



# COMMISSION STATEMENT

## November 19, 2018

DAVID BRODER  
143 Longfellow Rd  
Shelton, CT 06484

BROKER #: 198  
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/13/2018	***-**-674I - RAMSEY, MARION	JOHN HANCOCK TECHNICAL OPPS CL A	20.66	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @11.8800						
11/13/2018	***-**-674I - RAMSEY, MARION	PL PORTFOLIO OPTIMIZATION MODERATE	7.53	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 1 Units @13.9000						
11/01/2018	***-**-31RI - BRUNO, CAROL	PUTNAM EQUITY INCOME FUND-A	100.00	5.00	0.00	5.00	70.0	3.50
	ACCOUNT #: 00551361268	BUY 4 Units @25.9900						
11/13/2018	***-**-674I - RAMSEY, MARION	PUTNAM EQUITY INCOME FUND-A	59.61	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 2 Units @24.2200						
11/13/2018	***-**-674I - RAMSEY, MARION	PUTNAM HIGH YIELD ADVANTAGE-A	136.84	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR012275	SELL 24 Units @5.6600						
11/05/2018	***-**-7360 - UNGER, HELEN	RESOURCE CREDIT INCOME FUND A	-25,000.00	-1,375.00	-18.00	-1,357.00	70.0	-949.90
	ACCOUNT #: LSR012925	CANCEL 2137 Units @11.7000						
11/05/2018	***-**-7360 - UNGER, HELEN	RESOURCE REAL ESTATES-NFS	-25,000.01	-1,375.00	-18.00	-1,357.00	70.0	-949.90
	ACCOUNT #: LSR012925	CANCEL 2269 Units @11.0200						
* MUTUAL FUNDS SUBTOTAL *			<b>\$-49,675.37</b>	<b>\$-2,745.00</b>	<b>\$-36.00</b>	<b>\$-2,709.00</b>		<b>\$-1,896.30</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/06/2018	***-**-18IN - SANCHEZ, THERESA	PACIFIC LIFE VA COMM	9.66	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: VM15002308	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$9.66</b>	<b>\$0.53</b>	<b>\$0.00</b>	<b>\$0.53</b>		<b>\$0.37</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/19/2018	***-**-5134 - KOONTZ, JOSEPH	CHET ADVISOR 529 TRAILS	0.00	0.08	0.00	0.08	70.0	0.06
	ACCOUNT #: 68455548301	BUY 0 Units @0.0000						
11/19/2018	***-**-26IN - SANTOS, FATIMA	CHET ADVISOR 529 TRAILS	0.00	3.90	0.00	3.90	70.0	2.73
	ACCOUNT #: 68526609201	BUY 0 Units @0.0000						
11/19/2018	***-**-925P - FENGLER, DANIEL	CHET ADVISOR 529 TRAILS	0.00	2.24	0.00	2.24	70.0	1.57
	ACCOUNT #: 68939901201	BUY 0 Units @0.0000						
11/07/2018	***-**-7210 - GUARNA, CATERINA	FA 529 EQUITY INCOME PORT	0.00	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 01488781368	BUY 0 Units @0.0000						
11/07/2018	***-**-49IN - TALLO, ROSE	FA 529 MID CAP PORT - CL A	0.00	0.19	0.00	0.19	70.0	0.13
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
11/07/2018	***-**-49IN - TALLO, ROSE	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
11/07/2018	***-**-49IN - TALLO, ROSE	FA 529 VALUE STRATEGIES PORT-CL A	0.00	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: 01444479446	BUY 0 Units @0.0000						
11/07/2018	***-**-49IN - TALLO, ROSE	FIDELITY ADV ASSET MANAGER 60% CL A	0.00	1.34	0.00	1.34	70.0	0.94
	ACCOUNT #: 01445268004	BUY 0 Units @0.0000						
10/19/2018	***-**-26IN - SANTOS, FATIMA	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.54	0.00	0.54	70.0	0.38
	ACCOUNT #: LSR011234	BUY 1 Units @0.0000						
10/19/2018	***-**-340J - PERRONE,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	12.54	0.00	12.54	70.0	8.78
	ACCOUNT #: LSR011761	BUY 1 Units @0.0000						
10/19/2018	***-**-031X - CAROL A BRUNO,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	1.44	0.00	1.44	70.0	1.01
	ACCOUNT #: LSR011974	BUY 1 Units @0.0000						
10/19/2018	***-**-84IR - FARQUHAR, TARA	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	0.38	0.00	0.38	70.0	0.27
	ACCOUNT #: LSR012312	BUY 1 Units @0.0000						
10/19/2018	***-**-732J - FARQUHAR,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	1.36	0.00	1.36	70.0	0.95
	ACCOUNT #: LSR012313	BUY 1 Units @0.0000						
10/19/2018	***-**-521I - SCHRYNEMAKERS,	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	7.98	0.00	7.98	70.0	5.59
	ACCOUNT #: LSR010663	BUY 1 Units @0.0000						
10/19/2018	***-**-809I - RICH, JOSEPH	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	4.24	0.00	4.24	70.0	2.97
	ACCOUNT #: LSR010668	BUY 1 Units @0.0000						
10/19/2018	***-**-069I - RICH, PATRICIA	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	3.92	0.00	3.92	70.0	2.74
	ACCOUNT #: LSR010684	BUY 1 Units @0.0000						
10/19/2018	***-**-76TR - STEELE	FIDELITY ADV BIOTECHNOLOGY-CL T	0.00	11.94	0.00	11.94	70.0	8.36
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
10/19/2018	***-**-76TR - STEELE	FIDELITY ADV CONSUMER STAPLES-CL T	0.00	8.82	0.00	8.82	70.0	6.17
	ACCOUNT #: LSR011320	BUY 1 Units @0.0000						
10/19/2018	***-**-031X - CAROL A BRUNO,	FIDELITY ADV FINANCIAL SERVICES CL	0.00	1.31	0.00	1.31	70.0	0.92
	ACCOUNT #: LSR011974	BUY 1 Units @0.0000						
10/19/2018	***-**-573K - THEODORIDIS,	FIDELITY ADV FINANCIAL SERVICES CL	0.00	0.81	0.00	0.81	70.0	0.57
	ACCOUNT #: LSR012532	BUY 1 Units @0.0000						
10/19/2018	***-**-809I - RICH, JOSEPH	FIDELITY ADV HEALTH CARE CL T	0.00	14.20	0.00	14.20	70.0	9.94
	ACCOUNT #: LSR010668	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-069I - RICH, PATRICIA ACCOUNT #: LSR010684	FIDELITY ADV HEALTH CARE CL T BUY 1 Units @0.0000	0.00	6.86	0.00	6.86	70.0	4.80
10/19/2018	***-**-031X - CAROL A BRUNO, ACCOUNT #: LSR011974	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	70.0	0.98
10/19/2018	***-**-8090 - RICH, JOSEPH ACCOUNT #: LSR012491	FIDELITY ADV INDUSTRIALS CL A BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	70.0	0.71
10/19/2018	***-**-84IR - FARQUHAR, TARA ACCOUNT #: LSR012312	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	70.0	0.59
10/19/2018	***-**-732J - FARQUHAR, ACCOUNT #: LSR012313	FIDELITY ADV NEW INSIGHTS-CL A BUY 1 Units @0.0000	0.00	2.66	0.00	2.66	70.0	1.86
11/07/2018	***-**-472I - PARADIS, URSULA ACCOUNT #: 01455315984	FIDELITY ADV STRATEGIC INCOME CL A BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	70.0	2.04
11/07/2018	***-**-1111 - ROMANOVSKY, ACCOUNT #: 01456178423	FIDELITY ADV TOTAL BOND-CL T BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	70.0	2.01
11/07/2018	***-**-49IN - TALLO, ROSE ACCOUNT #: 01444479446	FIDELITY ADV TRAILS 31580T877 BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	70.0	0.03
10/19/2018	***-**-521I - SCHRYNEMAKERS, ACCOUNT #: LSR010663	FIDELITY ADVISOR EQUITY INCOME CL T BUY 1 Units @0.0000	0.00	15.14	0.00	15.14	70.0	10.60
10/19/2018	***-**-43IN - RISKALLA, ACCOUNT #: LSR010472	FIDELITY ADVISOR REAL ESTATE INCOME BUY 1 Units @0.0000	0.00	3.38	0.00	3.38	70.0	2.37
10/19/2018	***-**-889I - BAILLARGEON, ACCOUNT #: LSR012333	JANUS HENDERSON GBL EQUITY INC CL BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	70.0	0.95
10/19/2018	***-**-8090 - RICH, JOSEPH ACCOUNT #: LSR012491	JANUS HENDERSON GBL EQUITY INC CL BUY 1 Units @0.0000	0.00	3.71	0.00	3.71	70.0	2.60
11/14/2018	***-**-57IR - SOCHA, CYNTHIA ACCOUNT #: 00002019641	JOHN HANCOCK TECHNICAL OPPS CL A BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	70.0	1.63
11/14/2018	***-**-118I - PIRULLI, DEBORAH ACCOUNT #: 00002034826	STRATEGIC INCOME A BUY 0 Units @0.0000	0.00	5.05	0.00	5.05	70.0	3.54
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$128.41</b>	<b>\$0.00</b>	<b>\$128.41</b>		<b>\$89.92</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
11/16/2018	***-**-31IR - BRUNO, CAROL	PACIFIC LIFE CUSIP 69448B191-NSCC	0.00	64.93	0.00	64.93	70.0	45.45
	ACCOUNT #: VM17004817	BUY 0 Units @0.0000						
11/03/2018	***-**-00IN - BRANT, LORI	PACIFIC LIFE VOYAGES	0.00	6.08	0.00	6.08	70.0	4.26
	ACCOUNT #: VR13005736	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$71.01	\$0.00	\$71.01		\$49.71
*** BROKER TRANSACTIONS TOTAL ***			\$-49,665.71	\$-2,545.05	\$-36.00	\$-2,509.05		\$-1,756.30

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$-1,756.30
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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$-1,756.30
Year-to-date Earnings	\$42,258.98