



# COMMISSION STATEMENT

April 16, 2018

**GARRETT MORETZ**

181 North Main Street, Ste 208  
Mooresville, NC 28115

**BROKER #: B09**

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>								
04/11/2018	***-**-677I - LAIL, DWIGHT	IVY HIGH INCOME CL A	3,050.88	0.00	0.00	0.00	82.0	0.00
	ACCOUNT #: LSR012166	SELL 406 Units @7.5100						
04/11/2018	***-**-677I - LAIL, DWIGHT	PRUDENTIAL HIGH YIELD CLASS A	368.52	0.00	0.00	0.00	82.0	0.00
	ACCOUNT #: LSR012166	SELL 68 Units @5.4400						
* MUTUAL FUNDS SUBTOTAL *			<b>\$3,419.40</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>								
04/16/2018	***-**-29FB - ANTHONY, APRIL	EQIS ADVISOR FEES	78.09	78.09	0.00	78.09	82.0	64.03
	ACCOUNT #: RB5070200L	BUY 0 Units @0.0000						
04/16/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	91.32	91.32	0.00	91.32	82.0	74.88
	ACCOUNT #: RH0813100D	BUY 0 Units @0.0000						
04/16/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	67.81	67.81	0.00	67.81	82.0	55.60
	ACCOUNT #: RH24513009	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	114.94	114.94	0.00	114.94	82.0	94.25
	ACCOUNT #: RE1889900Z	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	44.59	44.59	0.00	44.59	82.0	36.56
	ACCOUNT #: RE1910700J	BUY 0 Units @0.0000						
04/16/2018	***-**-40FB - BOHNAKER, ANGELA	EQIS ADVISOR FEES	42.00	42.00	0.00	42.00	82.0	34.44
	ACCOUNT #: RC6490700F	BUY 0 Units @0.0000						
04/16/2018	***-**-95FB - BROWN, SUSAN	EQIS ADVISOR FEES	80.55	80.55	0.00	80.55	82.0	66.05
	ACCOUNT #: RD9347700L	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - CARPENTIER,	EQIS ADVISOR FEES	26.47	26.47	0.00	26.47	82.0	21.71
	ACCOUNT #: RC9591500B	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	30.04	30.04	0.00	30.04	82.0	24.63
	ACCOUNT #: RE18633003	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	37.58	37.58	0.00	37.58	82.0	30.82
	ACCOUNT #: RE3069500F	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	41.82	41.82	0.00	41.82	82.0	34.29
	ACCOUNT #: RH0640000T	BUY 0 Units @0.0000						
04/16/2018	***-**-34FB - CLYMER, BETTY	EQIS ADVISOR FEES	12.60	12.60	0.00	12.60	82.0	10.33
	ACCOUNT #: RB3961400D	BUY 0 Units @0.0000						
04/16/2018	***-**-58FB - CLYMER, DEFOREST	EQIS ADVISOR FEES	9.16	9.16	0.00	9.16	82.0	7.51
	ACCOUNT #: RB48104005	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: RIA (continued)</u></b>								
04/16/2018	***-**-41FB - COOPER, JOHN	EQIS ADVISOR FEES	31.76	31.76	0.00	31.76	82.0	26.04
	ACCOUNT #: RD5958000D	BUY 0 Units @0.0000						
04/16/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	51.96	51.96	0.00	51.96	82.0	42.61
	ACCOUNT #: RD06254009	BUY 0 Units @0.0000						
04/16/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	46.04	46.04	0.00	46.04	82.0	37.75
	ACCOUNT #: RD0777800L	BUY 0 Units @0.0000						
04/16/2018	***-**-21FB - DAVIS, SIMONE	EQIS ADVISOR FEES	235.08	235.08	0.00	235.08	82.0	192.77
	ACCOUNT #: RD9797800H	BUY 0 Units @0.0000						
04/16/2018	***-**-26FB - FARZALO, STEVE	EQIS ADVISOR FEES	14.64	14.64	0.00	14.64	82.0	12.00
	ACCOUNT #: RG9748700J	BUY 0 Units @0.0000						
04/16/2018	***-**-34FB - FOWLER, MILTON	EQIS ADVISOR FEES	141.91	141.91	0.00	141.91	82.0	116.37
	ACCOUNT #: RH1017400L	BUY 0 Units @0.0000						
04/16/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	6.24	6.24	0.00	6.24	82.0	5.12
	ACCOUNT #: RB33734009	BUY 0 Units @0.0000						
04/16/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	30.62	30.62	0.00	30.62	82.0	25.11
	ACCOUNT #: RB3372800H	BUY 0 Units @0.0000						
04/16/2018	***-**-39FB - GRINDLE, ROBERT	EQIS ADVISOR FEES	126.49	126.49	0.00	126.49	82.0	103.72
	ACCOUNT #: RE0934000F	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES	50.51	50.51	0.00	50.51	82.0	41.42
	ACCOUNT #: RE25241003	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES	128.79	128.79	0.00	128.79	82.0	105.61
	ACCOUNT #: RE3069400N	BUY 0 Units @0.0000						
04/16/2018	***-**-48FB - HEFNER, EULA	EQIS ADVISOR FEES	23.59	23.59	0.00	23.59	82.0	19.34
	ACCOUNT #: RH0641100H	BUY 0 Units @0.0000						
04/16/2018	***-**-03FB - HINES, WALTER	EQIS ADVISOR FEES	21.10	21.10	0.00	21.10	82.0	17.30
	ACCOUNT #: RD57517005	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - HOLDER, DERRICK	EQIS ADVISOR FEES	111.58	111.58	0.00	111.58	82.0	91.50
	ACCOUNT #: RA4189700Z	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - HOLDER, DERRICK	EQIS ADVISOR FEES	54.16	54.16	0.00	54.16	82.0	44.41
	ACCOUNT #: RA41927007	BUY 0 Units @0.0000						
04/16/2018	***-**-98FB - HUNTER, JEFFREY	EQIS ADVISOR FEES	17.69	17.69	0.00	17.69	82.0	14.51
	ACCOUNT #: RH0076800D	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: RIA (continued)</u></b>								
04/16/2018	***-**-27FB - KULIKOWSKI, SARA	EQIS ADVISOR FEES	11.27	11.27	0.00	11.27	82.0	9.24
	ACCOUNT #: RC4594100B	BUY 0 Units @0.0000						
04/16/2018	***-**-94FB - MARQUIS, ALAN	EQIS ADVISOR FEES	41.04	41.04	0.00	41.04	82.0	33.65
	ACCOUNT #: RE3062300N	BUY 0 Units @0.0000						
04/16/2018	***-**-65FB - MCINTYRE, SHARON	EQIS ADVISOR FEES	45.35	45.35	0.00	45.35	82.0	37.19
	ACCOUNT #: RD90434001	BUY 0 Units @0.0000						
04/16/2018	***-**-65FB - MCINTYRE, SHARON	EQIS ADVISOR FEES	87.82	87.82	0.00	87.82	82.0	72.01
	ACCOUNT #: RD9897700X	BUY 0 Units @0.0000						
04/16/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	36.47	36.47	0.00	36.47	82.0	29.91
	ACCOUNT #: RB5869400H	BUY 0 Units @0.0000						
04/16/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	10.45	10.45	0.00	10.45	82.0	8.57
	ACCOUNT #: RB5866400T	BUY 0 Units @0.0000						
04/16/2018	***-**-70FB - FERRELL,	EQIS ADVISOR FEES	51.15	51.15	0.00	51.15	82.0	41.94
	ACCOUNT #: RB50708009	BUY 0 Units @0.0000						
04/16/2018	***-**-759I - MERRILL, SARA	EQIS ADVISOR FEES	24.30	24.30	0.00	24.30	82.0	19.93
	ACCOUNT #: RB5875400D	BUY 0 Units @0.0000						
04/16/2018	***-**-58FB - NELSON-GAINES,	EQIS ADVISOR FEES	13.21	13.21	0.00	13.21	82.0	10.83
	ACCOUNT #: RH0166600L	BUY 0 Units @0.0000						
04/16/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	73.59	73.59	0.00	73.59	82.0	60.34
	ACCOUNT #: RG9534800V	BUY 0 Units @0.0000						
04/16/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	23.21	23.21	0.00	23.21	82.0	19.03
	ACCOUNT #: RG9885700V	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - PECK, GORDON	EQIS ADVISOR FEES	33.74	33.74	0.00	33.74	82.0	27.67
	ACCOUNT #: RE14731003	BUY 0 Units @0.0000						
04/16/2018	***-**-98FB - PFYFFER, ALBERT	EQIS ADVISOR FEES	41.12	41.12	0.00	41.12	82.0	33.72
	ACCOUNT #: RE1500600F	BUY 0 Units @0.0000						
04/16/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	71.59	71.59	0.00	71.59	82.0	58.70
	ACCOUNT #: RG9882800Z	BUY 0 Units @0.0000						
04/16/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	48.56	48.56	0.00	48.56	82.0	39.82
	ACCOUNT #: RG9885300R	BUY 0 Units @0.0000						
04/16/2018	***-**-43FB - RODES, KENNETH	EQIS ADVISOR FEES	87.80	87.80	0.00	87.80	82.0	72.00
	ACCOUNT #: RE1686200F	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: RIA (continued)</b>								
04/16/2018	***-**-13FB - RUSSELL, MARK	EQIS ADVISOR FEES	32.52	32.52	0.00	32.52	82.0	26.67
	ACCOUNT #: RG9722700B	BUY 0 Units @0.0000						
04/16/2018	***-**-52FB - SCHNABEL,	EQIS ADVISOR FEES	70.29	70.29	0.00	70.29	82.0	57.64
	ACCOUNT #: RH00769005	BUY 0 Units @0.0000						
04/16/2018	***-**-94FB - SWAN, ANDREW	EQIS ADVISOR FEES	34.44	34.44	0.00	34.44	82.0	28.24
	ACCOUNT #: RE0718400R	BUY 0 Units @0.0000						
04/16/2018	***-**-97FB - SWAN, MELANIE	EQIS ADVISOR FEES	23.53	23.53	0.00	23.53	82.0	19.29
	ACCOUNT #: RE0718300Z	BUY 0 Units @0.0000						
04/16/2018	***-**-66FB - WHITE, BARBARA	EQIS ADVISOR FEES	5.65	5.65	0.00	5.65	82.0	4.63
	ACCOUNT #: RE0718500J	BUY 0 Units @0.0000						
04/16/2018	***-**-72FB - YOUNG, TAMMY	EQIS ADVISOR FEES	170.37	170.37	0.00	170.37	82.0	139.70
	ACCOUNT #: RH03043009	BUY 0 Units @0.0000						
04/16/2018	***-**-36CL - MORETZ, CLIENTS	EQIS ADVISOR FEES	0.00	2,086.35	0.00	2,086.35	82.0	1,710.81
		BUY 1 Units @0.0000						
04/16/2018	***-**-36CL - MORETZ, CLIENTS	EQIS ADVISOR FEES	0.00	-0.03	0.00	-0.03	82.0	-0.02
		BUY 1 Units @0.0000						
<b>* RIA SUBTOTAL *</b>			<b>\$2,806.60</b>	<b>\$4,892.92</b>	<b>\$0.00</b>	<b>\$4,892.92</b>		<b>\$4,012.19</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
04/16/2018	***-**-972I - GRIFFIN, OTIS	EATON VANCE INCOME FUND OF BOSTON C	0.00	1.36	0.00	1.36	82.0	1.12
	ACCOUNT #: LSR011960	BUY 1 Units @0.0000						
04/16/2018	***-**-10IR - CLINGON, BILLY	EATON VANCE MULTI SECTOR INCOME CL	0.00	3.93	0.00	3.93	82.0	3.22
	ACCOUNT #: LSR012010	BUY 1 Units @0.0000						
04/16/2018	***-**-726O - FARZALO, STEVE	EATON VANCE NATIONAL MUNICIPAL FUND	0.00	9.11	0.00	9.11	82.0	7.47
	ACCOUNT #: LSR011965	BUY 1 Units @0.0000						
04/16/2018	***-**-10IR - CLINGON, BILLY	IVY ASSET STRATEGY CL C	0.00	10.58	0.00	10.58	82.0	8.68
	ACCOUNT #: LSR012010	BUY 1 Units @0.0000						
04/16/2018	***-**-501I - DAGENHART, JAMES	IVY HIGH INCOME CL A	0.00	3.46	0.00	3.46	82.0	2.84
	ACCOUNT #: LSR012101	BUY 1 Units @0.0000						
04/16/2018	***-**-677I - LAIL, DWIGHT	IVY HIGH INCOME CL A	0.00	8.43	0.00	8.43	82.0	6.91
	ACCOUNT #: LSR012166	BUY 1 Units @0.0000						
04/16/2018	***-**-277I - PECK, GORDON	IVY HIGH INCOME CL A	0.00	0.73	0.00	0.73	82.0	0.60
	ACCOUNT #: LSR012201	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
04/16/2018	***-**-496I - MERLO, JANE	IVY HIGH INCOME CL A	0.00	0.50	0.00	0.50	82.0	0.41
	ACCOUNT #: LSR012325	BUY 1 Units @0.0000						
04/16/2018	***-**-363I - WILKES, DONNA	IVY HIGH INCOME CL A	0.00	0.54	0.00	0.54	82.0	0.44
	ACCOUNT #: LSR012335	BUY 1 Units @0.0000						
04/16/2018	***-**-440I - BOHNAKER, ANGELA	IVY HIGH INCOME CL A	0.00	2.41	0.00	2.41	82.0	1.98
	ACCOUNT #: LSR012403	BUY 1 Units @0.0000						
04/16/2018	***-**-06IR - KULIKOWSKI,	IVY HIGH INCOME CL A	0.00	0.42	0.00	0.42	82.0	0.34
	ACCOUNT #: LSR012423	BUY 1 Units @0.0000						
04/16/2018	***-**-27IR - KULIKOWSKI, SARA	IVY HIGH INCOME CL A	0.00	0.42	0.00	0.42	82.0	0.34
	ACCOUNT #: LSR012424	BUY 1 Units @0.0000						
04/16/2018	***-**-50IR - JONES, MICHAEL	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	0.58	0.00	0.58	82.0	0.48
	ACCOUNT #: LSR012331	BUY 1 Units @0.0000						
04/16/2018	***-**-440I - BOHNAKER, ANGELA	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	1.73	0.00	1.73	82.0	1.42
	ACCOUNT #: LSR012403	BUY 1 Units @0.0000						
04/16/2018	***-**-440O - BOHNAKER, ANGELA	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	3.48	0.00	3.48	82.0	2.85
	ACCOUNT #: LSR012409	BUY 1 Units @0.0000						
04/16/2018	***-**-06IR - KULIKOWSKI,	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	0.45	0.00	0.45	82.0	0.37
	ACCOUNT #: LSR012423	BUY 1 Units @0.0000						
04/16/2018	***-**-27IR - KULIKOWSKI, SARA	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	0.47	0.00	0.47	82.0	0.39
	ACCOUNT #: LSR012424	BUY 1 Units @0.0000						
04/16/2018	***-**-384I - HOLDER, DERRICK	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	0.22	0.00	0.22	82.0	0.18
	ACCOUNT #: LSR012436	BUY 1 Units @0.0000						
04/01/2018	***-**-894I - COOPER, JOHN	MFS VIRGINIA MUNI BOND FUND-A	0.00	5.58	0.00	5.58	82.0	4.58
	ACCOUNT #: 08189772708	BUY 0 Units @0.0000						
04/16/2018	***-**-113I - RUSSELL, MARK	NUVEEN STRATEGY BAL ALLOC A	0.00	2.56	0.00	2.56	82.0	2.10
	ACCOUNT #: LSR011979	BUY 1 Units @0.0000						
04/16/2018	***-**-06IR - KULIKOWSKI,	PACIFIC ADVISORS SMALL CAP A	0.00	0.35	0.00	0.35	82.0	0.29
	ACCOUNT #: LSR012423	BUY 1 Units @0.0000						
04/16/2018	***-**-27IR - KULIKOWSKI, SARA	PACIFIC ADVISORS SMALL CAP A	0.00	0.36	0.00	0.36	82.0	0.30
	ACCOUNT #: LSR012424	BUY 1 Units @0.0000						
04/16/2018	***-**-677I - LAIL, DWIGHT	PRUDENTIAL HIGH YIELD CLASS A	0.00	0.36	0.00	0.36	82.0	0.30
	ACCOUNT #: LSR012166	BUY 1 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
04/16/2018	***-**-440I - BOHNAKER, ANGELA PRUDENTIAL JENNISON SMALL COMPANY C	BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	82.0	0.69
	ACCOUNT #: LSR012403							
		<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$58.87</b>	<b>\$0.00</b>	<b>\$58.87</b>		<b>\$48.30</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$6,226.00</b>	<b>\$4,951.79</b>	<b>\$0.00</b>	<b>\$4,951.79</b>		<b>\$4,060.49</b>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$4,060.49
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

<b>Net Commission Earned</b>	<b>\$4,060.49</b>
<b>Year-to-date Earnings</b>	<b>\$31,136.48</b>