



COMMISSION STATEMENT

October 08, 2018

WILLIAM FRANCIS
2 Bobrick Road
Poughkeepsie, NY 12601

BROKER #: A88
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>								
09/17/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	200.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 00055761480	BUY 19 Units @10.2600						
		* MUTUAL FUNDS SUBTOTAL *	\$200.00	\$2.00	\$0.00	\$2.00		\$1.40
<u>PRODUCT CATEGORY: RIA</u>								
10/05/2018	***-**-82FB - AGUIAR, DANA	LIFEMARK INVESTMENT ADVISORY FEE	23.45	23.45	0.00	23.45	70.0	16.42
	ACCOUNT #: 925573753	BUY 0 Units @0.0000						
		* RIA SUBTOTAL *	\$23.45	\$23.45	\$0.00	\$23.45		\$16.42
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2018	***-**-7131 - PHILLIPS, DAVID	CAPITAL INCOME A	0.00	24.82	0.00	24.82	70.0	17.37
	ACCOUNT #: 03008846068	BUY 0 Units @0.0000						
09/30/2018	***-**-3569 - ANDERSON,	CAPITAL INCOME A	0.00	7.86	0.00	7.86	70.0	5.50
	ACCOUNT #: 03008855924	BUY 0 Units @0.0000						
09/30/2018	***-**-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						
09/30/2018	***-**-3987 - LINGE, MARY	EQUITY INCOME FUND, INC. A	0.00	6.47	0.00	6.47	70.0	4.53
	ACCOUNT #: 08351856019	BUY 0 Units @0.0000						
09/30/2018	***-**-5922 - HOTAILING,	MAIN STREET FUND A	0.00	1.31	0.00	1.31	70.0	0.92
	ACCOUNT #: 04206469364	BUY 0 Units @0.0000						
09/30/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER CORP. BOND FUND A	0.00	2.56	0.00	2.56	70.0	1.79
	ACCOUNT #: 00100031714	BUY 0 Units @0.0000						
09/30/2018	***-**-7131 - PHILLIPS, DAVID	OPPENHEIMER GLOBAL HIGH YIELD CL A	0.00	10.43	0.00	10.43	70.0	7.30
	ACCOUNT #: 00100011111	BUY 0 Units @0.0000						
09/30/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.22	0.00	3.22	70.0	2.25
	ACCOUNT #: 01952249841	BUY 0 Units @0.0000						
09/30/2018	***-**-7748 - MCCANNA, GLORIA	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	8.26	0.00	8.26	70.0	5.78
	ACCOUNT #: 03620059224	BUY 0 Units @0.0000						
09/30/2018	***-**-5680 - MOLINARO,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	2.69	0.00	2.69	70.0	1.88
	ACCOUNT #: 02911903132	BUY 0 Units @0.0000						
09/30/2018	***-**-3569 - ANDERSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	11.33	0.00	11.33	70.0	7.93
	ACCOUNT #: 02913088899	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-7274 - VALENTINO, ACCOUNT #: 02253862573	RISEING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.75	0.00	3.75	70.0	2.63
09/30/2018	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03551239700	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	17.82	0.00	17.82	70.0	12.47
09/30/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 03551252966	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	70.0	0.47
09/30/2018	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 03551329053	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	4.21	0.00	4.21	70.0	2.95
09/30/2018	***-**-5680 - MOLINARO, ACCOUNT #: 03570606353	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	3.46	0.00	3.46	70.0	2.42
09/30/2018	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 03570643478	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	6.28	0.00	6.28	70.0	4.40
09/30/2018	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03653246980	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	34.78	0.00	34.78	70.0	24.35
09/30/2018	***-**-0780 - CADMAN, ELONA ACCOUNT #: 03653291596	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	70.0	1.67
09/30/2018	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 03653390475	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	10.74	0.00	10.74	70.0	7.52
09/30/2018	***-**-5680 - MOLINARO, ACCOUNT #: 03670696509	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	5.81	0.00	5.81	70.0	4.07
09/30/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 03670698060	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	8.12	0.00	8.12	70.0	5.68
09/30/2018	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 03670728728	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.33	0.00	7.33	70.0	5.13
09/30/2018	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 02932073918	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	72.68	0.00	72.68	70.0	50.88
09/30/2018	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 00100011210	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	48.46	0.00	48.46	70.0	33.92
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$305.45	\$0.00	\$305.45		\$213.81



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/30/2018	***-**-7131 - PHILLIPS, DAVID	MASS MUTUAL VA DTCC TRAILS	0.00	62.20	0.00	62.20	70.0	43.54
	ACCOUNT #: EVN46024214	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$62.20	\$0.00	\$62.20		\$43.54
		*** BROKER TRANSACTIONS TOTAL ***	\$223.45	\$393.10	\$0.00	\$393.10		\$275.17

BROKER COMMISSION TOTALS

Broker Transactions	\$275.17
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	\$275.17
Year-to-date Earnings	\$53,277.48