



# COMMISSION STATEMENT

## October 22, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
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>								
10/16/2018	***-**-195P - BAUMANN, TERESA	AMCAP FUND-A	6.24	0.17	0.00	0.17	70.0	0.12
	ACCOUNT #: 00063922933	BUY 0 Units @35.0200						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	AMCAP FUND-A	24.53	0.67	0.00	0.67	70.0	0.47
	ACCOUNT #: 00063922927	BUY 1 Units @34.9500						
10/17/2018	***-**-195P - BAUMANN, TERESA	AMCAP FUND-A	168.16	4.62	0.00	4.62	70.0	3.23
	ACCOUNT #: 00063922933	BUY 5 Units @34.9500						
10/17/2018	***-**-195P - BAUMANN, TERESA	AMCAP FUND-A	3.98	0.11	0.00	0.11	70.0	0.08
	ACCOUNT #: 00063922933	BUY 0 Units @34.9500						
10/16/2018	***-**-195P - BAUMANN, TERESA	AMERICAN MUTUAL FUND-A	6.24	0.17	0.00	0.17	70.0	0.12
	ACCOUNT #: 00063922933	BUY 0 Units @43.5100						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	AMERICAN MUTUAL FUND-A	12.26	0.34	0.00	0.34	70.0	0.24
	ACCOUNT #: 00063922927	BUY 0 Units @43.4300						
10/17/2018	***-**-195P - BAUMANN, TERESA	AMERICAN MUTUAL FUND-A	168.16	4.62	0.00	4.62	70.0	3.23
	ACCOUNT #: 00063922933	BUY 4 Units @43.4300						
10/17/2018	***-**-195P - BAUMANN, TERESA	AMERICAN MUTUAL FUND-A	3.98	0.11	0.00	0.11	70.0	0.08
	ACCOUNT #: 00063922933	BUY 0 Units @43.4300						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	12.26	0.34	0.00	0.34	70.0	0.24
	ACCOUNT #: 00063922927	BUY 0 Units @50.6900						
10/16/2018	***-**-195P - BAUMANN, TERESA	FUNDAMENTAL INVESTORS-A	5.76	0.16	0.00	0.16	70.0	0.11
	ACCOUNT #: 00063922933	BUY 0 Units @65.3100						
10/17/2018	***-**-195P - BAUMANN, TERESA	FUNDAMENTAL INVESTORS-A	155.22	4.27	0.00	4.27	70.0	2.99
	ACCOUNT #: 00063922933	BUY 2 Units @65.1500						
10/17/2018	***-**-195P - BAUMANN, TERESA	FUNDAMENTAL INVESTORS-A	3.69	0.10	0.00	0.10	70.0	0.07
	ACCOUNT #: 00063922933	BUY 0 Units @65.1500						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	FUNDAMENTAL INVESTORS-A	24.52	0.67	0.00	0.67	70.0	0.47
	ACCOUNT #: 00063922927	BUY 0 Units @65.1500						
10/05/2018	***-**-94IR - HALL-SPLENDORIO,	PIONEER FUND A	50.00	2.50	0.00	2.50	70.0	1.75
	ACCOUNT #: 06202691947	BUY 2 Units @33.1500						
10/16/2018	***-**-195P - BAUMANN, TERESA	THE GROWTH FUND OF AMERICA-A	5.76	0.16	0.00	0.16	70.0	0.11
	ACCOUNT #: 00063922933	BUY 0 Units @56.1300						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE GROWTH FUND OF AMERICA-A	155.22	4.27	0.00	4.27	70.0	2.99
	ACCOUNT #: 00063922933	BUY 3 Units @56.0700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/17/2018	***-**-195P - BAUMANN, TERESA	THE GROWTH FUND OF AMERICA-A	3.68	0.10	0.00	0.10	70.0	0.07
	ACCOUNT #: 00063922933	BUY 0 Units @56.0700						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	THE GROWTH FUND OF AMERICA-A	24.52	0.67	0.00	0.67	70.0	0.47
	ACCOUNT #: 00063922927	BUY 0 Units @56.0700						
10/16/2018	***-**-195P - BAUMANN, TERESA	THE INCOME FUND OF AMERICA-A	5.76	0.16	0.00	0.16	70.0	0.11
	ACCOUNT #: 00063922933	BUY 0 Units @23.5400						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE INCOME FUND OF AMERICA-A	155.22	4.27	0.00	4.27	70.0	2.99
	ACCOUNT #: 00063922933	BUY 7 Units @23.4900						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE INCOME FUND OF AMERICA-A	3.68	0.10	0.00	0.10	70.0	0.07
	ACCOUNT #: 00063922933	BUY 0 Units @23.4900						
10/16/2018	***-**-195P - BAUMANN, TERESA	THE INVESTMENT COMPANY OF AMERICA-A	6.24	0.17	0.00	0.17	70.0	0.12
	ACCOUNT #: 00063922933	BUY 0 Units @42.3300						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE INVESTMENT COMPANY OF AMERICA-A	3.98	0.11	0.00	0.11	70.0	0.08
	ACCOUNT #: 00063922933	BUY 0 Units @42.2200						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE INVESTMENT COMPANY OF AMERICA-A	168.14	4.62	0.00	4.62	70.0	3.23
	ACCOUNT #: 00063922933	BUY 4 Units @42.2200						
10/16/2018	***-**-195P - BAUMANN, TERESA	THE NEW ECONOMY FUND-A	5.76	0.16	0.00	0.16	70.0	0.11
	ACCOUNT #: 00063922933	BUY 0 Units @48.5800						
10/17/2018	***-**-805P - IPPOLITO, NICOLE	THE NEW ECONOMY FUND-A	24.52	0.67	0.00	0.67	70.0	0.47
	ACCOUNT #: 00063922927	BUY 1 Units @48.5900						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE NEW ECONOMY FUND-A	155.22	4.27	0.00	4.27	70.0	2.99
	ACCOUNT #: 00063922933	BUY 3 Units @48.5900						
10/17/2018	***-**-195P - BAUMANN, TERESA	THE NEW ECONOMY FUND-A	3.68	0.10	0.00	0.10	70.0	0.07
	ACCOUNT #: 00063922933	BUY 0 Units @48.5900						
10/16/2018	***-**-195P - BAUMANN, TERESA	WASHINGTON MUTUAL INVESTORS FUND-A	6.24	0.17	0.00	0.17	70.0	0.12
	ACCOUNT #: 00063922933	BUY 0 Units @47.2300						
10/17/2018	***-**-195P - BAUMANN, TERESA	WASHINGTON MUTUAL INVESTORS FUND-A	168.16	4.62	0.00	4.62	70.0	3.23
	ACCOUNT #: 00063922933	BUY 4 Units @47.1400						
10/17/2018	***-**-195P - BAUMANN, TERESA	WASHINGTON MUTUAL INVESTORS FUND-A	3.98	0.11	0.00	0.11	70.0	0.08
	ACCOUNT #: 00063922933	BUY 0 Units @47.1400						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,544.76</b>	<b>\$43.58</b>	<b>\$0.00</b>	<b>\$43.58</b>		<b>\$30.51</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/12/2018	***-**-579I - FREDERICK, ACCOUNT #: 00001676185	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	4.04	0.00	4.04	70.0	2.83
10/12/2018	***-**-492I - SELL, MICHAEL ACCOUNT #: 00001722478	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	2.00	0.00	2.00	70.0	1.40
10/12/2018	***-**-280I - CURD, NANCY ACCOUNT #: 00001860711	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	70.0	0.81
10/12/2018	***-**-837I - CURTIN, PAUL ACCOUNT #: 00002116172	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	70.0	1.57
10/12/2018	***-**-180I - GOODMILLER, ACCOUNT #: 00002330736	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	4.67	0.00	4.67	70.0	3.27
10/12/2018	***-**-36IN - PISARIK, MICHAEL ACCOUNT #: 00001840495	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	4.94	0.00	4.94	70.0	3.46
10/12/2018	***-**-9040 - WATSON, MARY ACCOUNT #: 00002400791	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	9.38	0.00	9.38	70.0	6.57
10/12/2018	***-**-4036 - PISARIK, MICHAEL ACCOUNT #: 00002493848	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	70.0	0.35
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$28.93</b>	<b>\$0.00</b>	<b>\$28.93</b>		<b>\$20.26</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$1,544.76</b>	<b>\$72.51</b>	<b>\$0.00</b>	<b>\$72.51</b>		<b>\$50.77</b>



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		INVESTMENT	GROSS	CLEARING	NET	BROKER		
DATE	CLIENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION	
							<b>BROKER COMMISSION TOTALS</b>	
							Broker Transactions	\$50.77
							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