



COMMISSION STATEMENT

September 17, 2018

STANLEY (DARRELL) KEATHLEY
200 Prosperity Drive
Suite 133
Knoxville, TN 37923

BROKER #: B07
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>								
09/11/2018	***-**-97IO - BISHOP, RICHARD	AIM EUROPEAN GROWTH FUND - CLASS A	3,817.22	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 101 Units @37.8100						
09/11/2018	***-**-97IO - BISHOP, RICHARD	AMERICAN CENTURY GINNIE MAE INV CL	5,784.59	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 571 Units @10.1300						
09/11/2018	***-**-97IO - BISHOP, RICHARD	COLUMBIA MID CAP INDEX CLASS A	4,663.07	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 263 Units @17.7000						
09/11/2018	***-**-97IO - BISHOP, RICHARD	COLUMBIA SELIGMAN GLOBAL TECHNOLOGY	4,061.71	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 96 Units @42.1300						
09/11/2018	***-**-97IO - BISHOP, RICHARD	EATON VANCE HIGH INCOME FUND CLASS	6,137.94	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 1392 Units @4.4100						
09/11/2018	***-**-97IO - BISHOP, RICHARD	FIDELITY ADV CONSUMER DISCRETIONARY	1,951.59	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 66 Units @29.4300						
09/13/2018	***-**-97IO - BISHOP, RICHARD	FIDELITY ADV HEALTH CARE-CL A	15,000.00	750.00	18.00	732.00	80.0	585.60
	ACCOUNT #: LSR012836	BUY 266 Units @56.4400						
09/13/2018	***-**-97IO - BISHOP, RICHARD	FIDELITY ADV UTILITIES CL A	12,700.01	635.00	18.00	617.00	80.0	493.60
	ACCOUNT #: LSR012836	BUY 366 Units @34.7100						
09/11/2018	***-**-97IO - BISHOP, RICHARD	MATHEWS ASIA DIVIDEND FUND	4,053.79	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 223 Units @18.1900						
09/11/2018	***-**-97IO - BISHOP, RICHARD	MORGAN STANLEY MORTGAGE SEC	12,154.41	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 1437 Units @8.4600						
09/11/2018	***-**-97IO - BISHOP, RICHARD	PIMCO INCOME FUND INSTITUTIONAL-NFS	8,147.04	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 688 Units @11.8500						
09/11/2018	***-**-97IO - BISHOP, RICHARD	REGIONAL BANK A	4,215.33	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 141 Units @29.8200						
09/13/2018	***-**-97IO - BISHOP, RICHARD	TRS SMALL/MID CAP VALUE A NFS	21,200.00	1,007.00	18.00	989.00	80.0	791.20
	ACCOUNT #: LSR012836	BUY 693 Units @30.6100						
09/11/2018	***-**-97IO - BISHOP, RICHARD	US GOVT FUND CLASS A	8,689.71	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR012836	SELL 3171 Units @2.7400						
* MUTUAL FUNDS SUBTOTAL *			\$112,576.41	\$2,590.00	\$252.00	\$2,338.00		\$1,870.40



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
09/11/2018	***-**-97IO - BISHOP, RICHARD	SECTOR SPDR TR SHS BEN INT INDUSTRI	3,977.24	50.00	16.02	33.98	80.0	27.18
	ACCOUNT #: LSR012836	SELL 51 Units @77.9850						
09/11/2018	***-**-97IO - BISHOP, RICHARD	VANGUARD SCOTTSDALE FDS SHORT TERM	7,649.00	50.00	16.96	33.04	80.0	26.43
	ACCOUNT #: LSR012836	SELL 98 Units @78.0510						
		* STOCKS SUBTOTAL *	\$11,626.24	\$100.00	\$32.98	\$67.02		\$53.61
<u>PRODUCT CATEGORY: RIA</u>								
09/18/2018	***-**-02FB - LIEBOLD, CHRISTY HOWARD CAPITAL MANAGMENT RIA FEE		75.69	75.69	0.00	75.69	80.0	60.55
	ACCOUNT #: RG9873200R	BUY 0 Units @0.0000						
		* RIA SUBTOTAL *	\$75.69	\$75.69	\$0.00	\$75.69		\$60.55
		*** BROKER TRANSACTIONS TOTAL ***	\$124,278.34	\$2,765.69	\$284.98	\$2,480.71		\$1,984.56

BROKER COMMISSION TOTALS

Broker Transactions	\$1,984.56
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	\$1,984.56
Year-to-date Earnings	\$39,198.55