



# COMMISSION STATEMENT

## October 15, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/05/2018	***-**-7140 - MAYERSON, STEVEN	IVY HIGH INCOME CL A	8,068.75	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR012678	SELL 1085 Units @7.4400						
10/11/2018	***-**-674I - RAMSEY, MARION	JOHN HANCOCK TECHNICAL OPPS CL A	20.75	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @11.8800						
10/10/2018	***-**-80UT - WILCOX UTMA CT,	PACIFIC FUNDS PORT OP AGGR-GROWTH C	99.99	1.00	0.00	1.00	70.0	0.70
	ACCOUNT #: LSR012264	BUY 6 Units @16.5800						
10/11/2018	***-**-674I - RAMSEY, MARION	PL PORTFOLIO OPTIMIZATION MODERATE	7.59	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 1 Units @14.0100						
10/05/2018	***-**-7140 - MAYERSON, STEVEN	PRUDENTIAL HIGH YIELD CLASS A	8,277.11	18.00	18.00	0.00	70.0	0.00
	ACCOUNT #: LSR012678	SELL 1530 Units @5.4100						
10/01/2018	***-**-31RI - BRUNO, CAROL	PUTNAM EQUITY INCOME FUND-A	100.00	5.00	0.00	5.00	70.0	3.50
	ACCOUNT #: 00551361268	BUY 4 Units @27.6200						
10/11/2018	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	61.13	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @24.5900						
10/05/2018	***-**-18IN - SANCHEZ, THERESA	PUTNAM HIGH YIELD ADVANTAGE-A	11,871.35	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010749	SELL 2057 Units @5.7700						
10/11/2018	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	135.93	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 24 Units @5.7300						
10/05/2018	***-**-18IN - SANCHEZ, THERESA	RESOURCE CREDIT INCOME FUND A	15,003.00	825.16	18.00	807.16	70.0	565.01
	ACCOUNT #: LSR010749	BUY 1279 Units @11.7300						
* MUTUAL FUNDS SUBTOTAL *			<b>\$43,645.60</b>	<b>\$867.16</b>	<b>\$72.00</b>	<b>\$795.16</b>		<b>\$551.21</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
10/01/2018	***-**-26IR - CORDONE, EILEEN	LANDMARK VARIABLE ANNUITY	150.00	10.80	0.00	10.80	70.0	7.56
	ACCOUNT #: 119193LK8	BUY 0 Units @0.0000						
10/15/2018	***-**-76IN - FENGLER, KERI	VA RENEWAL	0.00	11.24	0.00	11.24	70.0	7.87
	ACCOUNT #: 46762776	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$150.00</b>	<b>\$22.04</b>	<b>\$0.00</b>	<b>\$22.04</b>		<b>\$15.43</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: 529 PLAN</b>								
10/15/2018	***-**-5134 - KOONTZ, JOSEPH	CHET 529	49.50	0.50	0.00	0.50	70.0	0.35
	ACCOUNT #: 68455548301	BUY 0 Units @0.0000						
10/15/2018	***-**-26IN - SANTOS, FATIMA	CHET 529	200.00	5.00	0.00	5.00	70.0	3.50
	ACCOUNT #: 68526609201	BUY 0 Units @0.0000						
10/15/2018	***-**-5134 - KOONTZ, JOSEPH	CHET ADVISOR 529 TRAILS	0.00	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 68455548301	BUY 0 Units @0.0000						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$249.50</b>	<b>\$5.54</b>	<b>\$0.00</b>	<b>\$5.54</b>		<b>\$3.88</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/15/2018	***-**-5134 - KOONTZ, JOSEPH	CHET ADVISOR 529 TRAILS	0.00	3.93	0.00	3.93	70.0	2.75
	ACCOUNT #: 68455548301	BUY 0 Units @0.0000						
10/15/2018	***-**-925P - FENGLER, DANIEL	CHET ADVISOR 529 TRAILS	0.00	2.21	0.00	2.21	70.0	1.55
	ACCOUNT #: 68939901201	BUY 0 Units @0.0000						
10/05/2018	***-**-7210 - GUARNA, CATERINA	FA 529 EQUITY INCOME PORT	0.00	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 01488781368	BUY 0 Units @0.0000						
10/05/2018	***-**-49IN - TALLO, ROSE	FA 529 MID CAP PORT - CL A	0.00	0.20	0.00	0.20	70.0	0.14
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
10/05/2018	***-**-49IN - TALLO, ROSE	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.48	0.00	0.48	70.0	0.34
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
10/05/2018	***-**-49IN - TALLO, ROSE	FA 529 VALUE STRATEGIES PORT-CL A	0.00	0.77	0.00	0.77	70.0	0.54
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
10/05/2018	***-**-49IN - TALLO, ROSE	FIDELITY ADV ASSET MANAGER 60% CL A	0.00	1.34	0.00	1.34	70.0	0.94
	ACCOUNT #: 01445268004	BUY 0 Units @0.0000						
10/05/2018	***-**-472I - PARADIS, URSULA	FIDELITY ADV STRATEGIC INCOME CL A	0.00	2.86	0.00	2.86	70.0	2.00
	ACCOUNT #: 01455315984	BUY 0 Units @0.0000						
10/05/2018	***-**-1111 - ROMANOVSKY,	FIDELITY ADV TOTAL BOND-CL T	0.00	2.79	0.00	2.79	70.0	1.95
	ACCOUNT #: 01456178423	BUY 0 Units @0.0000						
10/05/2018	***-**-49IN - TALLO, ROSE	FIDELITY ADV TRAILS 31580T877	0.00	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
10/15/2018	***-**-15CL - BRODER, CLIENTS	PACIFIC LIFE TRAILS	0.00	3.99	0.00	3.99	70.0	2.79
		BUY 0 Units @0.0000						
10/15/2018	***-**-15CL - BRODER, CLIENTS	PACIFIC LIFE TRAILS	0.00	28.19	0.00	28.19	70.0	19.73
		BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
10/01/2018	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-A	0.00	0.03	0.00	0.03	70.0	0.02
	ACCOUNT #: 00551342997	BUY 0 Units @0.0000						
10/01/2018	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-A	0.00	0.02	0.00	0.02	70.0	0.01
	ACCOUNT #: 00551342999	BUY 0 Units @0.0000						
10/01/2018	***-**-31RI - BRUNO, CAROL	PUTNAM EQUITY INCOME FUND-A	0.00	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: 00551361268	BUY 0 Units @0.0000						
10/01/2018	***-**-99UT - BRODER, ZACHARY	PUTNAM EQUITY INCOME FUND-B	0.00	0.06	0.00	0.06	70.0	0.04
	ACCOUNT #: 00551342992	BUY 0 Units @0.0000						
10/01/2018	***-**-04UT - BRODER, HARRISON	PUTNAM EQUITY INCOME FUND-B	0.00	0.06	0.00	0.06	70.0	0.04
	ACCOUNT #: 00551342997	BUY 0 Units @0.0000						
10/01/2018	***-**-54UT - BRODER, JOSHUA	PUTNAM EQUITY INCOME FUND-B	0.00	0.06	0.00	0.06	70.0	0.04
	ACCOUNT #: 00551342999	BUY 0 Units @0.0000						
10/01/2018	***-**-725I - SHEIK, JONATHAN	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.52	0.00	2.52	70.0	1.76
	ACCOUNT #: 00551329386	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$50.69</b>	<b>\$0.00</b>	<b>\$50.69</b>		<b>\$35.47</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
09/29/2018	***-**-008I - DEHAAS,	NATIONWIDE CUSIP 63890A173-NSCC	0.00	213.50	0.00	213.50	70.0	149.45
	ACCOUNT #: 016353370	BUY 0 Units @0.0000						
	<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$213.50</b>	<b>\$0.00</b>	<b>\$213.50</b>		<b>\$149.45</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$44,045.10</b>	<b>\$1,158.93</b>	<b>\$72.00</b>	<b>\$1,086.93</b>		<b>\$755.44</b>



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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
BROKER COMMISSION TOTALS							
						Broker Transactions	\$755.44
						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	\$755.44
						Year-to-date Earnings	\$31,165.92