



COMMISSION STATEMENT

November 12, 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>								
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMCAP FUND-A BUY 9 Units @34.3600	300.00	15.00	0.00	15.00	70.0	10.50
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMERICAN BALANCED FUND-A BUY 13 Units @28.6800	374.99	18.75	0.00	18.75	70.0	13.13
11/05/2018	***-**-943J - DAILY, MATTHEW ACCOUNT #: LSR011610	AMERICAN FUNDS TAX ADVANTGED INC PO BUY 36 Units @13.7800	499.99	13.75	0.00	13.75	70.0	9.63
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	AMERICAN MUTUAL FUND-A BUY 9 Units @44.0200	375.01	18.75	0.00	18.75	70.0	13.13
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	CAPITAL WORLD BOND FUND-A BUY 8 Units @19.7200	149.99	4.50	0.00	4.50	70.0	3.15
10/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 000090221306726	FRANKLIN INCOME FUND CLASS A BUY 48 Units @2.3500	112.50	3.38	0.00	3.38	70.0	2.37
10/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 000015812472167	FRANKLIN RISING DIVIDENDS FD CLASS BUY 2 Units @64.4800	112.50	3.38	0.00	3.38	70.0	2.37
10/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 000050118127094	FRK HIGH INC FND - CL A BUY 60 Units @1.8900	112.50	3.38	0.00	3.38	70.0	2.37
10/23/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 72 Units @12.0300	865.58	17.31	0.00	17.31	70.0	12.12
10/23/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 11 Units @12.0300	138.12	2.76	0.00	2.76	70.0	1.93
10/23/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 34 Units @13.5400	466.08	9.32	0.00	9.32	70.0	6.52
10/23/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 5 Units @13.5400	74.38	1.49	0.00	1.49	70.0	1.04
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	SMALLCAP WORLD FUND-A BUY 3 Units @58.4000	149.97	7.50	0.00	7.50	70.0	5.25
10/22/2018	***-**-5922 - HOTAILING, ACCOUNT #: 000006984984022	TEMP GLOBAL BOND FND - CL A BUY 9 Units @12.0700	112.50	3.38	0.00	3.38	70.0	2.37
11/05/2018	***-**-57IR - GERTY, AUDRA ACCOUNT #: LSR012440	THE NEW ECONOMY FUND-A BUY 3 Units @48.0700	149.98	7.50	0.00	7.50	70.0	5.25
* MUTUAL FUNDS SUBTOTAL *			\$3,994.09	\$130.15	\$0.00	\$130.15		\$91.13



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: RIA</u>								
11/12/2018	***-**-82FB - AGUIAR, DANA	LIFEMARK INVESTMENT ADVISORY FEE	22.70	22.70	0.00	22.70	70.0	15.89
	ACCOUNT #: 925573753	BUY 0 Units @0.0000						
		* RIA SUBTOTAL *	\$22.70	\$22.70	\$0.00	\$22.70		\$15.89
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/05/2018	***-**-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 153 Units @9.8200						
10/31/2018	***-**-2633 - BUTLER, JAIME	FRANKLIN GROWTH FUND CLASS A	0.00	0.66	0.00	0.66	70.0	0.46
	ACCOUNT #: 000060177044189	BUY 0 Units @0.0000						
10/31/2018	***-**-5922 - HOTAILING,	FRANKLIN INCOME FUND CLASS A	0.00	11.35	0.00	11.35	70.0	7.95
	ACCOUNT #: 000090221306726	BUY 0 Units @0.0000						
10/31/2018	***-**-2633 - BUTLER, JAIME	FRANKLIN INCOME FUND CLASS A	0.00	0.24	0.00	0.24	70.0	0.17
	ACCOUNT #: 000090235302798	BUY 0 Units @0.0000						
10/31/2018	***-**-5922 - HOTAILING,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	23.86	0.00	23.86	70.0	16.70
	ACCOUNT #: 000015812472167	BUY 0 Units @0.0000						
10/31/2018	***-**-5922 - HOTAILING,	FRK HIGH INC FND - CL A	0.00	10.66	0.00	10.66	70.0	7.46
	ACCOUNT #: 000050118127094	BUY 0 Units @0.0000						
10/31/2018	***-**-2633 - BUTLER, JAIME	MUTUAL SERIES SHARES CLASS A	0.00	0.47	0.00	0.47	70.0	0.33
	ACCOUNT #: 000000007278373	BUY 0 Units @0.0000						
10/31/2018	***-**-5922 - HOTAILING,	TEMP GLOBAL BOND FND - CL A	0.00	16.18	0.00	16.18	70.0	11.33
	ACCOUNT #: 000006984984022	BUY 0 Units @0.0000						
10/31/2018	***-**-2633 - BUTLER, JAIME	TEMPLETON GROWTH FUND CLASS A	0.00	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 000001980815969	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$1,500.00	\$93.82	\$0.00	\$93.82		\$65.68
		*** BROKER TRANSACTIONS TOTAL ***	\$5,516.79	\$246.67	\$0.00	\$246.67		\$172.70



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$172.70
						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		\$172.70
						Year-to-date Earnings		\$60,433.07