



COMMISSION STATEMENT

November 05, 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>								
10/15/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	40.00	1.60	0.00	1.60	70.0	1.12
	ACCOUNT #: 04752066331	BUY 1 Units @38.3600						
10/30/2018	***-**-47FB - TORRES, SHARI	AMCAP FUND-A	159.80	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @31.5500						
10/31/2018	***-**-010X -	AMCAP FUND-A	9,588.00	407.49	18.00	389.49	70.0	272.64
	ACCOUNT #: LSR012878	BUY 286 Units @33.5800						
10/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	195.02	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 7 Units @26.6600						
10/31/2018	***-**-585J - LAURICELLA, ADAM	AMERICAN FUNDS TAX ADVANTGED INC PO	550.00	16.50	18.00	-1.50	100.0	-1.50
	ACCOUNT #: LSR012755	BUY 40 Units @13.7400						
10/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	46.98	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @10.0300						
10/31/2018	***-**-010X -	AMERICAN HIGH-INCOME TRUST-A	1,916.00	57.48	18.00	39.48	70.0	27.64
	ACCOUNT #: LSR012878	BUY 183 Units @10.4500						
10/30/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	204.57	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @40.9300						
10/29/2018	***-**-792J - FITZGERALD, MARY	CALVERT CONSERVATIVE ALLOC CL C-NFS	4,750.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012646	SELL 290 Units @16.4000						
10/22/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	160.00	4.40	0.00	4.40	70.0	3.08
	ACCOUNT #: 00186955359	BUY 4 Units @36.3000						
10/22/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	190.00	5.23	0.00	5.23	70.0	3.66
	ACCOUNT #: 00186955359	BUY 32 Units @5.9000						
10/22/2018	***-**-5922 - HOTAILING,	PUTNAM INTERNATIONAL EQUITY-A	80.00	2.20	0.00	2.20	70.0	1.54
	ACCOUNT #: 00186955359	BUY 3 Units @23.6900						
10/22/2018	***-**-5922 - HOTAILING,	PUTNAM MID-CAP VALUE FUND-A	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 3 Units @20.8800						
10/22/2018	***-**-5922 - HOTAILING,	PUTNAM SMALL CAP GROWTH FUND CLASS	60.00	1.65	0.00	1.65	70.0	1.16
	ACCOUNT #: 00186955359	BUY 1 Units @42.3800						
10/30/2018	***-**-47FB - TORRES, SHARI	THE BOND FUND OF AMERICA-A	124.62	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 10 Units @12.3900						
10/31/2018	***-**-010X -	THE BOND FUND OF AMERICA-A	3,835.00	115.05	18.00	97.05	70.0	67.94
	ACCOUNT #: LSR012878	BUY 299 Units @12.8400						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
10/30/2018	***-**-47FB - TORRES, SHARI	THE GROWTH FUND OF AMERICA-A	109.31	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 2 Units @50.3500						
10/31/2018	***-**-010X -	THE INCOME FUND OF AMERICA-A	3,835.01	162.98	18.00	144.98	70.0	101.49
	ACCOUNT #: LSR012878	BUY 163 Units @23.4600						
10/31/2018	***-**-010X -	THE NEW ECONOMY FUND-A	5,752.99	244.50	18.00	226.50	70.0	158.55
	ACCOUNT #: LSR012878	BUY 123 Units @46.7700						
10/30/2018	***-**-47FB - TORRES, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	159.19	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 4 Units @44.0600						
10/31/2018	***-**-010X -	WASHINGTON MUTUAL INVESTORS FUND-A	13,423.00	570.47	18.00	552.47	70.0	386.73
	ACCOUNT #: LSR012878	BUY 287 Units @46.7500						
* MUTUAL FUNDS SUBTOTAL *			\$45,239.49	\$1,591.20	\$144.00	\$1,447.20		\$1,007.21
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
10/31/2018	***-**-7131 - PHILLIPS, DAVID	MASS MUTUAL VA DTCC TRAILS	0.00	60.12	0.00	60.12	70.0	42.08
	ACCOUNT #: EVN46024214	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$60.12	\$0.00	\$60.12		\$42.08
*** BROKER TRANSACTIONS TOTAL ***			\$45,239.49	\$1,651.32	\$144.00	\$1,507.32		\$1,049.29



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						<u>BROKER COMMISSION TOTALS</u>			
						Broker Transactions		\$1,049.29	
						Split Transactions		\$0.00	
						Override Transactions		\$0.00	
						Adjustments		\$0.00	
						Payroll Draw		\$0.00	
						Base Salary		\$0.00	
						Prior Period Balance		\$0.00	
						FINRA Assessment		\$0.00	
						SIPC Assessment		\$0.00	
						Net Commission Earned		\$1,049.29	
						Year-to-date Earnings		\$60,260.37	