



COMMISSION STATEMENT

December 03, 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>								
11/28/2018	***-**-47FB - TORRES, SHARI	AMCAP FUND-A	160.19	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @32.5000						
11/29/2018	***-**-11IR - O'CONNOR,	AMCAP FUND-A	10,663.00	399.86	18.00	381.86	70.0	267.30
	ACCOUNT #: LSR012947	BUY 313 Units @34.0500						
11/28/2018	***-**-47FB - TORRES, SHARI	AMERICAN BALANCED FUND-A	194.64	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 7 Units @27.2000						
11/29/2018	***-**-11IR - O'CONNOR,	AMERICAN BALANCED FUND-A	6,397.99	239.92	18.00	221.92	70.0	155.34
	ACCOUNT #: LSR012947	BUY 224 Units @28.5000						
11/29/2018	***-**-11IR - O'CONNOR,	AMERICAN CORPORATE BOND FUND A	6,398.00	191.94	18.00	173.94	70.0	121.76
	ACCOUNT #: LSR012947	BUY 631 Units @10.1400						
11/28/2018	***-**-47FB - TORRES, SHARI	AMERICAN HIGH-INCOME TRUST-A	45.49	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @9.9000						
11/28/2018	***-**-47FB - TORRES, SHARI	AMERICAN MUTUAL FUND-A	206.29	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011621	SELL 5 Units @41.9800						
10/15/2018	***-**-3281 - DEWITT JR, LEE	BALANCED STRATEGY FUND CLASS A	100.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 02400113961	BUY 9 Units @11.7400						
11/15/2018	***-**-3281 - DEWITT JR, LEE	BALANCED STRATEGY FUND CLASS A	100.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 02400113961	BUY 9 Units @11.5400						
11/29/2018	***-**-11IR - O'CONNOR,	FUNDAMENTAL INVESTORS-A	12,794.98	479.81	18.00	461.81	70.0	323.27
	ACCOUNT #: LSR012947	BUY 199 Units @64.4100						
11/13/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	334.79	6.70	0.00	6.70	70.0	4.69
	ACCOUNT #: 00011265210	BUY 28 Units @12.0000						
11/13/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	138.12	2.76	0.00	2.76	70.0	1.93
	ACCOUNT #: 00011265210	BUY 12 Units @12.0000						
11/13/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	180.27	3.61	0.00	3.61	70.0	2.53
	ACCOUNT #: 00011265210	BUY 13 Units @13.5000						
11/13/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	74.38	1.49	0.00	1.49	70.0	1.04
	ACCOUNT #: 00011265210	BUY 6 Units @13.5000						
11/15/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	200.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 00055761480	BUY 20 Units @10.1200						
11/23/2018	***-**-5922 - HOTAILING,	PUTNAM GROWTH OPPORTUNITIES FD CL A	160.00	4.40	0.00	4.40	70.0	3.08
	ACCOUNT #: 00186955359	BUY 5 Units @33.8200						



COMMISSION STATEMENT

December 03, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/23/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM HIGH YIELD ADVANTAGE-A BUY 33 Units @5.7600	190.00	5.23	0.00	5.23	70.0	3.66
11/23/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM INTERNATIONAL EQUITY-A BUY 3 Units @23.0700	80.00	2.20	0.00	2.20	70.0	1.54
11/23/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM MID-CAP VALUE FUND-A BUY 3 Units @20.1300	60.00	1.65	0.00	1.65	70.0	1.16
11/23/2018	***-**-5922 - HOTAILING, ACCOUNT #: 00186955359	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 2 Units @39.8900	60.00	1.65	0.00	1.65	70.0	1.16
11/28/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE BOND FUND OF AMERICA-A SELL 10 Units @12.3800	122.14	0.00	0.00	0.00	70.0	0.00
11/28/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	THE GROWTH FUND OF AMERICA-A SELL 2 Units @51.8700	109.45	0.00	0.00	0.00	70.0	0.00
11/29/2018	***-**-11IR - O'CONNOR, ACCOUNT #: LSR012947	THE NEW ECONOMY FUND-A BUY 134 Units @47.7100	6,398.01	239.92	18.00	221.92	70.0	155.34
11/28/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: LSR011621	WASHINGTON MUTUAL INVESTORS FUND-A SELL 4 Units @45.4900	161.35	0.00	0.00	0.00	70.0	0.00
11/29/2018	***-**-47FB - TORRES, SHARI ACCOUNT #: 01293376129	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @46.4000	261.44	4.18	0.00	4.18	70.0	2.93
* MUTUAL FUNDS SUBTOTAL *			\$45,590.53	\$1,591.32	\$90.00	\$1,501.32		\$1,050.93
PRODUCT CATEGORY: 529 PLAN								
12/03/2018	***-**-775P - RYAN, MARY ACCOUNT #: 77321355401	NYA JPM 529 COLLEGE AGE-BASED P A BUY 0 Units @0.0000	250.00	10.13	0.00	10.13	70.0	7.09
* 529 PLAN SUBTOTAL *			\$250.00	\$10.13	\$0.00	\$10.13		\$7.09
PRODUCT CATEGORY: FINANCIAL PLANNING								
11/29/2018	***-**-NNFP - OCONNOR, BARBARA	FINANCIAL PLAN BUY 0 Units @0.0000	0.00	250.00	0.00	250.00	70.0	175.00
* FINANCIAL PLANNING SUBTOTAL *			\$0.00	\$250.00	\$0.00	\$250.00		\$175.00
*** BROKER TRANSACTIONS TOTAL ***			\$45,840.53	\$1,851.45	\$90.00	\$1,761.45		\$1,233.02



BROKER #: A88
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,233.02
						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		\$1,233.02
						Year-to-date Earnings		\$62,537.11