



COMMISSION STATEMENT

August 20, 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>								
08/13/2018	***-**-674I - RAMSEY, MARION	JOHN HANCOCK TECHNICAL OPPS CL A	21.43	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @12.5200						
08/10/2018	***-**-80UT - WILCOX UTMA CT,	PACIFIC FUNDS PORT OP AGGR-GROWTH C	100.00	1.00	0.00	1.00	70.0	0.70
	ACCOUNT #: LSR012264	BUY 6 Units @17.1700						
08/13/2018	***-**-674I - RAMSEY, MARION	PL PORTFOLIO OPTIMIZATION MODERATE	7.77	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 1 Units @14.4900						
08/13/2018	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	61.25	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @25.3000						
08/13/2018	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	135.58	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 23 Units @5.7900						
* MUTUAL FUNDS SUBTOTAL *			\$326.03	\$1.00	\$0.00	\$1.00		\$0.70
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	***-**-752I - BRODER, RUTH	FIDELITY ADV BALANCED CL A	0.00	1.62	0.00	1.62	70.0	1.13
	ACCOUNT #: LSR010670	BUY 1 Units @0.0000						
/ /	***-**-287O - AMANTE, JAMES	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.85	0.00	0.85	70.0	0.60
	ACCOUNT #: LSR010473	BUY 1 Units @0.0000						
/ /	***-**-26IN - SANTOS, FATIMA	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.56	0.00	0.56	70.0	0.39
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						
/ /	***-**-340J - PERRONE,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	12.89	0.00	12.89	70.0	9.02
	ACCOUNT #: LSR011761	BUY 1 Units @0.0000						
/ /	***-**-287K - AMANTE, JAMES	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	2.65	0.00	2.65	70.0	1.86
	ACCOUNT #: LSR011868	BUY 1 Units @0.0000						
/ /	***-**-031X - CAROL A BRUNO,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	1.48	0.00	1.48	70.0	1.04
	ACCOUNT #: LSR011974	BUY 1 Units @0.0000						
/ /	***-**-84IR - FARQUHAR, TARA	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.39	0.00	0.39	70.0	0.27
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
/ /	***-**-732J - FARQUHAR,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	1.40	0.00	1.40	70.0	0.98
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
/ /	***-**-521I - SCHRYNEMAKERS,	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	8.20	0.00	8.20	70.0	5.74
	ACCOUNT #: LSR010663	BUY 1 Units @0.0000						
/ /	***-**-809I - RICH, JOSEPH	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	4.36	0.00	4.36	70.0	3.05
	ACCOUNT #: LSR010668	BUY 1 Units @0.0000						



COMMISSION STATEMENT

August 20, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	4.03	0.00	4.03	70.0	2.82
/ /	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV BIOTECHNOLOGY-CL T BUY 1 Units @0.0000	0.00	12.27	0.00	12.27	70.0	8.59
/ /	***-**-76TR - STEELE ACCOUNT #: LSR011320	FIDELITY ADV CONSUMER STAPLES-CL T BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	70.0	6.28
/ /	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	70.0	0.94
/ /	***-**-573K - THEODORIDIS, ACCOUNT #: LSR012532	FIDELITY ADV FINANCIAL SERVICES CL BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	70.0	0.57
/ /	***-**-809I - RICH, JOSEPH ACCOUNT #: LSR010668	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	13.86	0.00	13.86	70.0	9.70
/ /	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	70.0	4.69
/ /	***-**-608O - MAYERSON, ERIC ACCOUNT #: LSR012679	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	70.0	1.17
/ /	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	70.0	0.95
/ /	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	70.0	0.69
/ /	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	70.0	0.58
/ /	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	2.69	0.00	2.69	70.0	1.88
/ /	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADVISOR EQUITY INCOME CL T BUY 1 Units @0.0000	0.00	15.19	0.00	15.19	70.0	10.63
/ /	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	FIDELITY ADVISOR REAL ESTATE INCOME BUY 1 Units @0.0000	0.00	3.52	0.00	3.52	70.0	2.46
/ /	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	JANUS HENDERSON GLBL EQUITY INC CL BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	70.0	2.87
/ /	***-**-809O - RICH, JOSEPH ACCOUNT #: LSR012491	JANUS HENDERSON GLBL EQUITY INC CL BUY 1 Units @0.0000	0.00	3.88	0.00	3.88	70.0	2.72



COMMISSION STATEMENT

August 20, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-674I - RAMSEY, MARION	JOHN HANCOCK TECHNICAL OPPS CL A	0.00	0.45	0.00	0.45	70.0	0.32
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
08/14/2018	***-**-57IR - SOCHA, CYNTHIA	JOHN HANCOCK TECHNICAL OPPS CL A	0.00	2.39	0.00	2.39	70.0	1.67
	ACCOUNT #: 00002019641	BUY 0 Units @0.0000						
/ /	***-**-721I - GUARNA, CATERINA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.87	0.00	0.87	70.0	0.61
	ACCOUNT #: LSR012322	BUY 1 Units @0.0000						
/ /	***-**-889I - BAILLARGEON,	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	4.52	0.00	4.52	70.0	3.16
	ACCOUNT #: LSR012333	BUY 1 Units @0.0000						
/ /	***-**-287O - AMANTE, JAMES	PUTNAM EQUITY INCOME FUND-A	0.00	3.15	0.00	3.15	70.0	2.21
	ACCOUNT #: LSR010473	BUY 1 Units @0.0000						
/ /	***-**-340J - PERRONE,	PUTNAM EQUITY INCOME FUND-A	0.00	2.39	0.00	2.39	70.0	1.67
	ACCOUNT #: LSR011761	BUY 1 Units @0.0000						
/ /	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-A	0.00	0.03	0.00	0.03	70.0	0.02
	ACCOUNT #: LSR011808	BUY 1 Units @0.0000						
/ /	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-A	0.00	0.01	0.00	0.01	70.0	0.01
	ACCOUNT #: LSR011809	BUY 1 Units @0.0000						
/ /	***-**-287K - AMANTE, JAMES	PUTNAM EQUITY INCOME FUND-A	0.00	2.64	0.00	2.64	70.0	1.85
	ACCOUNT #: LSR011868	BUY 1 Units @0.0000						
/ /	***-**-31IR - BRUNO, CAROL	PUTNAM EQUITY INCOME FUND-A	0.00	1.21	0.00	1.21	70.0	0.85
	ACCOUNT #: LSR012058	BUY 1 Units @0.0000						
/ /	***-**-674O - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	0.00	2.14	0.00	2.14	70.0	1.50
	ACCOUNT #: LSR012274	BUY 1 Units @0.0000						
/ /	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	0.00	1.27	0.00	1.27	70.0	0.89
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
/ /	***-**-84IR - FARQUHAR, TARA	PUTNAM EQUITY INCOME FUND-A	0.00	0.76	0.00	0.76	70.0	0.53
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
/ /	***-**-732J - FARQUHAR,	PUTNAM EQUITY INCOME FUND-A	0.00	4.28	0.00	4.28	70.0	3.00
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
/ /	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-B	0.00	0.18	0.00	0.18	70.0	0.13
	ACCOUNT #: LSR011807	BUY 1 Units @0.0000						
/ /	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-B	0.00	0.52	0.00	0.52	70.0	0.36
	ACCOUNT #: LSR011808	BUY 1 Units @0.0000						



COMMISSION STATEMENT

August 20, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-B	0.00	0.52	0.00	0.52	70.0	0.36
	ACCOUNT #: LSR011809	BUY 1 Units @0.0000						
/ /	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-C	0.00	0.01	0.00	0.01	70.0	0.01
	ACCOUNT #: LSR011807	BUY 1 Units @0.0000						
/ /	***-**-43IN - RISKALLA,	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	7.36	0.00	7.36	70.0	5.15
	ACCOUNT #: LSR010472	BUY 1 Units @0.0000						
/ /	***-**-069I - RICH, PATRICIA	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	4.09	0.00	4.09	70.0	2.86
	ACCOUNT #: LSR010684	BUY 1 Units @0.0000						
/ /	***-**-76TR - STEELE	PUTNAM HIGH YIELD ADVANTAGE CLASS B	0.00	6.53	0.00	6.53	70.0	4.57
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
/ /	***-**-673I - CZUBIK,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	3.31	0.00	3.31	70.0	2.32
	ACCOUNT #: LSR010662	BUY 1 Units @0.0000						
/ /	***-**-18IN - SANCHEZ, THERESA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.49	0.00	2.49	70.0	1.74
	ACCOUNT #: LSR010749	BUY 1 Units @0.0000						
/ /	***-**-26IN - SANTOS, FATIMA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.25	0.00	0.25	70.0	0.18
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						
/ /	***-**-674O - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.05	0.00	2.05	70.0	1.44
	ACCOUNT #: LSR012274	BUY 1 Units @0.0000						
/ /	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.84	0.00	2.84	70.0	1.99
	ACCOUNT #: LSR012275	BUY 1 Units @0.0000						
/ /	***-**-84IR - FARQUHAR, TARA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	0.34	0.00	0.34	70.0	0.24
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
/ /	***-**-732J - FARQUHAR,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.45	0.00	2.45	70.0	1.72
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
/ /	***-**-809O - RICH, JOSEPH	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	1.03	0.00	1.03	70.0	0.72
	ACCOUNT #: LSR012491	BUY 1 Units @0.0000						
/ /	***-**-608O - MAYERSON, ERIC	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	2.66	0.00	2.66	70.0	1.86
	ACCOUNT #: LSR012679	BUY 1 Units @0.0000						
/ /	***-**-76TR - STEELE	PUTNAM TAX-FREE HIGH YIELD-B	0.00	5.70	0.00	5.70	70.0	3.99
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
08/14/2018	***-**-118I - PIRULLI, DEBORAH	STRATEGIC INCOME A	0.00	5.08	0.00	5.08	70.0	3.56
	ACCOUNT #: 00002034826	BUY 0 Units @0.0000						



COMMISSION STATEMENT

August 20, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$190.14	\$0.00	\$190.14		\$133.11
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
08/16/2018	***-**-31IR - BRUNO, CAROL	PACIFIC LIFE CUSIP 69448B191-NSCC	0.00	67.39	0.00	67.39	70.0	47.17
	ACCOUNT #: VM17004817	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$67.39	\$0.00	\$67.39		\$47.17
		*** BROKER TRANSACTIONS TOTAL ***	\$326.03	\$258.53	\$0.00	\$258.53		\$180.98

BROKER COMMISSION TOTALS

Broker Transactions	\$180.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$52.41
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$233.39
Year-to-date Earnings	\$24,736.45