



COMMISSION STATEMENT

October 15, 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>								
10/10/2018	***-**-42IR - COOKE, ROBERT ACCOUNT #: LSR011395	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 57 Units @19.5600	1,107.66	55.38	0.00	55.38	70.0	38.77
10/10/2018	***-**-42IR - COOKE, ROBERT ACCOUNT #: LSR011395	AMERICAN FUNDS INCOME PORT CL A BUY 51 Units @13.1500	664.60	33.23	0.00	33.23	70.0	23.26
10/04/2018	***-**-943J - DAILY, MATTHEW ACCOUNT #: LSR011610	AMERICAN FUNDS TAX ADVANTGED INC PO BUY 35 Units @14.1200	500.00	13.75	0.00	13.75	70.0	9.63
09/17/2018	***-**-3987 - LINGE, MARY ACCOUNT #: 08351856019	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	70.0	3.33
09/20/2018	***-**-0485 - WHALEN, STEPHEN ACCOUNT #: 06090486215	FEDERATED 31421R841 BUY 2 Units @21.2700	50.00	2.50	0.00	2.50	70.0	1.75
09/17/2018	***-**-3987 - LINGE, MARY ACCOUNT #: 00100031714	OPPENHEIMER CORP. BOND FUND A BUY 0 Units @0.0000	50.00	2.00	0.00	2.00	70.0	1.40
09/17/2018	***-**-3987 - LINGE, MARY ACCOUNT #: 01952249841	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	70.0	1.67
10/10/2018	***-**-42IR - COOKE, ROBERT ACCOUNT #: LSR011395	PRESERVATION PORTFOLIO-A BUY 45 Units @9.9400	443.06	8.86	0.00	8.86	70.0	6.20
09/24/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 4 Units @38.6300	160.00	4.40	0.00	4.40	70.0	3.08
09/24/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM HIGH YIELD ADVANTAGE-A BUY 32 Units @5.9800	190.00	5.23	0.00	5.23	70.0	3.66
09/24/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM INTERNATIONAL EQUITY-A BUY 3 Units @26.0600	80.00	2.20	0.00	2.20	70.0	1.54
09/24/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM MID-CAP VALUE FUND-A BUY 3 Units @22.6600	60.00	1.65	0.00	1.65	70.0	1.16
09/24/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 1 Units @47.2600	60.00	1.65	0.00	1.65	70.0	1.16
* MUTUAL FUNDS SUBTOTAL *			\$3,515.32	\$137.98	\$0.00	\$137.98		\$96.61



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
10/15/2018	***-**-9587 - FILTER COMPANY,	MASS MUTUAL VA	0.00	1,469.49	0.00	1,469.49	70.0	1,028.64
	ACCOUNT #: 836356	BUY 1 Units @0.0000						
10/15/2018	***-**-5233 - DUTCHESS,	MASS MUTUAL VA	0.00	397.38	0.00	397.38	70.0	278.17
	ACCOUNT #: 841406	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$1,866.87	\$0.00	\$1,866.87		\$1,306.81
PRODUCT CATEGORY: 529 PLAN								
10/15/2018	***-**-775P - RYAN, MARY	NY 529 ADDITIONAL DEPOSIT	238.68	10.13	0.00	10.13	70.0	7.09
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$238.68	\$10.13	\$0.00	\$10.13		\$7.09
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/02/2018	***-**-3023 - DEWEY, STEVEN	AIG STRATEGIC BOND FUND CLASS A	0.00	2.57	0.00	2.57	70.0	1.80
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
10/08/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	4.93	0.00	4.93	70.0	3.45
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
10/08/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	37.25	0.00	37.25	70.0	26.08
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
10/08/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	37.06	0.00	37.06	70.0	25.94
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
10/08/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN GLO GOVT INC TRST	0.00	48.91	0.00	48.91	70.0	34.24
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
10/08/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	8.75	0.00	8.75	70.0	6.13
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
10/08/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	45.10	0.00	45.10	70.0	31.57
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
10/08/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	6.49	0.00	6.49	70.0	4.54
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
10/02/2018	***-**-2471 - COLUCCI, ATHENA	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	14.76	0.00	14.76	70.0	10.33
	ACCOUNT #: 01224249951	BUY 0 Units @0.0000						
10/04/2018	***-**-943J - DAILY, MATTHEW	AMERICAN FUNDS T/E PRESERVATION POR	1,500.00	30.00	0.00	30.00	70.0	21.00
	ACCOUNT #: LSR011610	BUY 152 Units @9.8400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131582454	0.00	18.60	0.00	18.60	70.0	13.02
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131618704	0.00	13.06	0.00	13.06	70.0	9.14
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 13161P805	0.00	5.54	0.00	5.54	70.0	3.88
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 13161T104	0.00	0.14	0.00	0.14	70.0	0.10
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 13161X808	0.00	25.29	0.00	25.29	70.0	17.70
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649402	0.00	5.96	0.00	5.96	70.0	4.17
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649865	0.00	3.77	0.00	3.77	70.0	2.64
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649881	0.00	0.51	0.00	0.51	70.0	0.36
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT BALANCED PORTFOLIO - A	0.00	12.62	0.00	12.62	70.0	8.83
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT CAPITAL ACCUMULATION - A	0.00	0.51	0.00	0.51	70.0	0.36
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT LONG-TERM INCOME FUND	0.00	0.82	0.00	0.82	70.0	0.57
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SMALL CAP VALUE FUND	0.00	0.95	0.00	0.95	70.0	0.67
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	0.65	0.00	0.65	70.0	0.46
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FUND BOND	0.00	0.39	0.00	0.39	70.0	0.27
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/02/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT ULTRA SHORT INCOME - A	0.00	2.13	0.00	2.13	70.0	1.49
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
10/15/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	1.94	0.00	1.94	70.0	1.36
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/15/2018	***-**-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						
10/01/2018	***-**-9351 - AGUIAR, JOSEPH	PUTNAM ABSOLUTE RETURN 700-A	0.00	16.04	0.00	16.04	70.0	11.23
	ACCOUNT #: 00551352400	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.70	0.00	0.70	70.0	0.49
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	0.00	7.09	0.00	7.09	70.0	4.96
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	3.57	0.00	3.57	70.0	2.50
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	39.03	0.00	39.03	70.0	27.32
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-8786 - RUBIN, SCOTT	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	226.60	0.00	226.60	70.0	158.62
	ACCOUNT #: 00551359332	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.83	0.00	3.83	70.0	2.68
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	30.18	0.00	30.18	70.0	21.13
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	2.26	0.00	2.26	70.0	1.58
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM INTERNATIONAL EQUITY-A	0.00	12.56	0.00	12.56	70.0	8.79
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM INTL GROWTH & INC-A	0.00	2.10	0.00	2.10	70.0	1.47
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM MID-CAP VALUE FUND-A	0.00	13.36	0.00	13.36	70.0	9.35
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM MID-CAP VALUE FUND-A	0.00	3.51	0.00	3.51	70.0	2.46
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/01/2018	***-**-5922 - HOTAILING,	PUTNAM SMALL CAP GROWTH FUND CLASS	0.00	5.13	0.00	5.13	70.0	3.59
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
10/01/2018	***-**-8786 - RUBIN, SCOTT	PUTNAM SMALL CAP GROWTH FUND CLASS	0.00	221.60	0.00	221.60	70.0	155.12
	ACCOUNT #: 00551359332	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***--1507 - WHALEN, BONNIE	PUTNAM U.S. GOVT INCOME TR-A	0.00	1.74	0.00	1.74	70.0	1.22
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
10/02/2018	***--3023 - DEWEY, STEVEN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	5.83	0.00	5.83	70.0	4.08
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
10/02/2018	***--7748 - MCCANNA, GLORIA	WORLD VALUES INTERNATIONAL EQUITY -	0.00	1.55	0.00	1.55	70.0	1.09
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$1,500.00	\$925.97	\$0.00	\$925.97		\$648.19
		*** BROKER TRANSACTIONS TOTAL ***	\$5,254.00	\$2,940.95	\$0.00	\$2,940.95		\$2,058.70

BROKER COMMISSION TOTALS

Broker Transactions	\$2,058.70
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$2,058.70
Year-to-date Earnings	\$55,336.18