



COMMISSION STATEMENT

July 23, 2018

SAMUEL BARBER
327 Church St
Naugatuck, CT 06770

BROKER #: B06
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>								
07/16/2018	***-**-76FB - MANDEL, MICHAEL	DFS US CORE EQUITY II-NFS	555.99	0.00	0.00	0.00	75.0	0.00
	ACCOUNT #: LSM000217	SELL 25 Units @22.4300						
07/20/2018	***-**-7340 - RODESCHINI,	FIDELITY BLUE CHIP GROWTH FUND	8,999.99	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR011934	BUY 88 Units @102.0800						
07/10/2018	***-**-3812 - NORIEGA, CARLOS	FRK GTH ALC 9-12 YR 529 PORT CL A	600.00	22.50	0.00	22.50	75.0	16.88
	ACCOUNT #: 000000007007857	BUY 18 Units @32.6200						
07/16/2018	***-**-76FB - MANDEL, MICHAEL	VANGUARD TOTAL INTERNTL BD INDX ADM	500.00	0.00	0.00	0.00	75.0	0.00
	ACCOUNT #: LSM000217	SELL 23 Units @21.9200						
* MUTUAL FUNDS SUBTOTAL *			\$10,655.98	\$22.50	\$18.00	\$4.50		\$-1.12
<u>PRODUCT CATEGORY: STOCKS</u>								
07/13/2018	***-**-20IO - BARBER, SAMUEL	AT&T INC COM	946.68	45.59	9.29	36.30	75.0	27.23
	ACCOUNT #: LSF000307	BUY 30 Units @31.5560						
07/17/2018	***-**-20IO - BARBER, SAMUEL	CHEVRON CORP NEW SOLICITED ORDER	1,952.56	54.00	9.15	44.85	75.0	33.64
	ACCOUNT #: LSF000307	BUY 16 Units @122.0350						
07/17/2018	***-**-20IO - BARBER, SAMUEL	VILLAGE BK &TR FINANCIAL CORP COM N	135.20	38.00	9.03	28.97	75.0	21.73
	ACCOUNT #: LSF000307	BUY 4 Units @33.8000						
07/18/2018	***-**-20IO - BARBER, SAMUEL	VILLAGE BK &TR FINANCIAL CORP COM N	811.20	43.29	9.23	34.06	75.0	25.55
	ACCOUNT #: LSF000307	BUY 24 Units @33.8000						
* STOCKS SUBTOTAL *			\$3,845.64	\$180.88	\$36.70	\$144.18		\$108.15
<u>PRODUCT CATEGORY: 529 PLAN</u>								
07/23/2018	***-**-20CL - BARBER, CLIENTS	CHET 529	1,350.00	12.56	0.00	12.56	75.0	9.42
	ACCOUNT #: 68971123701	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$1,350.00	\$12.56	\$0.00	\$12.56		\$9.42
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	***-**-7340 - RODESCHINI,	CLEARBRIDGE AGGRESSIVE GROWTH C	0.00	8.93	0.00	8.93	75.0	6.70
	ACCOUNT #: LSR011934	BUY 1 Units @0.0000						
07/23/2018	***-**-63IO - BARBER,	FIRST EAGLE GLOBAL FUND CLASS C	0.00	0.59	0.00	0.59	75.0	0.44
	ACCOUNT #: LSR011933	BUY 1 Units @0.0000						
07/23/2018	***-**-67IO - FERNANDEZ, ANA	FIRST EAGLE GLOBAL FUND CLASS C	0.00	0.84	0.00	0.84	75.0	0.63
	ACCOUNT #: LSR011946	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	6.53	0.00	6.53	75.0	4.90
07/23/2018	***-**-7110 - ALBERTO, MICHAEL ACCOUNT #: LSR011938	INTERNATIONAL EMERGING MARKETS (A) BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	75.0	0.29
07/17/2018	***-**-7110 - ALBERTO, MICHAEL ACCOUNT #: LSR011938	IVY ASSET STRATEGY FUND CLASS A BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	75.0	1.04
07/23/2018	***-**-6310 - BARBER, ACCOUNT #: LSR011933	JPMORGAN EQUITY INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	75.0	0.08
07/23/2018	***-**-6310 - BARBER, ACCOUNT #: LSR011933	JPMORGAN EQUITY INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	75.0	0.03
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	34.86	0.00	34.86	75.0	26.15
07/23/2018	***-**-6710 - FERNANDEZ, ANA ACCOUNT #: LSR011946	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	75.0	1.34
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	11.62	0.00	11.62	75.0	8.72
07/23/2018	***-**-6710 - FERNANDEZ, ANA ACCOUNT #: LSR011946	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	75.0	0.44
07/23/2018	***-**-7110 - ALBERTO, MICHAEL ACCOUNT #: LSR011938	LARGE CAP GROWTH FUND - A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	75.0	0.53
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO H/Y-NFS BUY 1 Units @0.0000	0.00	24.36	0.00	24.36	75.0	18.27
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO H/Y-NFS BUY 1 Units @0.0000	0.00	9.37	0.00	9.37	75.0	7.03
07/23/2018	***-**-6310 - BARBER, ACCOUNT #: LSR011933	PIMCO INCOME FUND CL C BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	75.0	0.12
07/23/2018	***-**-6310 - BARBER, ACCOUNT #: LSR011933	PIMCO INCOME FUND CL C BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	75.0	0.05
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	PIMCO LOW DURATION INCOME FUND CL C BUY 1 Units @0.0000	0.00	8.21	0.00	8.21	75.0	6.16
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	PIMCO LOW DURATION INCOME FUND CL C BUY 1 Units @0.0000	0.00	8.21	0.00	8.21	75.0	6.16



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-63IO - BARBER, ACCOUNT #: LSR011933	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	75.0	0.05
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	75.0	7.13
07/23/2018	***-**-63IO - BARBER, ACCOUNT #: LSR011933	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	75.0	0.02
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	3.65	0.00	3.65	75.0	2.74
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PRINCIPAL EQUITY INC CL C BUY 1 Units @0.0000	0.00	24.76	0.00	24.76	75.0	18.57
07/23/2018	***-**-63IO - BARBER, ACCOUNT #: LSR011933	PRINCIPAL GLOBAL DIVERSIFIED INCOME BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	75.0	0.56
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	PRINCIPAL GLOBAL DIVERSIFIED INCOME BUY 1 Units @0.0000	0.00	7.97	0.00	7.97	75.0	5.98
07/23/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PRINCIPAL GLOBAL DIVERSIFIED INCOME BUY 1 Units @0.0000	0.00	44.65	0.00	44.65	75.0	33.49
07/23/2018	***-**-71IO - ALBERTO, MICHAEL ACCOUNT #: LSR011938	PRINCIPAL INVESTORS SAM CONSERV GRO BUY 1 Units @0.0000	0.00	18.78	0.00	18.78	75.0	14.09
07/17/2018	***-**-63IO - BARBER, ACCOUNT #: LSR011933	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	75.0	0.06
07/17/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	4.37	0.00	4.37	75.0	3.28
07/17/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	8.30	0.00	8.30	75.0	6.23
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	19.73	0.00	19.73	75.0	14.80
07/17/2018	***-**-63IO - BARBER, ACCOUNT #: LSR011933	WESTERN ASSET CORE BOND FUND CL C BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	75.0	0.06
07/17/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	WESTERN ASSET MANAGED MUNI CL C BUY 1 Units @0.0000	0.00	14.25	0.00	14.25	75.0	10.69
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$275.69	\$0.00	\$275.69		\$206.83



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
07/23/2018	***-**-7340 - RODESCHINI, ACCOUNT #: 1102436456	BRIGHTHOUSE VA TRAILS BUY 1 Units @0.0000	0.00	374.17	0.00	374.17	75.0	280.63
07/23/2018	***-**-8278 - BARBER, WALTER	BRIGHTHOUSE VA TRAILS BUY 1 Units @0.0000	0.00	81.29	0.00	81.29	75.0	60.97
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$455.46	\$0.00	\$455.46		\$341.60
*** BROKER TRANSACTIONS TOTAL ***			\$15,851.62	\$947.09	\$54.70	\$892.39		\$664.88

BROKER COMMISSION TOTALS

Broker Transactions	\$664.88
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	\$664.88
Year-to-date Earnings	\$33,223.65