



# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 11/15/2018                                   | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300     | AMCAP FUND-A<br>BUY 3 Units @33.3500                        | 90.00                | 2.48                | 0.00               | 2.48              | 70.0 | 1.74                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/12/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @15.7300   | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 11/15/2018                                   | ***-**-62UT - MAINVILLE UTMA<br>ACCOUNT #: LSR011645  | AMERICAN FUNDS INCOME PORT CL A<br>BUY 14 Units @13.0700    | 180.00               | 9.00                | 0.00               | 9.00              | 70.0 | 6.30                 |
| 11/15/2018                                   | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300     | AMERICAN MUTUAL FUND-A<br>BUY 1 Units @43.2800              | 50.00                | 1.38                | 0.00               | 1.38              | 70.0 | 0.97                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @19.6300           | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0 | 0.12                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 2 Units @19.6300           | 29.53                | 0.89                | 0.00               | 0.89              | 70.0 | 0.62                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @19.6300           | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0 | 0.12                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 2 Units @19.6300           | 29.53                | 0.89                | 0.00               | 0.89              | 70.0 | 0.62                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @19.6300           | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0 | 0.12                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 2 Units @19.6300           | 29.53                | 0.89                | 0.00               | 0.89              | 70.0 | 0.62                 |
| 11/12/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @49.6400 | 24.92                | 1.06                | 0.00               | 1.06              | 70.0 | 0.74                 |



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| DATE  | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                             |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                             |                                     |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | CAPITAL WORLD GROWTH AND INCOME FUN | 132.92               | 5.65                | 0.00               | 5.65              | 70.0 | 3.96                 |
|   | ACCOUNT #: 00088824619      | BUY 3 Units @49.6400                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | CAPITAL WORLD GROWTH AND INCOME FUN | 24.92                | 1.06                | 0.00               | 1.06              | 70.0 | 0.74                 |
|   | ACCOUNT #: 00088824619      | BUY 1 Units @49.6400                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | CAPITAL WORLD GROWTH AND INCOME FUN | 132.92               | 5.65                | 0.00               | 5.65              | 70.0 | 3.96                 |
|   | ACCOUNT #: 00088824619      | BUY 3 Units @49.6400                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | CAPITAL WORLD GROWTH AND INCOME FUN | 24.92                | 1.06                | 0.00               | 1.06              | 70.0 | 0.74                 |
|   | ACCOUNT #: 00088824619      | BUY 1 Units @49.6400                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | CAPITAL WORLD GROWTH AND INCOME FUN | 132.92               | 5.65                | 0.00               | 5.65              | 70.0 | 3.96                 |
|   | ACCOUNT #: 00088824619      | BUY 3 Units @49.6400                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619      | BUY 1 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00088824619      | BUY 0 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00088824619      | BUY 0 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619      | BUY 1 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00088824619      | BUY 0 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-6878 - KACUR, JUSTIN | EUROPACIFIC GROWTH FUND-A           | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619      | BUY 1 Units @50.3800                |                      |                     |                    |                   |      |                      |
| 11/15/2018  | ***-**-3569 - ANDERSON,     | FUNDAMENTAL INVESTORS-A             | 50.00                | 1.38                | 0.00               | 1.38              | 70.0 | 0.97                 |
|   | ACCOUNT #: 00088334300      | BUY 1 Units @63.3900                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C             | 9.50                 | 0.10                | 0.00               | 0.10              | 70.0 | 0.07                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C             | 5.40                 | 0.05                | 0.00               | 0.05              | 70.0 | 0.04                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C             | 18.00                | 0.18                | 0.00               | 0.18              | 70.0 | 0.13                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700                |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C             | 2.40                 | 0.02                | 0.00               | 0.02              | 70.0 | 0.01                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700                |                      |                     |                    |                   |      |                      |



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|---|-----------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                             |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                             |                              |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C      | 8.00                 | 0.08                | 0.00               | 0.08              | 70.0 | 0.06                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-8526 - O'LEARY, MARY | FUNDAMENTAL INVESTORS-C      | 2.85                 | 0.03                | 0.00               | 0.03              | 70.0 | 0.02                 |
|   | ACCOUNT #: 04000234328      | BUY 0 Units @60.4700         |                      |                     |                    |                   |      |                      |
| 11/15/2018  | ***-**-3569 - ANDERSON,     | THE BOND FUND OF AMERICA-A   | 75.00                | 2.06                | 0.00               | 2.06              | 70.0 | 1.44                 |
|   | ACCOUNT #: 00088334300      | BUY 6 Units @12.8100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @53.9500         |                      |                     |                    |                   |      |                      |
| 11/15/2018  | ***-**-3569 - ANDERSON,     | THE GROWTH FUND OF AMERICA-A | 70.00                | 1.93                | 0.00               | 1.93              | 70.0 | 1.35                 |
|   | ACCOUNT #: 00088334300      | BUY 1 Units @53.3900         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |
| 11/12/2018  | ***-**-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 @23.7100         |                      |                     |                    |                   |      |                      |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 11/15/2018  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300     | THE INCOME FUND OF AMERICA-A<br>BUY 2 Units @23.3900       | 50.00                | 1.38                | 0.00               | 1.38              | 70.0 | 0.97                 |
| 11/15/2018  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300     | THE NEW ECONOMY FUND-A<br>BUY 1 Units @46.6900             | 65.00                | 1.79                | 0.00               | 1.79              | 70.0 | 1.25                 |
| 11/07/2018  | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: 01293376129 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 6 Units @47.0700 | 261.44               | 4.18                | 0.00               | 4.18              | 70.0 | 2.93                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |   |  | <b>\$2,439.87</b>    | <b>\$88.62</b>      | <b>\$0.00</b>      | <b>\$88.62</b>    |      | <b>\$62.08</b>       |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>  |   |  |                      |                     |                    |                   |      |                      |
| 10/19/2018  | ***-**-2471 - COLUCCI, ATHENA<br>ACCOUNT #: LSR011898 | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 7.92                | 0.00               | 7.92              | 70.0 | 5.54                 |
| 10/19/2018  | ***-**-53IO - GIL, OMER<br>ACCOUNT #: LSR011536       | AMCAP FUND-A<br>BUY 1 Units @0.0000                        | 0.00                 | 1.36                | 0.00               | 1.36              | 70.0 | 0.95                 |
| 10/19/2018  | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: LSR011621   | AMCAP FUND-A<br>BUY 1 Units @0.0000                        | 0.00                 | 12.81               | 0.00               | 12.81             | 70.0 | 8.97                 |
| 10/19/2018  | ***-**-53IO - MOSHER, JEANINE<br>ACCOUNT #: LSR011815 | AMCAP FUND-A<br>BUY 1 Units @0.0000                        | 0.00                 | 5.18                | 0.00               | 5.18              | 70.0 | 3.63                 |
| 10/19/2018  | ***-**-82IO - AGUIAR, DANA<br>ACCOUNT #: LSR011880    | AMCAP FUND-A<br>BUY 1 Units @0.0000                        | 0.00                 | 0.54                | 0.00               | 0.54              | 70.0 | 0.38                 |
| 10/19/2018  | ***-**-57IR - GERTY, AUDRA<br>ACCOUNT #: LSR012440    | AMCAP FUND-A<br>BUY 1 Units @0.0000                        | 0.00                 | 0.12                | 0.00               | 0.12              | 70.0 | 0.08                 |
| 10/19/2018  | ***-**-460I - MILLS, ALEXIS<br>ACCOUNT #: LSR012769   | AMERICAN 2055 TARGET DATE RETIREMEN<br>BUY 1 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 70.0 | 0.75                 |
| 10/19/2018  | ***-**-091I - GLASSFORD,<br>ACCOUNT #: LSR011526      | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 2.32                | 0.00               | 2.32              | 70.0 | 1.62                 |
| 10/19/2018  | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: LSR011621   | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 14.75               | 0.00               | 14.75             | 70.0 | 10.33                |
| 10/19/2018  | ***-**-53IO - MOSHER, JEANINE<br>ACCOUNT #: LSR011815 | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 5.18                | 0.00               | 5.18              | 70.0 | 3.63                 |
| 10/19/2018  | ***-**-82IO - AGUIAR, DANA<br>ACCOUNT #: LSR011880    | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 1.21                | 0.00               | 1.21              | 70.0 | 0.85                 |
| 10/19/2018  | ***-**-91IR - GLASSFORD,<br>ACCOUNT #: LSR012316      | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 1.02                | 0.00               | 1.02              | 70.0 | 0.71                 |



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|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-57IR - GERTY, AUDRA    | AMERICAN BALANCED FUND-A           | 0.00                 | 0.15                | 0.00               | 0.15              | 70.0 | 0.11                 |
|  | ACCOUNT #: LSR012440          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-461I - FISCHER,        | AMERICAN CORPORATE BOND FUND A     | 0.00                 | 0.55                | 0.00               | 0.55              | 70.0 | 0.39                 |
|  | ACCOUNT #: LSR012487          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-247I - COLUCCI, ATHENA | AMERICAN CORPORATE BOND FUND A     | 0.00                 | 0.32                | 0.00               | 0.32              | 70.0 | 0.22                 |
|  | ACCOUNT #: LSR012592          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN      | AMERICAN CORPORATE BOND FUND A     | 0.00                 | 30.41               | 0.00               | 30.41             | 70.0 | 21.29                |
|  | ACCOUNT #: LSR012701          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-42IR - COOKE, ROBERT   | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 0.23                | 0.00               | 0.23              | 70.0 | 0.16                 |
|  | ACCOUNT #: LSR011395          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-569K - ANDERSON,       | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 2.85                | 0.00               | 2.85              | 70.0 | 2.00                 |
|  | ACCOUNT #: LSR011745          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-24UT - FARKAS, ALLISYN | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 1.46                | 0.00               | 1.46              | 70.0 | 1.02                 |
|  | ACCOUNT #: LSR011790          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-247I - COLUCCI, ATHENA | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 8.61                | 0.00               | 8.61              | 70.0 | 6.03                 |
|  | ACCOUNT #: LSR011898          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-09IO - FRANCIS, TERESA | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 0.34                | 0.00               | 0.34              | 70.0 | 0.24                 |
|  | ACCOUNT #: LSR012472          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-67IR - SHANNON,        | AMERICAN FUNDS GROWTH PORTFOLIO A  | 0.00                 | 0.05                | 0.00               | 0.05              | 70.0 | 0.04                 |
|  | ACCOUNT #: LSR012619          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-247I - COLUCCI, ATHENA | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 13.55               | 0.00               | 13.55             | 70.0 | 9.49                 |
|  | ACCOUNT #: LSR011898          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-02IO - FISCHER, ALLYSE | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 0.70                | 0.00               | 0.70              | 70.0 | 0.49                 |
|  | ACCOUNT #: LSR012367          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-09IO - FRANCIS, TERESA | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 0.62                | 0.00               | 0.62              | 70.0 | 0.43                 |
|  | ACCOUNT #: LSR012472          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-67IR - SHANNON,        | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 0.05                | 0.00               | 0.05              | 70.0 | 0.04                 |
|  | ACCOUNT #: LSR012619          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-19IR - SHEEHAN, KEELY  | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 0.69                | 0.00               | 0.69              | 70.0 | 0.48                 |
|  | ACCOUNT #: LSR012754          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-42IR - COOKE, ROBERT   | AMERICAN FUNDS INCOME PORT CL A    | 0.00                 | 0.14                | 0.00               | 0.14              | 70.0 | 0.10                 |
|  | ACCOUNT #: LSR011395          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-62UT - MAINVILLE UTMA<br>ACCOUNT #: LSR011645  | AMERICAN FUNDS INCOME PORT CL A<br>BUY 1 Units @0.0000     | 0.00                 | 0.31                | 0.00               | 0.31              | 70.0 | 0.22                 |
| 10/19/2018   | ***-**-569K - ANDERSON,<br>ACCOUNT #: LSR011745       | AMERICAN FUNDS INCOME PORT CL A<br>BUY 1 Units @0.0000     | 0.00                 | 2.62                | 0.00               | 2.62              | 70.0 | 1.83                 |
| 10/19/2018   | ***-**-976J - KILLIAN, JAMES<br>ACCOUNT #: LSR011547  | AMERICAN FUNDS T/E PRESERVATION POR<br>BUY 1 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 70.0 | 0.01                 |
| 10/19/2018   | ***-**-943J - DAILY, MATTHEW<br>ACCOUNT #: LSR011610  | AMERICAN FUNDS T/E PRESERVATION POR<br>BUY 1 Units @0.0000 | 0.00                 | 6.64                | 0.00               | 6.64              | 70.0 | 4.65                 |
| 10/19/2018   | ***-**-24UT - FARKAS, ALLISYN<br>ACCOUNT #: LSR011790 | AMERICAN FUNDS T/E PRESERVATION POR<br>BUY 1 Units @0.0000 | 0.00                 | 0.82                | 0.00               | 0.82              | 70.0 | 0.57                 |
| 10/19/2018   | ***-**-2471 - COLUCCI, ATHENA<br>ACCOUNT #: LSR011898 | AMERICAN FUNDS T/E PRESERVATION POR<br>BUY 1 Units @0.0000 | 0.00                 | 10.06               | 0.00               | 10.06             | 70.0 | 7.04                 |
| 10/19/2018   | ***-**-976J - KILLIAN, JAMES<br>ACCOUNT #: LSR011547  | AMERICAN FUNDS TAX ADVANTGED INC PO<br>BUY 1 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 70.0 | 0.27                 |
| 10/19/2018   | ***-**-943J - DAILY, MATTHEW<br>ACCOUNT #: LSR011610  | AMERICAN FUNDS TAX ADVANTGED INC PO<br>BUY 1 Units @0.0000 | 0.00                 | 1.63                | 0.00               | 1.63              | 70.0 | 1.14                 |
| 10/19/2018   | ***-**-2471 - COLUCCI, ATHENA<br>ACCOUNT #: LSR011898 | AMERICAN FUNDS TAX ADVANTGED INC PO<br>BUY 1 Units @0.0000 | 0.00                 | 13.42               | 0.00               | 13.42             | 70.0 | 9.39                 |
| 10/19/2018   | ***-**-2447 - FISCHER, MAX<br>ACCOUNT #: LSR012557    | AMERICAN HIGH-INCOME MUNI BOND FUND<br>BUY 1 Units @0.0000 | 0.00                 | 3.03                | 0.00               | 3.03              | 70.0 | 2.12                 |
| 10/19/2018   | ***-**-091I - GLASSFORD,<br>ACCOUNT #: LSR011526      | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 1.91                | 0.00               | 1.91              | 70.0 | 1.34                 |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD<br>ACCOUNT #: LSR011569   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 51.46               | 0.00               | 51.46             | 70.0 | 36.02                |
| 10/19/2018   | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: LSR011621   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 3.42                | 0.00               | 3.42              | 70.0 | 2.39                 |
| 10/19/2018   | ***-**-82IO - AGUIAR, DANA<br>ACCOUNT #: LSR011880    | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 0.45                | 0.00               | 0.45              | 70.0 | 0.32                 |
| 10/19/2018   | ***-**-91IR - GLASSFORD,<br>ACCOUNT #: LSR012316      | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 1.00                | 0.00               | 1.00              | 70.0 | 0.70                 |
| 10/19/2018   | ***-**-461I - FISCHER,<br>ACCOUNT #: LSR012487        | AMERICAN HIGH-INCOME TRUST-A<br>BUY 1 Units @0.0000        | 0.00                 | 0.23                | 0.00               | 0.23              | 70.0 | 0.16                 |



# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-2471 - COLUCCI, ATHENA  | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 0.07                | 0.00               | 0.07              | 70.0 | 0.05                 |
|  | ACCOUNT #: LSR012592           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 7.68                | 0.00               | 7.68              | 70.0 | 5.38                 |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER        | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.05                | 0.00               | 1.05              | 70.0 | 0.74                 |
|  | ACCOUNT #: LSR011536           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD    | AMERICAN MUTUAL FUND-A              | 0.00                 | 52.35               | 0.00               | 52.35             | 70.0 | 36.65                |
|  | ACCOUNT #: LSR011569           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-47FB - TORRES, SHARI    | AMERICAN MUTUAL FUND-A              | 0.00                 | 15.54               | 0.00               | 15.54             | 70.0 | 10.88                |
|  | ACCOUNT #: LSR011621           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-91IR - GLASSFORD,       | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.04                | 0.00               | 1.04              | 70.0 | 0.73                 |
|  | ACCOUNT #: LSR012316           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-57IR - GERTY, AUDRA     | AMERICAN MUTUAL FUND-A              | 0.00                 | 0.15                | 0.00               | 0.15              | 70.0 | 0.11                 |
|  | ACCOUNT #: LSR012440           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI      | AMERICAN MUTUAL FUND-A              | 0.00                 | 7.08                | 0.00               | 7.08              | 70.0 | 4.96                 |
|  | ACCOUNT #: LSR012499           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | AMERICAN MUTUAL FUND-A              | 0.00                 | 31.64               | 0.00               | 31.64             | 70.0 | 22.15                |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-2447 - FISCHER, MAX     | AMERICAN TAX EXEMPT OF NEW YORK CL  | 0.00                 | 6.98                | 0.00               | 6.98              | 70.0 | 4.89                 |
|  | ACCOUNT #: LSR012557           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-032I - JOHNSON, DARLENE | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.39                | 0.00               | 2.39              | 70.0 | 1.67                 |
|  | ACCOUNT #: LSR011358           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD    | CAPITAL INCOME BUILDER-A            | 0.00                 | 45.94               | 0.00               | 45.94             | 70.0 | 32.16                |
|  | ACCOUNT #: LSR011569           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-57IR - GERTY, AUDRA     | CAPITAL WORLD BOND FUND-A           | 0.00                 | 0.06                | 0.00               | 0.06              | 70.0 | 0.04                 |
|  | ACCOUNT #: LSR012440           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | CAPITAL WORLD BOND FUND-A           | 0.00                 | 7.49                | 0.00               | 7.49              | 70.0 | 5.24                 |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 51.91               | 0.00               | 51.91             | 70.0 | 36.34                |
|  | ACCOUNT #: LSR011569           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.30                | 0.00               | 3.30              | 70.0 | 2.31                 |
|  | ACCOUNT #: LSR012499           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
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**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 14.96               | 0.00               | 14.96             | 70.0 | 10.47                |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/19/2018   | ***-**-92IN - FITZGERALD, MARY | COLUMBIA THREADNEEDLE TRAILS        | 0.00                 | 0.83                | 0.00               | 0.83              | 70.0 | 0.58                 |
|  |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-637I - BRUSIE, DOROTHY  | EQUITY INCOME FUND, INC. A          | 0.00                 | 2.69                | 0.00               | 2.69              | 70.0 | 1.88                 |
|  | ACCOUNT #: LSR011447           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/07/2018   | ***-**-0485 - WHALEN, STEPHEN  | FEDERATED 31421R841                 | 0.00                 | 5.79                | 0.00               | 5.79              | 70.0 | 4.05                 |
|  | ACCOUNT #: 06090486215         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/07/2018   | ***-**-0485 - WHALEN, STEPHEN  | FEDERATED MID CAP GROWTH STRATEGIES | 0.00                 | 3.97                | 0.00               | 3.97              | 70.0 | 2.78                 |
|  | ACCOUNT #: 09999342087         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER        | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.84                | 0.00               | 0.84              | 70.0 | 0.59                 |
|  | ACCOUNT #: LSR011536           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - MOSHER, JEANINE  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 6.12                | 0.00               | 6.12              | 70.0 | 4.28                 |
|  | ACCOUNT #: LSR011815           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-82IO - AGUIAR, DANA     | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|  | ACCOUNT #: LSR011880           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-91IR - GLASSFORD,       | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.61                | 0.00               | 2.61              | 70.0 | 1.83                 |
|  | ACCOUNT #: LSR012316           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-39UT - CHAUVIN UTMA NY, | GLOBAL GROWTH PORTFOLIO-A           | 0.00                 | 0.94                | 0.00               | 0.94              | 70.0 | 0.66                 |
|  | ACCOUNT #: LSR011657           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-02IO - FISCHER, ALLYSE  | GLOBAL GROWTH PORTFOLIO-A           | 0.00                 | 1.05                | 0.00               | 1.05              | 70.0 | 0.74                 |
|  | ACCOUNT #: LSR012367           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER        | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.21                | 0.00               | 0.21              | 70.0 | 0.15                 |
|  | ACCOUNT #: LSR011536           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER        | NEW PERSPECTIVE FUND-A              | 0.00                 | 0.80                | 0.00               | 0.80              | 70.0 | 0.56                 |
|  | ACCOUNT #: LSR011536           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/19/2018   | ***-**-775P - RYAN, MARY       | NEW YORK 529 TRAILS                 | 0.00                 | 2.03                | 0.00               | 2.03              | 70.0 | 1.42                 |
|  | ACCOUNT #: 77321355401         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/19/2018   | ***-**-6717 - DEBONIS, BRENDA  | NEW YORK 529 TRAILS                 | 0.00                 | 0.59                | 0.00               | 0.59              | 70.0 | 0.41                 |
|  | ACCOUNT #: 77423426901         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-091I - GLASSFORD,       | OPP PORT SERIES: MOD INV FD A       | 0.00                 | 1.89                | 0.00               | 1.89              | 70.0 | 1.32                 |
|  | ACCOUNT #: LSR011526           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
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**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-637I - BRUSIE, DOROTHY | OPPENHEIMER GLOBAL HIGH YIELD CL A  | 0.00                 | 2.01                | 0.00               | 2.01              | 70.0 | 1.41                 |
|  | ACCOUNT #: LSR011447          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-637I - BRUSIE, DOROTHY | OPPENHEIMER SENIOR FLOATING RATE PL | 0.00                 | 2.11                | 0.00               | 2.11              | 70.0 | 1.48                 |
|  | ACCOUNT #: LSR011447          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-637I - BRUSIE, DOROTHY | OPPENHEIMER STEELPATH MLP INC.FND C | 0.00                 | 0.34                | 0.00               | 0.34              | 70.0 | 0.24                 |
|  | ACCOUNT #: LSR011447          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-42IR - COOKE, ROBERT   | PRESERVATION PORTFOLIO-A            | 0.00                 | 0.09                | 0.00               | 0.09              | 70.0 | 0.06                 |
|  | ACCOUNT #: LSR011395          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-09IO - FRANCIS, TERESA | PRESERVATION PORTFOLIO-A            | 0.00                 | 0.18                | 0.00               | 0.18              | 70.0 | 0.13                 |
|  | ACCOUNT #: LSR012472          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-445J - NORTH, CHARLES  | ROCHESTER FUND MUNICIPALS A         | 0.00                 | 9.38                | 0.00               | 9.38              | 70.0 | 6.57                 |
|  | ACCOUNT #: LSR011778          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER       | SMALLCAP WORLD FUND-A               | 0.00                 | 0.50                | 0.00               | 0.50              | 70.0 | 0.35                 |
|  | ACCOUNT #: LSR011536          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-57IR - GERTY, AUDRA    | SMALLCAP WORLD FUND-A               | 0.00                 | 0.06                | 0.00               | 0.06              | 70.0 | 0.04                 |
|  | ACCOUNT #: LSR012440          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI     | SMALLCAP WORLD FUND-A               | 0.00                 | 3.52                | 0.00               | 3.52              | 70.0 | 2.46                 |
|  | ACCOUNT #: LSR012499          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-2447 - FISCHER, MAX    | TAX-EXEMPT BOND FUND OF AMERICA     | 0.00                 | 9.99                | 0.00               | 9.99              | 70.0 | 6.99                 |
|  | ACCOUNT #: LSR012557          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD   | THE BOND FUND OF AMERICA-A          | 0.00                 | 18.95               | 0.00               | 18.95             | 70.0 | 13.27                |
|  | ACCOUNT #: LSR011569          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-47FB - TORRES, SHARI   | THE BOND FUND OF AMERICA-A          | 0.00                 | 8.98                | 0.00               | 8.98              | 70.0 | 6.29                 |
|  | ACCOUNT #: LSR011621          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - MOSHER, JEANINE | THE BOND FUND OF AMERICA-A          | 0.00                 | 4.01                | 0.00               | 4.01              | 70.0 | 2.81                 |
|  | ACCOUNT #: LSR011815          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-82IO - AGUIAR, DANA    | THE BOND FUND OF AMERICA-A          | 0.00                 | 1.07                | 0.00               | 1.07              | 70.0 | 0.75                 |
|  | ACCOUNT #: LSR011880          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-91IR - GLASSFORD,      | THE BOND FUND OF AMERICA-A          | 0.00                 | 2.87                | 0.00               | 2.87              | 70.0 | 2.01                 |
|  | ACCOUNT #: LSR012316          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI     | THE BOND FUND OF AMERICA-A          | 0.00                 | 10.11               | 0.00               | 10.11             | 70.0 | 7.08                 |
|  | ACCOUNT #: LSR012499          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## November 19, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-60IN - TALBOT, JENNIFER | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.49                | 0.00               | 0.49              | 70.0 | 0.34                 |
|  | ACCOUNT #: LSR011386           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-47FB - TORRES, SHARI    | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 8.86                | 0.00               | 8.86              | 70.0 | 6.20                 |
|  | ACCOUNT #: LSR011621           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.13                | 0.00               | 7.13              | 70.0 | 4.99                 |
|  | ACCOUNT #: LSR012499           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-247I - COLUCCI, ATHENA  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|  | ACCOUNT #: LSR012592           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 38.80               | 0.00               | 38.80             | 70.0 | 27.16                |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 11/02/2018   | ***-**-5076 - TORRES, JASON    | THE HARTFORD DIVIDEND & GROWTH FUND | 0.00                 | 0.37                | 0.00               | 0.37              | 70.0 | 0.26                 |
|  | ACCOUNT #: 00000751783         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-032I - JOHNSON, DARLENE | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.75                | 0.00               | 2.75              | 70.0 | 1.93                 |
|  | ACCOUNT #: LSR011358           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - GIL, OMER        | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.47                | 0.00               | 0.47              | 70.0 | 0.33                 |
|  | ACCOUNT #: LSR011536           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-55IO - KOMAR, EDWARD    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 27.10               | 0.00               | 27.10             | 70.0 | 18.97                |
|  | ACCOUNT #: LSR011569           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-91IR - GLASSFORD,       | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|  | ACCOUNT #: LSR012316           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-461I - FISCHER,         | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.56                | 0.00               | 0.56              | 70.0 | 0.39                 |
|  | ACCOUNT #: LSR012487           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-247I - COLUCCI, ATHENA  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.20                | 0.00               | 0.20              | 70.0 | 0.14                 |
|  | ACCOUNT #: LSR012592           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-00IO - DEWEY, JAN       | THE INCOME FUND OF AMERICA-A        | 0.00                 | 23.11               | 0.00               | 23.11             | 70.0 | 16.18                |
|  | ACCOUNT #: LSR012701           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-091I - GLASSFORD,       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.75                | 0.00               | 2.75              | 70.0 | 1.93                 |
|  | ACCOUNT #: LSR011526           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-53IO - MOSHER, JEANINE  | THE NEW ECONOMY FUND-A              | 0.00                 | 1.33                | 0.00               | 1.33              | 70.0 | 0.93                 |
|  | ACCOUNT #: LSR011815           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-57IR - GERTY, AUDRA     | THE NEW ECONOMY FUND-A              | 0.00                 | 0.06                | 0.00               | 0.06              | 70.0 | 0.04                 |
|  | ACCOUNT #: LSR012440           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

November 19, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-439I - DAILY, RONI     | THE NEW ECONOMY FUND-A             | 0.00                 | 3.39                | 0.00               | 3.39              | 70.0 | 2.37                 |
|  | ACCOUNT #: LSR012499          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-47FB - TORRES, SHARI   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 12.29               | 0.00               | 12.29             | 70.0 | 8.60                 |
|  | ACCOUNT #: LSR011621          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-461I - FISCHER,        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.92                | 0.00               | 0.92              | 70.0 | 0.64                 |
|  | ACCOUNT #: LSR012487          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 10/19/2018   | ***-**-2471 - COLUCCI, ATHENA | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.41                | 0.00               | 0.41              | 70.0 | 0.29                 |
|  | ACCOUNT #: LSR012592          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                    | <b>\$0.00</b>        | <b>\$700.11</b>     | <b>\$0.00</b>      | <b>\$700.11</b>   |      | <b>\$490.15</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                    | <b>\$2,439.87</b>    | <b>\$788.73</b>     | <b>\$0.00</b>      | <b>\$788.73</b>   |      | <b>\$552.23</b>      |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$552.23 |
| 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   |

|                              |                    |
|------------------------------|--------------------|
| <b>Net Commission Earned</b> | <b>\$552.23</b>    |
| <b>Year-to-date Earnings</b> | <b>\$60,985.30</b> |