



COMMISSION STATEMENT

September 17, 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>								
09/13/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6700	75.00	3.19	0.00	3.19	70.0	2.23
09/13/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6700	75.00	3.19	0.00	3.19	70.0	2.23
09/13/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6700	75.00	3.19	0.00	3.19	70.0	2.23
09/13/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.6700	75.00	3.19	0.00	3.19	70.0	2.23
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 0 Units @20.0900	5.54	0.17	0.00	0.17	70.0	0.12
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.0900	29.53	0.89	0.00	0.89	70.0	0.62
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 0 Units @20.0900	5.54	0.17	0.00	0.17	70.0	0.12
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.0900	29.53	0.89	0.00	0.89	70.0	0.62
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.9900	24.92	1.06	0.00	1.06	70.0	0.74
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @52.9900	132.92	5.65	0.00	5.65	70.0	3.96
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.9900	24.92	1.06	0.00	1.06	70.0	0.74
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @52.9900	132.92	5.65	0.00	5.65	70.0	3.96
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 0 Units @54.7900	8.31	0.35	0.00	0.35	70.0	0.25
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.7900	44.31	1.88	0.00	1.88	70.0	1.32
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 0 Units @54.7900	8.31	0.35	0.00	0.35	70.0	0.25
09/13/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.7900	44.31	1.88	0.00	1.88	70.0	1.32



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/20/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED 31421R841	50.00	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: 06090486215	BUY 2 Units @20.9900						
09/13/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	3.75	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 04000234328	BUY 0 Units @64.3000						
09/13/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	12.50	0.13	0.00	0.13	70.0	0.09
	ACCOUNT #: 04000234328	BUY 0 Units @64.3000						
09/13/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	12.50	0.13	0.00	0.13	70.0	0.09
	ACCOUNT #: 04000234328	BUY 0 Units @64.3000						
09/13/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	3.75	0.04	0.00	0.04	70.0	0.03
	ACCOUNT #: 04000234328	BUY 0 Units @64.3000						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	11.07	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 00088824619	BUY 0 Units @58.9300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	70.0	1.76
	ACCOUNT #: 00088824619	BUY 1 Units @58.9300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	11.07	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 00088824619	BUY 0 Units @58.9300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	70.0	1.76
	ACCOUNT #: 00088824619	BUY 1 Units @58.9300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	70.0	0.88
	ACCOUNT #: 00088824619	BUY 1 Units @24.3300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	5.54	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 00088824619	BUY 0 Units @24.3300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	5.54	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 00088824619	BUY 0 Units @24.3300						
09/13/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	70.0	0.88
	ACCOUNT #: 00088824619	BUY 1 Units @24.3300						
09/12/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	261.44	4.18	0.00	4.18	70.0	2.93
	ACCOUNT #: 01293376129	BUY 5 Units @47.5500						
* MUTUAL FUNDS SUBTOTAL *			\$1,345.46	\$48.74	\$0.00	\$48.74		\$34.14



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/04/2018	***-**-8431 - HOWANIEC, EDWARD	AF MODERATE GROWTH AND INCOME-A	0.00	39.12	0.00	39.12	70.0	27.38
	ACCOUNT #: 00086726246	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	AF MODERATE GROWTH AND INCOME-A	0.00	5.20	0.00	5.20	70.0	3.64
	ACCOUNT #: 00088210419	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	AF MODERATE GROWTH AND INCOME-A	0.00	4.03	0.00	4.03	70.0	2.82
	ACCOUNT #: 00088210429	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	AMCAP FUND-A	0.00	5.62	0.00	5.62	70.0	3.93
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	AMCAP FUND-A	0.00	1.29	0.00	1.29	70.0	0.90
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	AMCAP FUND-A	0.00	14.82	0.00	14.82	70.0	10.37
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	AMCAP FUND-A	0.00	21.58	0.00	21.58	70.0	15.11
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-5132 - WEBER, FREDERICK	AMCAP FUND-A	0.00	14.86	0.00	14.86	70.0	10.40
	ACCOUNT #: 00088817392	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	AMERICAN BALANCED FUND-A	0.00	5.06	0.00	5.06	70.0	3.54
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	AMERICAN BALANCED FUND-A	0.00	47.63	0.00	47.63	70.0	33.34
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-8325 - BUECHEL,	AMERICAN BALANCED FUND-A	0.00	7.93	0.00	7.93	70.0	5.55
	ACCOUNT #: 00088244527	BUY 0 Units @0.0000						
09/04/2018	***-**-8696 - LAUBACKER,	AMERICAN BALANCED FUND-A	0.00	3.34	0.00	3.34	70.0	2.34
	ACCOUNT #: 00088244533	BUY 0 Units @0.0000						
09/04/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	0.00	1.01	0.00	1.01	70.0	0.71
	ACCOUNT #: 04000740312	BUY 0 Units @0.0000						
09/04/2018	***-**-8346 - SCOLLAN, JAMIE	AMERICAN FUNDS 2040 TARGET DATE-A	0.00	0.33	0.00	0.33	70.0	0.23
	ACCOUNT #: 04000941955	BUY 0 Units @0.0000						
09/04/2018	***-**-7033 - TURNER, BRYAN	AMERICAN FUNDS 2045 TARGET DATE-A	0.00	13.89	0.00	13.89	70.0	9.72
	ACCOUNT #: 00089463498	BUY 0 Units @0.0000						
09/04/2018	***-**-6560 - TALBOT, JENNIFER	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	2.20	0.00	2.20	70.0	1.54
	ACCOUNT #: 00088093126	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-5460 - MILLS, ALEXIS	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	4.41	0.00	4.41	70.0	3.09
	ACCOUNT #: 00088093500	BUY 0 Units @0.0000						
09/04/2018	***-**-1878 - HOWANIEC, DESSA	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	2.19	0.00	2.19	70.0	1.53
	ACCOUNT #: 00088799768	BUY 0 Units @0.0000						
09/04/2018	***-**-4858 - GODOFISKY,	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	4.01	0.00	4.01	70.0	2.81
	ACCOUNT #: 04000349982	BUY 0 Units @0.0000						
09/04/2018	***-**-3410 - HOWANIEC,	AMERICAN FUNDS GROWTH PORTFOLIO A	0.00	2.16	0.00	2.16	70.0	1.51
	ACCOUNT #: 04000916803	BUY 0 Units @0.0000						
09/04/2018	***-**-0485 - WHALEN, STEPHEN	AMERICAN FUNDS GRWTH & INCOME PORT	0.00	2.05	0.00	2.05	70.0	1.44
	ACCOUNT #: 00088824582	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	15.62	0.00	15.62	70.0	10.93
	ACCOUNT #: 00089209664	BUY 0 Units @0.0000						
09/04/2018	***-**-8431 - HOWANIEC, EDWARD	AMERICAN HIGH-INCOME TRUST-A	0.00	184.67	0.00	184.67	70.0	129.27
	ACCOUNT #: 00086726246	BUY 0 Units @0.0000						
09/04/2018	***-**-06IN - GOLDMAN, JUNE	AMERICAN HIGH-INCOME TRUST-A	0.00	144.67	0.00	144.67	70.0	101.27
	ACCOUNT #: 00087856737	BUY 0 Units @0.0000						
09/04/2018	***-**-2582 - AGUIAR, DANA	AMERICAN HIGH-INCOME TRUST-A	0.00	2.29	0.00	2.29	70.0	1.60
	ACCOUNT #: 00087887914	BUY 0 Units @0.0000						
09/04/2018	***-**-9105 - OCONNOR, BARBARA	AMERICAN HIGH-INCOME TRUST-A	0.00	127.57	0.00	127.57	70.0	89.30
	ACCOUNT #: 00088011557	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	AMERICAN HIGH-INCOME TRUST-A	0.00	55.65	0.00	55.65	70.0	38.96
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-5445 - NORTH, CHARLES	AMERICAN HIGH-INCOME TRUST-A	0.00	124.93	0.00	124.93	70.0	87.45
	ACCOUNT #: 00088143210	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	AMERICAN HIGH-INCOME TRUST-A	0.00	91.87	0.00	91.87	70.0	64.31
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-3582 - NORTH, JOANNE	AMERICAN HIGH-INCOME TRUST-A	0.00	22.77	0.00	22.77	70.0	15.94
	ACCOUNT #: 00088269231	BUY 0 Units @0.0000						
09/04/2018	***-**-7131 - PHILLIPS, DAVID	AMERICAN HIGH-INCOME TRUST-A	0.00	41.65	0.00	41.65	70.0	29.16
	ACCOUNT #: 00088295242	BUY 0 Units @0.0000						
09/04/2018	***-**-7757 - JOHNSON,	AMERICAN HIGH-INCOME TRUST-A	0.00	47.57	0.00	47.57	70.0	33.30
	ACCOUNT #: 00088316251	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	2.50	0.00	2.50	70.0	1.75
09/04/2018	***-**-6809 - FRANCIS, PAUL ACCOUNT #: 00088351601	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	9.86	0.00	9.86	70.0	6.90
09/04/2018	***-**-9982 - BROWN, EDWIN ACCOUNT #: 00088575250	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	42.98	0.00	42.98	70.0	30.09
09/04/2018	***-**-6885 - BUCHANAN, ROGER ACCOUNT #: 00088653800	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	147.21	0.00	147.21	70.0	103.05
09/04/2018	***-**-1878 - HOWANIEC, DESSA ACCOUNT #: 00088798653	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	3.92	0.00	3.92	70.0	2.74
09/04/2018	***-**-5132 - WEBER, FREDERICK ACCOUNT #: 00088817392	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	19.09	0.00	19.09	70.0	13.36
09/04/2018	***-**-2582 - AGUIAR, DANA ACCOUNT #: 00087887914	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	70.0	1.80
09/04/2018	***-**-5076 - TORRES, JASON ACCOUNT #: 00088000759	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	10.54	0.00	10.54	70.0	7.38
09/04/2018	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 00088105535	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	75.31	0.00	75.31	70.0	52.72
09/04/2018	***-**-9982 - BROWN, EDWIN ACCOUNT #: 00088145716	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	27.28	0.00	27.28	70.0	19.10
09/04/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	7.11	0.00	7.11	70.0	4.98
09/04/2018	***-**-9982 - BROWN, EDWIN ACCOUNT #: 00088575250	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	12.47	0.00	12.47	70.0	8.73
09/04/2018	***-**-9982 - BROWN, EDWIN ACCOUNT #: 00089209664	AMERICAN TAX EXEMPT OF NEW YORK CL BUY 0 Units @0.0000	0.00	26.87	0.00	26.87	70.0	18.81
09/04/2018	***-**-8431 - HOWANIEC, EDWARD ACCOUNT #: 00086726246	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	124.65	0.00	124.65	70.0	87.26
09/04/2018	***-**-06IN - GOLDMAN, JUNE ACCOUNT #: 00087856737	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	57.65	0.00	57.65	70.0	40.36
09/04/2018	***-**-2582 - AGUIAR, DANA ACCOUNT #: 00087887914	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	2.23	0.00	2.23	70.0	1.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-9105 - OCONNOR, BARBARA	CAPITAL INCOME BUILDER-A	0.00	46.05	0.00	46.05	70.0	32.24
	ACCOUNT #: 00088011557	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	CAPITAL INCOME BUILDER-A	0.00	39.73	0.00	39.73	70.0	27.81
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-5445 - NORTH, CHARLES	CAPITAL INCOME BUILDER-A	0.00	35.55	0.00	35.55	70.0	24.89
	ACCOUNT #: 00088143210	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	CAPITAL INCOME BUILDER-A	0.00	22.35	0.00	22.35	70.0	15.65
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-3582 - NORTH, JOANNE	CAPITAL INCOME BUILDER-A	0.00	6.38	0.00	6.38	70.0	4.47
	ACCOUNT #: 00088269231	BUY 0 Units @0.0000						
09/04/2018	***-**-7131 - PHILLIPS, DAVID	CAPITAL INCOME BUILDER-A	0.00	10.83	0.00	10.83	70.0	7.58
	ACCOUNT #: 00088295242	BUY 0 Units @0.0000						
09/04/2018	***-**-7757 - JOHNSON,	CAPITAL INCOME BUILDER-A	0.00	11.46	0.00	11.46	70.0	8.02
	ACCOUNT #: 00088316251	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	CAPITAL INCOME BUILDER-A	0.00	6.79	0.00	6.79	70.0	4.75
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	CAPITAL INCOME BUILDER-A	0.00	10.11	0.00	10.11	70.0	7.08
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-6885 - BUCHANAN, ROGER	CAPITAL INCOME BUILDER-A	0.00	62.03	0.00	62.03	70.0	43.42
	ACCOUNT #: 00088653800	BUY 0 Units @0.0000						
09/04/2018	***-**-1878 - HOWANIEC, DESSA	CAPITAL INCOME BUILDER-A	0.00	5.21	0.00	5.21	70.0	3.65
	ACCOUNT #: 00088798653	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	CAPITAL WORLD BOND FUND-A	0.00	34.27	0.00	34.27	70.0	23.99
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	CAPITAL WORLD BOND FUND-A	0.00	10.40	0.00	10.40	70.0	7.28
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-7131 - PHILLIPS, DAVID	CAPITAL WORLD BOND FUND-A	0.00	3.39	0.00	3.39	70.0	2.37
	ACCOUNT #: 00088295242	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	CAPITAL WORLD BOND FUND-A	0.00	2.23	0.00	2.23	70.0	1.56
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	CAPITAL WORLD BOND FUND-A	0.00	3.02	0.00	3.02	70.0	2.11
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						



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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)								
09/04/2018	***-**-9982 - BROWN, EDWIN	CAPITAL WORLD BOND FUND-A	0.00	4.81	0.00	4.81	70.0	3.37
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD BOND FUND-A	0.00	1.61	0.00	1.61	70.0	1.13
	ACCOUNT #: 00088824619	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.22	0.00	2.22	70.0	1.55
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.84	0.00	3.84	70.0	2.69
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.37	0.00	8.37	70.0	5.86
	ACCOUNT #: 00088824619	BUY 0 Units @0.0000						
09/17/2018	***-**-792J - FITZGERALD, MARY	COLUMBIA FUNDS MF TRAILS	0.00	0.90	0.00	0.90	70.0	0.63
		BUY 0 Units @0.0000						
09/04/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	0.00	2.74	0.00	2.74	70.0	1.92
	ACCOUNT #: 00088824619	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	FUNDAMENTAL INVESTORS-A	0.00	55.37	0.00	55.37	70.0	38.76
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	FUNDAMENTAL INVESTORS-A	0.00	2.67	0.00	2.67	70.0	1.87
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	FUNDAMENTAL INVESTORS-A	0.00	7.70	0.00	7.70	70.0	5.39
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	FUNDAMENTAL INVESTORS-A	0.00	17.54	0.00	17.54	70.0	12.28
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-8526 - O'LEARY, MARY	FUNDAMENTAL INVESTORS-C	0.00	1.61	0.00	1.61	70.0	1.13
	ACCOUNT #: 04000234328	BUY 0 Units @0.0000						
09/04/2018	***-**-8266 - GILL, NANCY	GLOBAL GROWTH PORTFOLIO-A	0.00	4.05	0.00	4.05	70.0	2.84
	ACCOUNT #: 00087772146	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	52.78	0.00	52.78	70.0	36.95
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-5132 - WEBER, FREDERICK	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	8.67	0.00	8.67	70.0	6.07
	ACCOUNT #: 00088817392	BUY 0 Units @0.0000						
09/04/2018	***-**-2633 - BUTLER, JAIME	NEW PERSPECTIVE FUND-A	0.00	10.57	0.00	10.57	70.0	7.40
	ACCOUNT #: 00075179061	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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WILLIAM FRANCIS
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-5076 - TORRES, JASON	NEW PERSPECTIVE FUND-A	0.00	2.73	0.00	2.73	70.0	1.91
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	NEW PERSPECTIVE FUND-A	0.00	15.34	0.00	15.34	70.0	10.74
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	NEW PERSPECTIVE FUND-A	0.00	1.90	0.00	1.90	70.0	1.33
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	0.00	2.49	0.00	2.49	70.0	1.74
	ACCOUNT #: 00088394220	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	NEW PERSPECTIVE FUND-A	0.00	7.08	0.00	7.08	70.0	4.96
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	NEW PERSPECTIVE FUND-A	0.00	3.91	0.00	3.91	70.0	2.74
	ACCOUNT #: 00088925352	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	SMALLCAP WORLD FUND-A	0.00	5.37	0.00	5.37	70.0	3.76
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	SMALLCAP WORLD FUND-A	0.00	1.28	0.00	1.28	70.0	0.90
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	SMALLCAP WORLD FUND-A	0.00	3.31	0.00	3.31	70.0	2.32
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	0.00	6.30	0.00	6.30	70.0	4.41
	ACCOUNT #: 00075179061	BUY 0 Units @0.0000						
09/04/2018	***-**-2582 - AGUIAR, DANA	THE BOND FUND OF AMERICA-A	0.00	2.04	0.00	2.04	70.0	1.43
	ACCOUNT #: 00087887914	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	THE BOND FUND OF AMERICA-A	0.00	18.13	0.00	18.13	70.0	12.69
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	THE BOND FUND OF AMERICA-A	0.00	20.98	0.00	20.98	70.0	14.69
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	THE BOND FUND OF AMERICA-A	0.00	5.68	0.00	5.68	70.0	3.98
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	THE BOND FUND OF AMERICA-A	0.00	6.16	0.00	6.16	70.0	4.31
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-9064 - GUERRERO, NIGEL	THE BOND FUND OF AMERICA-A	0.00	0.66	0.00	0.66	70.0	0.46
	ACCOUNT #: 00088394220	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-9982 - BROWN, EDWIN	THE BOND FUND OF AMERICA-A	0.00	9.49	0.00	9.49	70.0	6.64
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-6885 - BUCHANAN, ROGER	THE BOND FUND OF AMERICA-A	0.00	19.13	0.00	19.13	70.0	13.39
	ACCOUNT #: 00088653800	BUY 0 Units @0.0000						
09/04/2018	***-**-1878 - HOWANIEC, DESSA	THE BOND FUND OF AMERICA-A	0.00	3.61	0.00	3.61	70.0	2.53
	ACCOUNT #: 00088798653	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	THE GROWTH FUND OF AMERICA-A	0.00	5.98	0.00	5.98	70.0	4.19
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	THE GROWTH FUND OF AMERICA-A	0.00	30.19	0.00	30.19	70.0	21.13
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	THE GROWTH FUND OF AMERICA-A	0.00	12.08	0.00	12.08	70.0	8.46
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-6809 - FRANCIS, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	9.14	0.00	9.14	70.0	6.40
	ACCOUNT #: 00088351601	BUY 0 Units @0.0000						
09/04/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	0.00	3.48	0.00	3.48	70.0	2.44
	ACCOUNT #: 00088394220	BUY 0 Units @0.0000						
09/04/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	0.00	4.13	0.00	4.13	70.0	2.89
	ACCOUNT #: 00088824619	BUY 0 Units @0.0000						
09/05/2018	***-**-5076 - TORRES, JASON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	0.38	0.00	0.38	70.0	0.27
	ACCOUNT #: 00000751783	BUY 0 Units @0.0000						
09/04/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	0.00	8.84	0.00	8.84	70.0	6.19
	ACCOUNT #: 00075179061	BUY 0 Units @0.0000						
09/04/2018	***-**-8431 - HOWANIEC, EDWARD	THE INCOME FUND OF AMERICA-A	0.00	137.90	0.00	137.90	70.0	96.53
	ACCOUNT #: 00086726246	BUY 0 Units @0.0000						
09/04/2018	***-**-06IN - GOLDMAN, JUNE	THE INCOME FUND OF AMERICA-A	0.00	63.42	0.00	63.42	70.0	44.39
	ACCOUNT #: 00087856737	BUY 0 Units @0.0000						
09/04/2018	***-**-2582 - AGUIAR, DANA	THE INCOME FUND OF AMERICA-A	0.00	2.37	0.00	2.37	70.0	1.66
	ACCOUNT #: 00087887914	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	THE INCOME FUND OF AMERICA-A	0.00	2.41	0.00	2.41	70.0	1.69
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-9105 - OCONNOR, BARBARA	THE INCOME FUND OF AMERICA-A	0.00	48.53	0.00	48.53	70.0	33.97
	ACCOUNT #: 00088011557	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-5445 - NORTH, CHARLES	THE INCOME FUND OF AMERICA-A	0.00	35.64	0.00	35.64	70.0	24.95
	ACCOUNT #: 00088143210	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	THE INCOME FUND OF AMERICA-A	0.00	11.91	0.00	11.91	70.0	8.34
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-8658 - GILL, THERESA	THE INCOME FUND OF AMERICA-A	0.00	1.06	0.00	1.06	70.0	0.74
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-3582 - NORTH, JOANNE	THE INCOME FUND OF AMERICA-A	0.00	6.32	0.00	6.32	70.0	4.42
	ACCOUNT #: 00088269231	BUY 0 Units @0.0000						
09/04/2018	***-**-7131 - PHILLIPS, DAVID	THE INCOME FUND OF AMERICA-A	0.00	11.78	0.00	11.78	70.0	8.25
	ACCOUNT #: 00088295242	BUY 0 Units @0.0000						
09/04/2018	***-**-7757 - JOHNSON,	THE INCOME FUND OF AMERICA-A	0.00	12.46	0.00	12.46	70.0	8.72
	ACCOUNT #: 00088316251	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	THE INCOME FUND OF AMERICA-A	0.00	6.37	0.00	6.37	70.0	4.46
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-9064 - GUERRERO, NIGEL	THE INCOME FUND OF AMERICA-A	0.00	1.48	0.00	1.48	70.0	1.04
	ACCOUNT #: 00088394220	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	THE INCOME FUND OF AMERICA-A	0.00	5.49	0.00	5.49	70.0	3.84
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-6885 - BUCHANAN, ROGER	THE INCOME FUND OF AMERICA-A	0.00	63.36	0.00	63.36	70.0	44.35
	ACCOUNT #: 00088653800	BUY 0 Units @0.0000						
09/04/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	0.00	1.76	0.00	1.76	70.0	1.23
	ACCOUNT #: 00088824619	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	THE INCOME FUND OF AMERICA-A	0.00	17.19	0.00	17.19	70.0	12.03
	ACCOUNT #: 00089209664	BUY 0 Units @0.0000						
09/04/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	0.00	10.50	0.00	10.50	70.0	7.35
	ACCOUNT #: 00075179061	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	THE INVESTMENT COMPANY OF AMERICA-A	0.00	10.81	0.00	10.81	70.0	7.57
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-5076 - TORRES, JASON	THE NEW ECONOMY FUND-A	0.00	5.77	0.00	5.77	70.0	4.04
	ACCOUNT #: 00088000759	BUY 0 Units @0.0000						
09/04/2018	***-**-2538 - GOLDMAN, DANIEL	THE NEW ECONOMY FUND-A	0.00	28.66	0.00	28.66	70.0	20.06
	ACCOUNT #: 00088105535	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-8658 - GILL, THERESA	THE NEW ECONOMY FUND-A	0.00	2.05	0.00	2.05	70.0	1.44
	ACCOUNT #: 00088214150	BUY 0 Units @0.0000						
09/04/2018	***-**-3569 - ANDERSON,	THE NEW ECONOMY FUND-A	0.00	8.20	0.00	8.20	70.0	5.74
	ACCOUNT #: 00088334300	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	28.37	0.00	28.37	70.0	19.86
	ACCOUNT #: 00088145716	BUY 0 Units @0.0000						
09/04/2018	***-**-9982 - BROWN, EDWIN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	13.25	0.00	13.25	70.0	9.28
	ACCOUNT #: 00088575250	BUY 0 Units @0.0000						
09/04/2018	***-**-5132 - WEBER, FREDERICK	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	8.75	0.00	8.75	70.0	6.13
	ACCOUNT #: 00088817392	BUY 0 Units @0.0000						
09/04/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	31.77	0.00	31.77	70.0	22.24
	ACCOUNT #: 01293376129	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,916.87	\$0.00	\$2,916.87		\$2,041.91
*** BROKER TRANSACTIONS TOTAL ***			\$1,345.46	\$2,965.61	\$0.00	\$2,965.61		\$2,076.05

BROKER COMMISSION TOTALS

Broker Transactions	\$2,076.05
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	\$2,076.05
Year-to-date Earnings	\$51,783.17