



COMMISSION STATEMENT

June 25, 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: MUTUAL FUNDS</u>								
06/20/2018	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	FIDELITY ADV BALANCED CL A SELL 23 Units @21.7000	499.99	18.00	18.00	0.00	70.0	0.00
06/20/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @35.9400	49.99	2.50	0.00	2.50	70.0	1.75
06/20/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM EQUITY INCOME FUND-A BUY 2 Units @26.2500	50.01	2.50	0.00	2.50	70.0	1.75
06/25/2018	***-**-52IN - BRODER, RUTH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	70.0	2.23
* MUTUAL FUNDS SUBTOTAL *			\$599.99	\$26.19	\$18.00	\$8.19		\$5.73
<u>PRODUCT CATEGORY: 529 PLAN</u>								
06/15/2018	***-**-925P - FENGLER, DANIEL ACCOUNT #: 68939901201	CHET 529 BUY 0 Units @0.0000	100.00	2.50	0.00	2.50	70.0	1.75
06/15/2018	***-**-925P - FENGLER, DANIEL ACCOUNT #: 68939901202	CHET 529 BUY 0 Units @0.0000	100.00	2.50	0.00	2.50	70.0	1.75
* 529 PLAN SUBTOTAL *			\$200.00	\$5.00	\$0.00	\$5.00		\$3.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/25/2018	***-**-752I - BRODER, RUTH ACCOUNT #: LSR010670	FIDELITY ADV BALANCED CL A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	70.0	1.25
06/25/2018	***-**-287O - AMANTE, JAMES ACCOUNT #: LSR010473	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	70.0	0.55
06/25/2018	***-**-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
06/25/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	12.00	0.00	12.00	70.0	8.40
06/25/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	70.0	1.73
06/25/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	70.0	0.78
06/25/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	70.0	0.25



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	70.0	0.91
06/25/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	7.64	0.00	7.64	70.0	5.35
06/25/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	4.06	0.00	4.06	70.0	2.84
06/25/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	3.75	0.00	3.75	70.0	2.63
06/25/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	11.43	0.00	11.43	70.0	8.00
06/25/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV CONSUMER STAPLES-CL T BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	70.0	5.94
06/25/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	70.0	0.77
06/25/2018	***-**-573K - THEODORIDIS, ACCOUNT #: LSR012532	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	70.0	0.58
06/25/2018	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	13.07	0.00	13.07	70.0	9.15
06/25/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	6.32	0.00	6.32	70.0	4.42
06/25/2018	***-**-226O - MAYERSON, MS ACCOUNT #: LSR010890	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	70.0	0.42
06/25/2018	***-**-714O - MAYERSON, STEVEN ACCOUNT #: LSR012678	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	70.0	0.04
06/25/2018	***-**-608O - MAYERSON, ERIC ACCOUNT #: LSR012679	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	70.0	0.90
06/25/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	70.0	0.78
06/25/2018	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	70.0	0.70
06/25/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	70.0	1.81
06/25/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADVISOR EQUITY INCOME CL T BUY 1 Units @0.0000	0.00	14.78	0.00	14.78	70.0	10.35
06/25/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	FIDELITY ADVISOR REAL ESTATE INCOME BUY 1 Units @0.0000	0.00	3.43	0.00	3.43	70.0	2.40
06/25/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	PIMCO COMMODITIES PLUS STRATEGY CL BUY 1 Units @0.0000	0.00	3.04	0.00	3.04	70.0	2.13
06/25/2018	***-**-57IO - SOCHA, CYNTHIA ACCOUNT #: LSR010500	PIMCO COMMODITIES PLUS STRATEGY CL BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	70.0	1.46
06/25/2018	***-**-721I - GUARNA, CATERINA ACCOUNT #: LSR012322	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	70.0	0.62
06/25/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	70.0	3.18
06/25/2018	***-**-287O - AMANTE, JAMES ACCOUNT #: LSR010473	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	3.09	0.00	3.09	70.0	2.16
06/25/2018	***-**-340J - PERRONE, ACCOUNT #: LSR011761	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	70.0	1.65
06/25/2018	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	70.0	0.02
06/25/2018	***-**-99UT - BRODER, ZACHARY ACCOUNT #: LSR011809	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	70.0	0.01
06/25/2018	***-**-287K - AMANTE, JAMES ACCOUNT #: LSR011868	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	70.0	1.81
06/25/2018	***-**-31IR - BRUNO, CAROL ACCOUNT #: LSR012058	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	70.0	0.83
06/25/2018	***-**-674O - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	70.0	1.47
06/25/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	70.0	0.89
06/25/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	70.0	0.51



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	4.20	0.00	4.20	70.0	2.94
06/25/2018	***-**-04UT - BRODER, HARRISON ACCOUNT #: LSR011807	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	70.0	0.13
06/25/2018	***-**-54UT - BRODER, JOSHUA ACCOUNT #: LSR011808	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	70.0	0.36
06/25/2018	***-**-99UT - BRODER, ZACHARY ACCOUNT #: LSR011809	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	70.0	0.36
06/25/2018	***-**-04UT - BRODER, HARRISON ACCOUNT #: LSR011807	PUTNAM EQUITY INCOME FUND-C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	70.0	0.01
06/25/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	7.38	0.00	7.38	70.0	5.17
06/25/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	70.0	2.87
06/25/2018	***-**-76TR - STEELE ACCOUNT #: LSR011320	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	70.0	4.56
06/25/2018	***-**-673I - CZUBIK, ACCOUNT #: LSR010662	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	3.32	0.00	3.32	70.0	2.32
06/25/2018	***-**-18IN - SANCHEZ, THERESA ACCOUNT #: LSR010749	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	70.0	1.74
06/25/2018	***-**-26IN - SANTOS, FATIMA ACCOUNT #: LSR011234	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	70.0	0.18
06/25/2018	***-**-6740 - RAMSEY, MARION ACCOUNT #: LSR012274	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	70.0	1.43
06/25/2018	***-**-674I - RAMSEY, MARION ACCOUNT #: LSR012275	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.88	0.00	2.88	70.0	2.02
06/25/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	70.0	0.24
06/25/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	70.0	1.71
06/25/2018	***-**-2260 - MAYERSON, MS ACCOUNT #: LSR010890	PUTNAM TAX-FREE HIGH YIELD FUND CLA BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	70.0	0.71



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-8090 - RICH, JOSEPH	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	1.02	0.00	1.02	70.0	0.71
	ACCOUNT #: LSR012491	BUY 1 Units @0.0000						
06/25/2018	***-**-7140 - MAYERSON, STEVEN	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	0.09	0.00	0.09	70.0	0.06
	ACCOUNT #: LSR012678	BUY 1 Units @0.0000						
06/25/2018	***-**-6080 - MAYERSON, ERIC	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	2.13	0.00	2.13	70.0	1.49
	ACCOUNT #: LSR012679	BUY 1 Units @0.0000						
06/25/2018	***-**-76TR - STEELE	PUTNAM TAX-FREE HIGH YIELD-B	0.00	5.64	0.00	5.64	70.0	3.95
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
06/25/2018	***-**-543I - RISKALLA,	RESOURCE REAL ESTATE TRAILS	0.00	2.94	0.00	2.94	70.0	2.06
	ACCOUNT #: 20033401	BUY 0 Units @0.0000						
06/25/2018	***-**-76TR - STEELE	RESOURCE REAL ESTATE TRAILS	0.00	2.09	0.00	2.09	70.0	1.46
	ACCOUNT #: 20033530	BUY 0 Units @0.0000						
06/25/2018	***-**-846I - BREEN, KENNETH	RESOURCE REAL ESTATE TRAILS	0.00	3.46	0.00	3.46	70.0	2.42
	ACCOUNT #: 020033838	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$182.09	\$0.00	\$182.09		\$127.50
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
06/19/2018	***-**-308I - FREEMAN, BERNARD	PACIFIC LIFE CUSIP 69448B175-NFS	0.00	29.31	0.00	29.31	70.0	20.52
	ACCOUNT #: VM17003445	BUY 0 Units @0.0000						
06/19/2018	***-**-57IR - BERRIEN, ALLEN	PACIFIC LIFE VA COMM	0.00	71.37	0.00	71.37	70.0	49.96
	ACCOUNT #: VM13006700	BUY 0 Units @0.0000						
	* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *		\$0.00	\$100.68	\$0.00	\$100.68		\$70.48
	*** BROKER TRANSACTIONS TOTAL ***		\$799.99	\$313.96	\$18.00	\$295.96		\$207.21



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$207.21
						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		\$207.21
						Year-to-date Earnings		\$18,907.77