



# COMMISSION STATEMENT

## November 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
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>								
11/01/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	31.10	1.32	0.00	1.32	80.0	1.06
	ACCOUNT #: 04001030377	BUY 1 Units @34.1500						
11/01/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	18.66	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 04001030377	BUY 1 Units @34.1500						
11/01/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	98.71	4.20	0.00	4.20	80.0	3.36
	ACCOUNT #: 04001030237	BUY 5 Units @19.6800						
11/01/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	28.20	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 04001030237	BUY 1 Units @19.6800						
10/29/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	33.74	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00083064667	BUY 1 Units @27.3600						
10/29/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00083064667	BUY 1 Units @27.3600						
10/29/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 04000563712	BUY 2 Units @27.3600						
10/29/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04000563712	BUY 6 Units @27.3600						
10/31/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	24.89	1.06	0.00	1.06	80.0	0.85
	ACCOUNT #: 04000812765	BUY 1 Units @28.2000						
10/31/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	16.38	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 04000812765	BUY 1 Units @28.2000						
11/01/2018	***-**-065P - LEE, DANA	AMERICAN BALANCED FUND-A	150.01	6.38	0.00	6.38	80.0	5.10
	ACCOUNT #: 00064518010	BUY 5 Units @28.3800						
11/02/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @27.2700						
11/02/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @27.2700						
11/02/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00081806027	BUY 0 Units @27.2700						
11/01/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04001030342	BUY 15 Units @26.7700						
11/01/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	26.84	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 04001030342	BUY 1 Units @26.7700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/29/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00087513340	BUY 2 Units @12.7000						
10/29/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	21.01	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00087513340	BUY 2 Units @12.7000						
10/31/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	90.00	3.83	0.00	3.83	80.0	3.06
	ACCOUNT #: 04000812746	BUY 6 Units @14.8900						
10/31/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812746	BUY 5 Units @14.8900						
11/01/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	65.77	2.80	0.00	2.80	80.0	2.24
	ACCOUNT #: 04001030247	BUY 4 Units @15.0400						
11/01/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	28.19	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 04001030247	BUY 2 Units @15.0400						
11/01/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	31.03	1.32	0.00	1.32	80.0	1.06
	ACCOUNT #: 04001030256	BUY 2 Units @15.0400						
11/01/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	31.03	1.32	0.00	1.32	80.0	1.06
	ACCOUNT #: 04001030256	BUY 2 Units @15.0400						
11/01/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	27.76	1.18	0.00	1.18	80.0	0.94
	ACCOUNT #: 04001030268	BUY 2 Units @15.0400						
11/01/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	46.27	1.97	0.00	1.97	80.0	1.58
	ACCOUNT #: 04001030268	BUY 3 Units @15.0400						
11/01/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	160.00	6.80	0.00	6.80	80.0	5.44
	ACCOUNT #: 04001030467	BUY 11 Units @15.0400						
11/01/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	50.83	2.16	0.00	2.16	80.0	1.73
	ACCOUNT #: 04001030467	BUY 3 Units @15.0400						
11/01/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04001030397	BUY 18 Units @14.0000						
11/01/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04001030397	BUY 1 Units @14.0000						
10/29/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	118.85	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 04000563724	BUY 8 Units @14.7900						
10/29/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	44.57	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04000563724	BUY 3 Units @14.7900						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/31/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	90.00	3.83	0.00	3.83	80.0	3.06
	ACCOUNT #: 04000813270	BUY 6 Units @15.3200						
10/31/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000813270	BUY 5 Units @15.3200						
10/31/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	300.00	12.75	0.00	12.75	80.0	10.20
	ACCOUNT #: 04000812733	BUY 19 Units @15.6800						
10/31/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812733	BUY 5 Units @15.6800						
10/31/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @15.6800						
10/31/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @15.6800						
11/01/2018	***-**-0258 - LALIBERTE,	AMERICAN FUNDS 2040 TARGET DATE-A	250.00	10.63	0.00	10.63	80.0	8.50
	ACCOUNT #: 04001030407	BUY 16 Units @15.8800						
11/01/2018	***-**-0258 - LALIBERTE,	AMERICAN FUNDS 2040 TARGET DATE-A	30.56	1.30	0.00	1.30	80.0	1.04
	ACCOUNT #: 04001030407	BUY 2 Units @15.8800						
11/01/2018	***-**-5529 - BINETTE, JASON	AMERICAN FUNDS 2040 TARGET DATE-A	69.84	2.97	0.00	2.97	80.0	2.38
	ACCOUNT #: 04001030412	BUY 4 Units @15.8800						
11/01/2018	***-**-5529 - BINETTE, JASON	AMERICAN FUNDS 2040 TARGET DATE-A	20.95	0.89	0.00	0.89	80.0	0.71
	ACCOUNT #: 04001030412	BUY 1 Units @15.8800						
11/01/2018	***-**-0355 - PERREAULT,	AMERICAN FUNDS 2040 TARGET DATE-A	240.00	10.20	0.00	10.20	80.0	8.16
	ACCOUNT #: 04001030442	BUY 15 Units @15.8800						
11/01/2018	***-**-0355 - PERREAULT,	AMERICAN FUNDS 2040 TARGET DATE-A	73.20	3.11	0.00	3.11	80.0	2.49
	ACCOUNT #: 04001030442	BUY 5 Units @15.8800						
10/29/2018	***-**-945P - MORIARTY,	AMERICAN FUNDS 2050 TARGET DATE-A	45.41	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 00081526588	BUY 3 Units @15.0200						
10/29/2018	***-**-945P - MORIARTY,	AMERICAN FUNDS 2050 TARGET DATE-A	187.00	5.14	0.00	5.14	80.0	4.11
	ACCOUNT #: 00081526588	BUY 12 Units @15.0200						
10/29/2018	***-**-6923 - MELIN-MILES,	AMERICAN FUNDS 2050 TARGET DATE-A	50.30	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 04000563702	BUY 3 Units @15.0200						
10/29/2018	***-**-6923 - MELIN-MILES,	AMERICAN FUNDS 2050 TARGET DATE-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 04000563702	BUY 7 Units @15.0200						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/01/2018	***-**-7830 - COLELLA, CASEY	AMERICAN FUNDS 2050 TARGET DATE-A	35.02	1.49	0.00	1.49	80.0	1.19
	ACCOUNT #: 04001030287	BUY 2 Units @15.8100						
11/01/2018	***-**-7830 - COLELLA, CASEY	AMERICAN FUNDS 2050 TARGET DATE-A	35.02	1.49	0.00	1.49	80.0	1.19
	ACCOUNT #: 04001030287	BUY 2 Units @15.8100						
11/01/2018	***-**-5292 - BINETTE, JEREMY	AMERICAN FUNDS 2060 TARGET DATE-A	24.61	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 04001030422	BUY 2 Units @12.9500						
11/01/2018	***-**-5292 - BINETTE, JEREMY	AMERICAN FUNDS 2060 TARGET DATE-A	14.77	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 04001030422	BUY 1 Units @12.9500						
11/02/2018	***-**-0611 - FAULKNER,	AMERICAN FUNDS 2060 TARGET DATE-A	75.00	0.90	0.00	0.90	80.0	0.72
	ACCOUNT #: 04000827629	BUY 6 Units @12.4600						
11/01/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	31.09	1.32	0.00	1.32	80.0	1.06
	ACCOUNT #: 04001030377	BUY 1 Units @43.4100						
11/01/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	18.65	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 04001030377	BUY 0 Units @43.4100						
11/01/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	49.94	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04001030438	BUY 1 Units @48.0100						
11/01/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	18.73	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @48.0100						
11/01/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	33.29	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: 04001030438	BUY 1 Units @44.1900						
11/01/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.48	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @44.1900						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$4,471.01</b>	<b>\$138.63</b>	<b>\$0.00</b>	<b>\$138.63</b>		<b>\$110.86</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
11/05/2018	***-**-72IN - ROSEN, THOMAS	JACKSON PERSEPCTIVE ADVANTAGE A	5,000.00	250.00	0.00	250.00	80.0	200.00
	ACCOUNT #: 009102606A	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$5,000.00</b>	<b>\$250.00</b>	<b>\$0.00</b>	<b>\$250.00</b>		<b>\$200.00</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/31/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN GROWTH FUND CLASS A	0.00	40.67	0.00	40.67	80.0	32.54
	ACCOUNT #:	000060177222593	BUY 0 Units @0.0000					
10/31/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	0.00	15.66	0.00	15.66	80.0	12.53
	ACCOUNT #:	000090236508494	BUY 0 Units @0.0000					
10/31/2018	***-**-078I - PELLETIER,	FT 2015 RETIREMENT TARGET FUND - CL	0.00	17.82	0.00	17.82	80.0	14.26
	ACCOUNT #:	000000000017588	BUY 0 Units @0.0000					
10/31/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	28.67	0.00	28.67	80.0	22.94
	ACCOUNT #:	000000007745197	BUY 0 Units @0.0000					
11/12/2018	***-**-700I - NIHILL, TODD	SAMMONS MF TRAILS	0.00	34.13	0.00	34.13	80.0	27.30
	ACCOUNT #:	7200019445	BUY 0 Units @0.0000					
10/31/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	0.00	21.18	0.00	21.18	80.0	16.94
	ACCOUNT #:	000006984020841	BUY 0 Units @0.0000					
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$158.13</b>	<b>\$0.00</b>	<b>\$158.13</b>		<b>\$126.51</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$9,471.01</b>	<b>\$546.76</b>	<b>\$0.00</b>	<b>\$546.76</b>		<b>\$437.37</b>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$437.37
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	\$437.37
Year-to-date Earnings	\$98,977.71