.65	\$147.53	\$0.00	\$147.53		\$103.28
<u>PRODUCT CATEGORY: 529 PLAN</u>								
07/23/2018	***-**-5134 - KOONTZ, JOSEPH ACCOUNT #: 68455548301	CHET 529 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	70.0	0.35
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.35
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/23/2018	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	FIDELITY ADV BALANCED CL A BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	70.0	1.20
07/23/2018	***-**-287O - AMANTE, JAMES ACCOUNT #: LSR010473	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	70.0	0.56
07/23/2018	***-**-26IN - SANTOS, FATIMA ACCOUNT #: LSR011234	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	70.0	0.36
07/23/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	12.12	0.00	12.12	70.0	8.48
07/23/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	2.50	0.00	2.50	70.0	1.75
07/23/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	70.0	0.97
07/23/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	70.0	0.26
07/23/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	70.0	0.92
07/23/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	7.72	0.00	7.72	70.0	5.40



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	70.0	2.87
07/23/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	3.79	0.00	3.79	70.0	2.65
07/23/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	11.55	0.00	11.55	70.0	8.09
07/23/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV CONSUMER STAPLES-CL T BUY 1 Units @0.0000	0.00	8.41	0.00	8.41	70.0	5.89
07/23/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	70.0	0.91
07/23/2018	***-**-573K - THEODORIDIS, ACCOUNT #: LSR012532	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	70.0	0.56
07/23/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	13.10	0.00	13.10	70.0	9.17
07/23/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	6.33	0.00	6.33	70.0	4.43
07/23/2018	***-**-6080 - MAYERSON, ERIC ACCOUNT #: LSR012679	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	70.0	1.11
07/23/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	70.0	0.93
07/23/2018	***-**-8090 - RICH, JOSEPH ACCOUNT #: LSR012491	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	70.0	0.68
07/23/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	70.0	0.55
07/23/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	70.0	1.79
07/23/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADVISOR EQUITY INCOME CL T BUY 1 Units @0.0000	0.00	14.43	0.00	14.43	70.0	10.10
07/23/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	FIDELITY ADVISOR REAL ESTATE INCOME BUY 1 Units @0.0000	0.00	3.36	0.00	3.36	70.0	2.35
07/17/2018	***-**-7140 - MAYERSON, STEVEN ACCOUNT #: LSR012678	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	2.50	0.00	2.50	70.0	1.75



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	JANUS HENDERSON GLBL EQUITY INC CL BUY 1 Units @0.0000	0.00	4.05	0.00	4.05	70.0	2.84
07/23/2018	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	JANUS HENDERSON GLBL EQUITY INC CL BUY 1 Units @0.0000	0.00	3.74	0.00	3.74	70.0	2.62
07/16/2018	***-**-57IR - SOCHA, CYNTHIA ACCOUNT #: 00002019641	JOHN HANCOCK TECHNICAL OPPS CL A BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	70.0	1.64
07/17/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	JOHN HANCOCK TECHNICAL OPPS CL A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	70.0	0.32
07/23/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	PIMCO COMMODITIES PLUS STRATEGY CL BUY 1 Units @0.0000	0.00	2.82	0.00	2.82	70.0	1.97
07/23/2018	***-**-57IO - SOCHA, CYNTHIA ACCOUNT #: LSR010500	PIMCO COMMODITIES PLUS STRATEGY CL BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	70.0	1.39
07/17/2018	***-**-714O - MAYERSON, STEVEN ACCOUNT #: LSR012678	PRUDENTIAL HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	70.0	1.19
07/16/2018	***-**-118I - PIRULLI, DEBORAH ACCOUNT #: 00002034826	STRATEGIC INCOME A BUY 0 Units @0.0000	0.00	4.90	0.00	4.90	70.0	3.43
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$127.32	\$0.00	\$127.32		\$89.13
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
07/16/2018	***-**-18IN - SANCHEZ, THERESA ACCOUNT #: VM15002308	PACIFIC LIFE VA COMM BUY 0 Units @0.0000	0.00	15.68	0.00	15.68	70.0	10.98
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$15.68	\$0.00	\$15.68		\$10.98
*** BROKER TRANSACTIONS TOTAL ***			\$101,166.65	\$291.03	\$0.00	\$291.03		\$203.74



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$203.74
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$33.39
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$237.13
						Year-to-date Earnings		\$22,511.68