



# COMMISSION STATEMENT

April 16, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                               |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                               |                                     |                      |                     |                    |                   |       |                      |
| 04/12/2018                                   | ***-**-2471 - COLUCCI, ATHENA | AMERICAN CORPORATE BOND FUND A      | 1,609.00             | 32.18               | 18.00              | 14.18             | 70.0  | 9.93                 |
|  | ACCOUNT #: LSR012592          | BUY 155 Units @10.3600              |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-3672 - KAN, HEATHER    | AMERICAN FUNDS 2040 TARGET DATE-A   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0  | 2.23                 |
|  | ACCOUNT #: 04000740312        | BUY 5 Units @15.9400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-3672 - KAN, HEATHER    | AMERICAN FUNDS 2040 TARGET DATE-A   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0  | 2.23                 |
|  | ACCOUNT #: 04000740312        | BUY 5 Units @15.9400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-3672 - KAN, HEATHER    | AMERICAN FUNDS 2040 TARGET DATE-A   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0  | 2.23                 |
|  | ACCOUNT #: 04000740312        | BUY 5 Units @15.9400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-3672 - KAN, HEATHER    | AMERICAN FUNDS 2040 TARGET DATE-A   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0  | 2.23                 |
|  | ACCOUNT #: 04000740312        | BUY 5 Units @15.9400                |                      |                     |                    |                   |       |                      |
| 04/12/2018                                   | ***-**-2471 - COLUCCI, ATHENA | AMERICAN HIGH-INCOME TRUST-A        | 322.00               | 6.44                | 18.00              | -11.56            | 100.0 | -11.56               |
|  | ACCOUNT #: LSR012592          | BUY 31 Units @10.5200               |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD BOND FUND-A           | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0  | 0.12                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @21.0400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD BOND FUND-A           | 29.53                | 0.89                | 0.00               | 0.89              | 70.0  | 0.62                 |
|  | ACCOUNT #: 00088824619        | BUY 1 Units @21.0400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD BOND FUND-A           | 29.53                | 0.89                | 0.00               | 0.89              | 70.0  | 0.62                 |
|  | ACCOUNT #: 00088824619        | BUY 1 Units @21.0400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD BOND FUND-A           | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0  | 0.12                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @21.0400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-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 @53.4400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD GROWTH AND INCOME FUN | 132.92               | 5.65                | 0.00               | 5.65              | 70.0  | 3.96                 |
|  | ACCOUNT #: 00088824619        | BUY 2 Units @53.4400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD GROWTH AND INCOME FUN | 132.92               | 5.65                | 0.00               | 5.65              | 70.0  | 3.96                 |
|  | ACCOUNT #: 00088824619        | BUY 2 Units @53.4400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-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 @53.4400                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A           | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0  | 0.25                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @59.6100                |                      |                     |                    |                   |       |                      |
| 04/03/2018                                   | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A           | 44.31                | 1.88                | 0.00               | 1.88              | 70.0  | 1.32                 |
|  | ACCOUNT #: 00088824619        | BUY 1 Units @59.6100                |                      |                     |                    |                   |       |                      |



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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A           | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @59.6100                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A           | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @59.6100                |                      |                     |                    |                   |      |                      |
| 03/20/2018  | ***-**-0485 - WHALEN, STEPHEN | FEDERATED 31421R841                 | 50.00                | 2.50                | 0.00               | 2.50              | 70.0 | 1.75                 |
|   | ACCOUNT #: 06090486215        | BUY 2 Units @20.2200                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C             | 3.90                 | 0.04                | 0.00               | 0.04              | 70.0 | 0.03                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @60.8600                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C             | 13.00                | 0.13                | 0.00               | 0.13              | 70.0 | 0.09                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @60.8600                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C             | 2.40                 | 0.02                | 0.00               | 0.02              | 70.0 | 0.01                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @60.8600                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C             | 8.00                 | 0.08                | 0.00               | 0.08              | 70.0 | 0.06                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @60.8600                |                      |                     |                    |                   |      |                      |
| 03/26/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL  | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 70 Units @12.4200               |                      |                     |                    |                   |      |                      |
| 03/26/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL  | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.4200               |                      |                     |                    |                   |      |                      |
| 03/26/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A   | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @13.9200               |                      |                     |                    |                   |      |                      |
| 03/26/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A   | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @13.9200                |                      |                     |                    |                   |      |                      |
| 04/16/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MUTUAL FUND                | 1,544.16             | 30.88               | 0.00               | 30.88             | 70.0 | 21.62                |
|   | ACCOUNT #: 00011265210        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/11/2018  | ***-**-5481 - MOLONEY, JAMES  | MAINSTAY US EQUITY OPPORTUNITIES CL | 1,619.44             | 0.00                | 0.00               | 0.00              | 70.0 | 0.00                 |
|   | ACCOUNT #: LSR011545          | SELL 167 Units @9.6800              |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @53.0300                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @53.0300                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @53.0300                |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @53.0300                |                      |                     |                    |                   |      |                      |
| 04/12/2018  | ***-**-2471 - COLUCCI, ATHENA  | THE GROWTH FUND OF AMERICA-A        | 1,610.02             | 32.20               | 18.00              | 14.20             | 70.0 | 9.94                 |
|   | ACCOUNT #: LSR012592           | BUY 30 Units @52.8500               |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @23.8200                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @23.8200                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @23.8200                |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 @23.8200                |                      |                     |                    |                   |      |                      |
| 04/12/2018  | ***-**-2471 - COLUCCI, ATHENA  | THE INCOME FUND OF AMERICA-A        | 966.00               | 19.32               | 18.00              | 1.32              | 70.0 | 0.92                 |
|   | ACCOUNT #: LSR012592           | BUY 41 Units @23.5500               |                      |                     |                    |                   |      |                      |
| 04/12/2018  | ***-**-2471 - COLUCCI, ATHENA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 1,930.98             | 38.62               | 18.00              | 20.62             | 70.0 | 14.43                |
|   | ACCOUNT #: LSR012592           | BUY 41 Units @46.5600               |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                                |                                     | <b>\$12,224.58</b>   | <b>\$235.01</b>     | <b>\$90.00</b>     | <b>\$145.01</b>   |      | <b>\$98.05</b>       |
| <b>PRODUCT CATEGORY: 529 PLAN</b>                 |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/16/2018  | ***-**-4618 - BROWN, ZACHARY   | MAINSTAY MUTUAL FUND                | 0.00                 | 4.75                | 0.00               | 4.75              | 70.0 | 3.33                 |
|   | ACCOUNT #: 55720031            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* 529 PLAN SUBTOTAL *</b>                      |                                |                                     | <b>\$0.00</b>        | <b>\$4.75</b>       | <b>\$0.00</b>      | <b>\$4.75</b>     |      | <b>\$3.33</b>        |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/09/2018  | ***-**-0485 - WHALEN, STEPHEN  | ALLIANCE BERNSTEIN LARGE-CAP GROWTH | 0.00                 | 4.72                | 0.00               | 4.72              | 70.0 | 3.30                 |
|   | ACCOUNT #: 04752066331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/09/2018  | ***-**-751R - BORYK, CHRISTINA | ALLIANCEBERNSTEIN EMERG MKT DEBT A  | 0.00                 | 36.85               | 0.00               | 36.85             | 70.0 | 25.80                |
|   | ACCOUNT #: 04892912375         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/09/2018  | ***-**-1389 - CUSSICK, STACI   | ALLIANCEBERNSTEIN EMERG MKT DEBT A  | 0.00                 | 37.86               | 0.00               | 37.86             | 70.0 | 26.50                |
|   | ACCOUNT #: 04892917193         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/09/2018  | ***-**-751R - BORYK, CHRISTINA | ALLIANCEBERNSTEIN GLO GOVT INC TRST | 0.00                 | 47.86               | 0.00               | 47.86             | 70.0 | 33.50                |
|   | ACCOUNT #: 04892912375         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/09/2018   | ***-**-0485 - WHALEN, STEPHEN  | ALLIANCEBERNSTEIN LARGE-CAP GROWTH  | 0.00                 | 7.48                | 0.00               | 7.48              | 70.0 | 5.24                 |
|  | ACCOUNT #: 04752066331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/09/2018   | ***-**-751R - BORYK, CHRISTINA | ALLIANCEBERNSTEIN UTILITY INCOME A  | 0.00                 | 43.18               | 0.00               | 43.18             | 70.0 | 30.23                |
|  | ACCOUNT #: 04892912375         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/09/2018   | ***-**-1389 - CUSSICK, STACI   | ALLIANCEBERNSTEIN UTILITY INCOME A  | 0.00                 | 6.29                | 0.00               | 6.29              | 70.0 | 4.40                 |
|  | ACCOUNT #: 04892917193         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT 131582454                   | 0.00                 | 3.05                | 0.00               | 3.05              | 70.0 | 2.14                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT INTRNTL RESPBL INDEX A-NFS  | 0.00                 | 8.80                | 0.00               | 8.80              | 70.0 | 6.16                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT LONG-TERM INCOME FUND       | 0.00                 | 6.00                | 0.00               | 6.00              | 70.0 | 4.20                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 3.20                | 0.00               | 3.20              | 70.0 | 2.24                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT SMALL CAP VALUE FUND        | 0.00                 | 6.05                | 0.00               | 6.05              | 70.0 | 4.24                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INDEX A              | 0.00                 | 6.01                | 0.00               | 6.01              | 70.0 | 4.21                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 15.25               | 0.00               | 15.25             | 70.0 | 10.68                |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/16/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INVESTMENT FUND BOND | 0.00                 | 15.30               | 0.00               | 15.30             | 70.0 | 10.71                |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-7131 - PHILLIPS, DAVID  | CAPITAL INCOME A                    | 0.00                 | 24.36               | 0.00               | 24.36             | 70.0 | 17.05                |
|  | ACCOUNT #: 03008846068         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-3569 - ANDERSON,        | CAPITAL INCOME A                    | 0.00                 | 1.27                | 0.00               | 1.27              | 70.0 | 0.89                 |
|  | ACCOUNT #: 03008855924         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-751R - BORYK, CHRISTINA | CASH RESERVES A                     | 0.00                 | 0.00                | 0.00               | 0.00              | 70.0 | 0.00                 |
|  | ACCOUNT #: 07604404499         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-3987 - LINGE, MARY      | EQUITY INCOME FUND, INC. A          | 0.00                 | 5.93                | 0.00               | 5.93              | 70.0 | 4.15                 |
|  | ACCOUNT #: 08351856019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-5922 - HOTAILING,       | MAIN STREET FUND A                  | 0.00                 | 1.26                | 0.00               | 1.26              | 70.0 | 0.88                 |
|  | ACCOUNT #: 04206469364         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5917 - MAOLINARO, E     | MAINSTAY 56062F327                  | 0.00                 | 14.94               | 0.00               | 14.94             | 70.0 | 10.46                |
|  | ACCOUNT #: 00055567683         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-58UT - BABBONI, MAXWELL | MAINSTAY 56063U604                  | 0.00                 | 6.17                | 0.00               | 6.17              | 70.0 | 4.32                 |
|  | ACCOUNT #: 00055883190         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-0240 - CHAUVIN, LAURA   | MAINSTAY 56063U703                  | 0.00                 | 5.78                | 0.00               | 5.78              | 70.0 | 4.05                 |
|  | ACCOUNT #: 00055749831         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-8034 - DEBONIS, ALBERT  | MAINSTAY CONSERVATIV ALLOCATION CL  | 0.00                 | 99.95               | 0.00               | 99.95             | 70.0 | 69.97                |
|  | ACCOUNT #: 00011265210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5917 - MAOLINARO, E     | MAINSTAY EPOCH US EQUITY YIELD CLAS | 0.00                 | 13.93               | 0.00               | 13.93             | 70.0 | 9.75                 |
|  | ACCOUNT #: 00055567683         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-0780 - CADMAN, ELONA    | MAINSTAY EPOCH US EQUITY YIELD INV  | 0.00                 | 3.35                | 0.00               | 3.35              | 70.0 | 2.35                 |
|  | ACCOUNT #: 00011296257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5917 - MAOLINARO, E     | MAINSTAY EPOCH US EQUITY YIELD INV  | 0.00                 | 1.08                | 0.00               | 1.08              | 70.0 | 0.76                 |
|  | ACCOUNT #: 00055567683         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-0780 - CADMAN, ELONA    | MAINSTAY HIGH-YIELD CORPORATE BOND  | 0.00                 | 20.29               | 0.00               | 20.29             | 70.0 | 14.20                |
|  | ACCOUNT #: 00011296257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5917 - MAOLINARO, E     | MAINSTAY MAP INVESTOR CLASS         | 0.00                 | 4.13                | 0.00               | 4.13              | 70.0 | 2.89                 |
|  | ACCOUNT #: 00055567683         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5161 - FARKAS,          | MAINSTAY MOD GROWTH ALLOC INVESTOR  | 0.00                 | 1.48                | 0.00               | 1.48              | 70.0 | 1.04                 |
|  | ACCOUNT #: 00055513668         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-6593 - FARKAS, JOSEPH   | MAINSTAY MOD GROWTH ALLOC INVESTOR  | 0.00                 | 1.55                | 0.00               | 1.55              | 70.0 | 1.09                 |
|  | ACCOUNT #: 00055513669         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-4618 - BROWN, ZACHARY   | MAINSTAY MOD GROWTH ALLOC INVESTOR  | 0.00                 | 6.20                | 0.00               | 6.20              | 70.0 | 4.34                 |
|  | ACCOUNT #: 00055720031         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-8034 - DEBONIS, ALBERT  | MAINSTAY MODERATE ALLOCATION CL A   | 0.00                 | 58.60               | 0.00               | 58.60             | 70.0 | 41.02                |
|  | ACCOUNT #: 00011265210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-1983 - FARKAS, KAYLEE   | MAINSTAY MODERATE ALLOCATION FUND C | 0.00                 | 16.99               | 0.00               | 16.99             | 70.0 | 11.89                |
|  | ACCOUNT #: 00055734681         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-3569 - ANDERSON,        | MAINSTAY MODERATE GROWTH ALLOC FND  | 0.00                 | 48.22               | 0.00               | 48.22             | 70.0 | 33.75                |
|  | ACCOUNT #: 00011265211         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-0780 - CADMAN, ELONA    | MAINSTAY TOTAL RETURN FUND A        | 0.00                 | 10.89               | 0.00               | 10.89             | 70.0 | 7.62                 |
|  | ACCOUNT #: 00011296257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

April 16, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                       |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ***-**-5917 - MAOLINARO, E    | MAINSTAY U.S. SMALL CAP FUND INV CL   | 0.00                 | 0.86                | 0.00               | 0.86              | 70.0 | 0.60                 |
|  | ACCOUNT #: 00055567683        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-3987 - LINGE, MARY     | OPPENHEIMER CORP. BOND FUND A         | 0.00                 | 2.37                | 0.00               | 2.37              | 70.0 | 1.66                 |
|  | ACCOUNT #: 00100031714        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-7131 - PHILLIPS, DAVID | OPPENHEIMER GLOBAL HIGH YIELD CL A    | 0.00                 | 10.46               | 0.00               | 10.46             | 70.0 | 7.32                 |
|  | ACCOUNT #: 00100011111        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-3987 - LINGE, MARY     | OPPENHEIMER INTERNATIONAL DIVERSIFI   | 0.00                 | 3.10                | 0.00               | 3.10              | 70.0 | 2.17                 |
|  | ACCOUNT #: 01952249841        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-7748 - MCCANNA, GLORIA | OPPENHEIMER ROCHESTER AMT-FREE NY MUN | 0.00                 | 7.67                | 0.00               | 7.67              | 70.0 | 5.37                 |
|  | ACCOUNT #: 03620059224        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-5680 - MOLINARO,       | OPPENHEIMER SENIOR FLOATING RATE CL   | 0.00                 | 2.61                | 0.00               | 2.61              | 70.0 | 1.83                 |
|  | ACCOUNT #: 02911903132        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-3569 - ANDERSON,       | OPPENHEIMER SENIOR FLOATING RATE CL   | 0.00                 | 10.90               | 0.00               | 10.90             | 70.0 | 7.63                 |
|  | ACCOUNT #: 02913088899        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-9351 - AGUIAR, JOSEPH  | PUTNAM ABSOLUTE RETURN 700-A          | 0.00                 | 16.47               | 0.00               | 16.47             | 70.0 | 11.53                |
|  | ACCOUNT #: 00551352400        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE  | PUTNAM ABSOLUTE RETURN 700-A          | 0.00                 | 0.70                | 0.00               | 0.70              | 70.0 | 0.49                 |
|  | ACCOUNT #: 00551390576        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE  | PUTNAM AMERICAN GOVERNMENT INCOME F   | 0.00                 | 1.69                | 0.00               | 1.69              | 70.0 | 1.18                 |
|  | ACCOUNT #: 00551390576        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-5922 - HOTAILING,      | PUTNAM CAP. OPPORTUNITIES-A           | 0.00                 | 11.09               | 0.00               | 11.09             | 70.0 | 7.76                 |
|  | ACCOUNT #: 00186955359        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE  | PUTNAM DIVERSIFIED INCOME FUND CLAS   | 0.00                 | 3.46                | 0.00               | 3.46              | 70.0 | 2.42                 |
|  | ACCOUNT #: 00551390576        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-5922 - HOTAILING,      | PUTNAM GROWTH OPPORTUNITIES FD CL A   | 0.00                 | 34.30               | 0.00               | 34.30             | 70.0 | 24.01                |
|  | ACCOUNT #: 00186955359        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-8786 - RUBIN, SCOTT    | PUTNAM GROWTH OPPORTUNITIES FD CL A   | 0.00                 | 202.33              | 0.00               | 202.33            | 70.0 | 141.63               |
|  | ACCOUNT #: 00551359332        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE  | PUTNAM GROWTH OPPORTUNITIES FD CL A   | 0.00                 | 3.42                | 0.00               | 3.42              | 70.0 | 2.39                 |
|  | ACCOUNT #: 00551390576        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-5922 - HOTAILING,      | PUTNAM HIGH YIELD ADVANTAGE-A         | 0.00                 | 28.63               | 0.00               | 28.63             | 70.0 | 20.04                |
|  | ACCOUNT #: 00186955359        | BUY 0 Units @0.0000                   |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

April 16, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE   | PUTNAM HIGH YIELD ADVANTAGE-A       | 0.00                 | 2.19                | 0.00               | 2.19              | 70.0 | 1.53                 |
|  | ACCOUNT #: 00551390576         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-5922 - HOTAILING,       | PUTNAM INTERNATIONAL EQUITY-A       | 0.00                 | 12.81               | 0.00               | 12.81             | 70.0 | 8.97                 |
|  | ACCOUNT #: 00186955359         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE   | PUTNAM INTL GROWTH & INC-A          | 0.00                 | 2.18                | 0.00               | 2.18              | 70.0 | 1.53                 |
|  | ACCOUNT #: 00551390576         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-5922 - HOTAILING,       | PUTNAM MID-CAP VALUE FUND-A         | 0.00                 | 12.11               | 0.00               | 12.11             | 70.0 | 8.48                 |
|  | ACCOUNT #: 00186955359         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-1507 - WHALEN, BONNIE   | PUTNAM MID-CAP VALUE FUND-A         | 0.00                 | 3.24                | 0.00               | 3.24              | 70.0 | 2.27                 |
|  | ACCOUNT #: 00551390576         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ***-**-8786 - RUBIN, SCOTT     | PUTNAM SMALL CAP GROWTH FUND CLASS  | 0.00                 | 188.26              | 0.00               | 188.26            | 70.0 | 131.78               |
|  | ACCOUNT #: 00551359332         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-7274 - VALENTINO,       | RISING DIVIDENDS FUND A             | 0.00                 | 3.50                | 0.00               | 3.50              | 70.0 | 2.45                 |
|  | ACCOUNT #: 02253862573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-8637 - BRUSIE, DOROTHY  | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00                 | 16.49               | 0.00               | 16.49             | 70.0 | 11.54                |
|  | ACCOUNT #: 03551239700         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-0780 - CADMAN, ELONA    | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00                 | 0.61                | 0.00               | 0.61              | 70.0 | 0.43                 |
|  | ACCOUNT #: 03551252966         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-2538 - GOLDMAN, DANIEL  | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00                 | 3.90                | 0.00               | 3.90              | 70.0 | 2.73                 |
|  | ACCOUNT #: 03551329053         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-5680 - MOLINARO,        | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00                 | 4.71                | 0.00               | 4.71              | 70.0 | 3.30                 |
|  | ACCOUNT #: 03570606353         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-751R - BORYK, CHRISTINA | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00                 | 5.76                | 0.00               | 5.76              | 70.0 | 4.03                 |
|  | ACCOUNT #: 03570643478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-8637 - BRUSIE, DOROTHY  | ROCHESTER FUND MUNICIPALS A         | 0.00                 | 31.83               | 0.00               | 31.83             | 70.0 | 22.28                |
|  | ACCOUNT #: 03653246980         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-0780 - CADMAN, ELONA    | ROCHESTER FUND MUNICIPALS A         | 0.00                 | 2.15                | 0.00               | 2.15              | 70.0 | 1.51                 |
|  | ACCOUNT #: 03653291596         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-2538 - GOLDMAN, DANIEL  | ROCHESTER FUND MUNICIPALS A         | 0.00                 | 9.83                | 0.00               | 9.83              | 70.0 | 6.88                 |
|  | ACCOUNT #: 03653390475         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-5680 - MOLINARO,        | ROCHESTER FUND MUNICIPALS C         | 0.00                 | 7.23                | 0.00               | 7.23              | 70.0 | 5.06                 |
|  | ACCOUNT #: 03670696509         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

April 16, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                                    | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued)                       |   |                                     |                      |                     |                    |                   |      |                      |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) |   |                                     |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-7748 - MCCANNA, GLORIA             | ROCHESTER FUND MUNICIPALS C         | 0.00                 | 7.33                | 0.00               | 7.33              | 70.0 | 5.13                 |
|   | ACCOUNT #: 03670698060                    | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-751R - BORYK, CHRISTINA            | ROCHESTER FUND MUNICIPALS C         | 0.00                 | 6.62                | 0.00               | 6.62              | 70.0 | 4.63                 |
|   | ACCOUNT #: 03670728728                    | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-7131 - PHILLIPS, DAVID             | SENIOR FLOATING RATE FUND C         | 0.00                 | 71.36               | 0.00               | 71.36             | 70.0 | 49.95                |
|   | ACCOUNT #: 02932073918                    | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-7131 - PHILLIPS, DAVID             | SENIOR FLOATING RATE FUND-CL C      | 0.00                 | 47.67               | 0.00               | 47.67             | 70.0 | 33.37                |
|   | ACCOUNT #: 00100011210                    | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 04/03/2018  | ***-**-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 *      |                                     | \$0.00               | \$1,374.48          | \$0.00             | \$1,374.48        |      | \$962.16             |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS        |   |                                     |                      |                     |                    |                   |      |                      |
| 04/11/2018  | ***-**-9587 - FILTER COMPANY,             | MASS MUTUAL VA TRAILS               | 0.00                 | 1,480.94            | 0.00               | 1,480.94          | 70.0 | 1,036.66             |
|   | ACCOUNT #: MM836356                       | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   | * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * |                                     | \$0.00               | \$1,480.94          | \$0.00             | \$1,480.94        |      | \$1,036.66           |
|   | *** BROKER TRANSACTIONS TOTAL ***         |                                     | \$12,224.58          | \$3,095.18          | \$90.00            | \$3,005.18        |      | \$2,100.20           |





BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

|                          |        |  | INVESTMENT | GROSS      | CLEARING | NET                   | BROKER          |
|--------------------------|--------|--|------------|------------|----------|-----------------------|-----------------|
| DATE                     | CLIENT |  | AMOUNT     | COMMISSION | CHARGE   | COMMISSION            | RATE COMMISSION |
| <div></div>              |        |  |            |            |          |                       |                 |
| BROKER COMMISSION TOTALS |        |  |            |            |          |                       |                 |
|                          |        |  |            |            |          | Broker Transactions   | \$2,100.20      |
|                          |        |  |            |            |          | 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 | \$2,100.20      |
|                          |        |  |            |            |          | Year-to-date Earnings | \$22,364.58     |