



COMMISSION STATEMENT

August 13, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/06/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMCAP FUND-A BUY 8 Units @36.2200	300.01	15.00	0.00	15.00	70.0	10.50
08/06/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMERICAN BALANCED FUND-A BUY 13 Units @29.4600	375.00	18.75	0.00	18.75	70.0	13.13
08/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6800	75.00	3.19	0.00	3.19	70.0	2.23
08/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6800	75.00	3.19	0.00	3.19	70.0	2.23
08/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6800	75.00	3.19	0.00	3.19	70.0	2.23
08/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6800	75.00	3.19	0.00	3.19	70.0	2.23
08/06/2018	***-**-943J - DAILY, MATTHEW ACCOUNT #: LSR011610	AMERICAN FUNDS TAX ADVANTGED INC PO BUY 35 Units @14.2000	500.00	13.75	0.00	13.75	70.0	9.63
08/06/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMERICAN MUTUAL FUND-A BUY 8 Units @44.7900	374.98	18.75	0.00	18.75	70.0	13.13
08/06/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	CAPITAL WORLD BOND FUND-A BUY 7 Units @20.1900	149.99	4.50	0.00	4.50	70.0	3.15
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.1900	29.53	0.89	0.00	0.89	70.0	0.62
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 0 Units @20.1900	5.54	0.17	0.00	0.17	70.0	0.12
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.1900	29.53	0.89	0.00	0.89	70.0	0.62
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 0 Units @20.1900	5.54	0.17	0.00	0.17	70.0	0.12
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @54.1700	132.92	5.65	0.00	5.65	70.0	3.96
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @54.1700	24.92	1.06	0.00	1.06	70.0	0.74
08/06/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @54.1700	132.92	5.65	0.00	5.65	70.0	3.96



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/06/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	24.92	1.06	0.00	1.06	70.0	0.74
	ACCOUNT #: 00088824619	BUY 0 Units @54.1700						
08/06/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	44.31	1.88	0.00	1.88	70.0	1.32
	ACCOUNT #: 00088824619	BUY 1 Units @56.6500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	8.31	0.35	0.00	0.35	70.0	0.25
	ACCOUNT #: 00088824619	BUY 0 Units @56.6500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	44.31	1.88	0.00	1.88	70.0	1.32
	ACCOUNT #: 00088824619	BUY 1 Units @56.6500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	8.31	0.35	0.00	0.35	70.0	0.25
	ACCOUNT #: 00088824619	BUY 0 Units @56.6500						
07/20/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED 31421R841	50.00	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: 06090486215	BUY 2 Units @20.7300						
08/06/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	4.20	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 04000234328	BUY 0 Units @64.1300						
08/06/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	14.00	0.14	0.00	0.14	70.0	0.10
	ACCOUNT #: 04000234328	BUY 0 Units @64.1300						
08/06/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	3.30	0.03	0.00	0.03	70.0	0.02
	ACCOUNT #: 04000234328	BUY 0 Units @64.1300						
08/06/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	11.00	0.11	0.00	0.11	70.0	0.08
	ACCOUNT #: 04000234328	BUY 0 Units @64.1300						
08/06/2018	***-**-57IR - GERTY, AUDRA	SMALLCAP WORLD FUND-A	150.03	7.50	0.00	7.50	70.0	5.25
	ACCOUNT #: LSR012440	BUY 2 Units @62.8000						
08/07/2018	***-**-50IN - MOHR, HERBERT	TAX-EXEMPT BOND FUND OF AMERICA	15,000.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012756	SELL 1173 Units @12.7900						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	70.0	1.76
	ACCOUNT #: 00088824619	BUY 1 Units @58.4500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	11.07	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 00088824619	BUY 0 Units @58.4500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	70.0	1.76
	ACCOUNT #: 00088824619	BUY 1 Units @58.4500						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	11.07	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 00088824619	BUY 0 Units @58.4500						



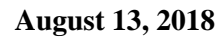
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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	70.0	0.88
	ACCOUNT #: 00088824619	BUY 1 Units @24.4600						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	5.54	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 00088824619	BUY 0 Units @24.4600						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	70.0	0.88
	ACCOUNT #: 00088824619	BUY 1 Units @24.4600						
08/06/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	5.54	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 00088824619	BUY 0 Units @24.4600						
08/06/2018	***-**-571R - GERTY, AUDRA	THE NEW ECONOMY FUND-A	150.00	7.50	0.00	7.50	70.0	5.25
	ACCOUNT #: LSR012440	BUY 3 Units @51.8300						
* MUTUAL FUNDS SUBTOTAL *			\$18,084.03	\$130.29	\$18.00	\$112.29		\$73.24
PRODUCT CATEGORY: 529 PLAN								
08/13/2018	***-**-775P - RYAN, MARY	NY 529 ADDITIONAL DEPOSIT	250.00	10.13	0.00	10.13	70.0	7.09
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$250.00	\$10.13	\$0.00	\$10.13		\$7.09
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/02/2018	***-**-3023 - DEWEY, STEVEN	AIG STRATEGIC BOND FUND CLASS A	0.00	2.65	0.00	2.65	70.0	1.86
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
08/06/2018	***-**-943J - DAILY, MATTHEW	AMERICAN FUNDS T/E PRESERVATION POR	1,500.00	30.00	0.00	30.00	70.0	21.00
	ACCOUNT #: LSR011610	BUY 151 Units @9.9100						
08/13/2018	***-**-792J - FITZGERALD, MARY	COLUMBIA THREADNEEDLE TRAILS	0.00	0.88	0.00	0.88	70.0	0.62
		BUY 0 Units @0.0000						
08/07/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED 31421R841	0.00	5.60	0.00	5.60	70.0	3.92
	ACCOUNT #: 06090486215	BUY 0 Units @0.0000						
08/07/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED MID CAP GROWTH STRATEGIES	0.00	3.83	0.00	3.83	70.0	2.68
	ACCOUNT #: 09999342087	BUY 0 Units @0.0000						
08/02/2018	***-**-3023 - DEWEY, STEVEN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	5.92	0.00	5.92	70.0	4.14
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
08/02/2018	***-**-5076 - TORRES, JASON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	0.37	0.00	0.37	70.0	0.26
	ACCOUNT #: 00000751783	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$1,500.00	\$49.25	\$0.00	\$49.25		\$34.48



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<div>ADJUSTMENTS (continued)</div> <div>*** BROKER TRANSACTIONS TOTAL ***</div> <div>\$19,834.03</div> <div>\$189.67</div> <div>\$18.00</div> <div>\$171.67</div> <div>\$114.81</div>								
<div>BROKER COMMISSION TOTALS</div> <div>Broker Transactions</div> <div>Split Transactions</div> <div>Override Transactions</div> <div>Adjustments</div> <div>Payroll Draw</div> <div>Base Salary</div> <div>Prior Period Balance</div> <div>FINRA Assessment</div> <div>SIPC Assessment</div> <div>Net Commission Earned</div> <div>Year-to-date Earnings</div> <div>\$114.81</div> <div>\$40,797.03</div>								