



COMMISSION STATEMENT

August 06, 2018

BERT GOLDBERG
1048 W. Myrna Lane
Tempe, AZ 85284

BROKER #: 698
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>								
08/01/2018	***-**-514I - BERGIN, JOSEPH ACCOUNT #: LSR004910	CION ARES DIVERSIFIED CREDIT C BUY 156 Units @25.6500	3,999.99	40.00	18.00	22.00	70.0	15.40
08/01/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	CION ARES DIVERSIFIED CREDIT C BUY 585 Units @25.6500	14,999.99	150.00	18.00	132.00	70.0	92.40
08/01/2018	***-**-0383 - MARSHALL, ACCOUNT #: LSR105619	CION ARES DIVERSIFIED CREDIT C BUY 780 Units @25.6500	20,000.00	200.00	18.00	182.00	70.0	127.40
08/01/2018	***-**-568I - MARSHALL, BRUCE ACCOUNT #: LSR105627	CION ARES DIVERSIFIED CREDIT C BUY 156 Units @25.6500	3,999.99	40.00	18.00	22.00	70.0	15.40
07/30/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	FRANKLIN INCOME FUND CLASS A SELL 3419 Units @2.3400	8,000.00	18.00	18.00	0.00	70.0	0.00
08/01/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	GRIFFIN INST ACCESS REALESTATE FD C BUY 523 Units @28.6900	14,999.99	750.00	18.00	732.00	70.0	512.40
08/01/2018	***-**-0383 - MARSHALL, ACCOUNT #: LSR105619	GRIFFIN INST ACCESS REALESTATE FD C BUY 697 Units @28.6900	20,000.00	1,000.00	18.00	982.00	70.0	687.40
08/01/2018	***-**-568I - MARSHALL, BRUCE ACCOUNT #: LSR105627	GRIFFIN INST ACCESS REALESTATE FD C BUY 139 Units @28.6900	3,999.99	200.00	18.00	182.00	70.0	127.40
07/30/2018	***-**-514I - BERGIN, JOSEPH ACCOUNT #: LSR004910	IVY ASSET STRATEGY FUND CLASS A SELL 145 Units @24.6900	3,576.49	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	IVY ASSET STRATEGY FUND CLASS A SELL 1472 Units @24.6900	36,339.63	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-0383 - MARSHALL, ACCOUNT #: LSR105619	IVY ASSET STRATEGY FUND CLASS A SELL 141 Units @24.6900	3,470.40	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-568I - MARSHALL, BRUCE ACCOUNT #: LSR105627	IVY ASSET STRATEGY FUND CLASS A SELL 246 Units @24.6900	6,073.22	18.00	18.00	0.00	70.0	0.00
08/01/2018	***-**-9761 - SANTAPAOLA, ACCOUNT #: LSR105490	IVY ASSET STRATEGY FUND CLASS A SELL 43 Units @24.6800	1,050.60	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-0383 - MARSHALL, ACCOUNT #: LSR105619	JOHN HANCOCK ALTER ASSET ALLOC FUND SELL 2502 Units @14.4700	36,208.18	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-568I - MARSHALL, BRUCE ACCOUNT #: LSR105627	JOHN HANCOCK ALTER ASSET ALLOC FUND SELL 182 Units @14.4700	2,640.44	18.00	18.00	0.00	70.0	0.00
07/30/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	JOHN HANCOCK GLOBAL EQUITY FUND CLA SELL 1160 Units @11.7400	13,614.54	18.00	18.00	0.00	70.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/30/2018	***-**-568J - MARSHALL, BRUCE	LIFESTYLE BALANCED PORTFOLIO A	24,000.00	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR105600	SELL 1556 Units @15.4200						
07/30/2018	***-**-0383 - MARSHALL,	LIFESTYLE BALANCED PORTFOLIO A	50,000.00	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR105619	SELL 3243 Units @15.4200						
07/30/2018	***-**-568I - MARSHALL, BRUCE	LIFESTYLE MODERATE PORTFOLIO A	18,000.01	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR105627	SELL 1308 Units @13.7600						
08/01/2018	***-**-568J - MARSHALL, BRUCE	RESOURCE CREDIT INCOME FUND A	15,000.00	825.00	18.00	807.00	70.0	564.90
	ACCOUNT #: LSR105600	BUY 1268 Units @11.8300						
08/01/2018	***-**-0383 - MARSHALL,	RESOURCE CREDIT INCOME FUND A	20,000.00	1,100.00	18.00	1,082.00	70.0	757.40
	ACCOUNT #: LSR105619	BUY 1691 Units @11.8300						
08/01/2018	***-**-568I - MARSHALL, BRUCE	RESOURCE CREDIT INCOME FUND A	4,000.00	220.00	18.00	202.00	70.0	141.40
	ACCOUNT #: LSR105627	BUY 338 Units @11.8300						
08/01/2018	***-**-568J - MARSHALL, BRUCE	RESOURCE REAL ESTATES-NFS	14,999.99	825.00	18.00	807.00	70.0	564.90
	ACCOUNT #: LSR105600	BUY 1360 Units @11.0300						
08/01/2018	***-**-0383 - MARSHALL,	RESOURCE REAL ESTATES-NFS	20,000.00	1,100.00	18.00	1,082.00	70.0	757.40
	ACCOUNT #: LSR105619	BUY 1813 Units @11.0300						
08/01/2018	***-**-568I - MARSHALL, BRUCE	RESOURCE REAL ESTATES-NFS	4,000.00	220.00	18.00	202.00	70.0	141.40
	ACCOUNT #: LSR105627	BUY 363 Units @11.0300						
* MUTUAL FUNDS SUBTOTAL *			\$362,973.45	\$6,886.00	\$450.00	\$6,436.00		\$4,505.20
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	***-**-29IO - NORFLEET,	RESOURCE CREDIT INCOME FUND A	0.00	2.09	0.00	2.09	70.0	1.46
	ACCOUNT #: LSR010116	BUY 1 Units @0.0000						
/ /	***-**-29IO - NORFLEET,	RESOURCE REAL ESTATES-NFS	0.00	2.09	0.00	2.09	70.0	1.46
	ACCOUNT #: LSR010116	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$4.18	\$0.00	\$4.18		\$2.92
*** BROKER TRANSACTIONS TOTAL ***			\$362,973.45	\$6,890.18	\$450.00	\$6,440.18		\$4,508.12



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$4,508.12
						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		\$4,508.12
						Year-to-date Earnings		\$41,557.87