



# COMMISSION STATEMENT

## September 24, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/17/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMCAP FUND-A BUY 3 Units @35.7200	90.00	2.48	0.00	2.48	70.0	1.74
09/17/2018	***-**-8346 - SCOLLAN, JAMIE ACCOUNT #: 04000941955	AMERICAN FUNDS 2040 TARGET DATE-A BUY 7 Units @16.1200	110.76	1.77	0.00	1.77	70.0	1.24
09/17/2018	***-**-8346 - SCOLLAN, JAMIE ACCOUNT #: 04000941955	AMERICAN FUNDS 2040 TARGET DATE-A BUY 7 Units @16.1200	110.76	1.77	0.00	1.77	70.0	1.24
09/17/2018	***-**-4858 - GODOFISKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 7 Units @19.6500	138.46	2.22	0.00	2.22	70.0	1.55
09/17/2018	***-**-4858 - GODOFISKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 16 Units @19.6500	323.08	5.17	0.00	5.17	70.0	3.62
09/14/2018	***-**-976J - KILLIAN, JAMES ACCOUNT #: LSR011547	AMERICAN FUNDS TAX ADVANTGED INC PO SELL 311 Units @13.7300	4,265.21	0.00	18.00	-18.00	100.0	-18.00
09/17/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMERICAN MUTUAL FUND-A BUY 1 Units @44.2100	50.00	1.38	0.00	1.38	70.0	0.97
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT BALANCED FUND A BUY 0 Units @0.0000	89,000.00	1,112.50	0.00	1,112.50	70.0	778.75
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT HIGH YIELD BOND A BUY 0 Units @0.0000	21,400.00	267.50	0.00	267.50	70.0	187.25
09/17/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	FUNDAMENTAL INVESTORS-A BUY 1 Units @66.7700	50.00	1.38	0.00	1.38	70.0	0.97
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 69 Units @12.4900	865.58	17.31	0.00	17.31	70.0	12.12
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 11 Units @12.4900	138.12	2.76	0.00	2.76	70.0	1.93
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 69 Units @12.4900	865.58	17.31	0.00	17.31	70.0	12.12
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY CONSERVATIV ALLOCATION CL BUY 11 Units @12.4900	138.12	2.76	0.00	2.76	70.0	1.93
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 33 Units @14.1600	466.08	9.32	0.00	9.32	70.0	6.52
09/06/2018	***-**-8034 - DEBONIS, ALBERT ACCOUNT #: 00011265210	MAINSTAY MODERATE ALLOCATION CL A BUY 5 Units @14.1600	74.38	1.49	0.00	1.49	70.0	1.04



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/06/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	466.08	9.32	0.00	9.32	70.0	6.52
	ACCOUNT #: 00011265210	BUY 33 Units @14.1600						
09/06/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	74.38	1.49	0.00	1.49	70.0	1.04
	ACCOUNT #: 00011265210	BUY 5 Units @14.1600						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	46.39	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: 00088394220	BUY 1 Units @47.0400						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	46.39	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: 00088394220	BUY 1 Units @47.0400						
09/17/2018	***-**-2633 - BUTLER, JAIME	NEW PERSPECTIVE FUND-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 1 Units @47.0400						
09/17/2018	***-**-2633 - BUTLER, JAIME	NEW PERSPECTIVE FUND-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 1 Units @47.0400						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE BOND FUND OF AMERICA-A	15.46	0.25	0.00	0.25	70.0	0.18
	ACCOUNT #: 00088394220	BUY 1 Units @12.7600						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE BOND FUND OF AMERICA-A	15.46	0.25	0.00	0.25	70.0	0.18
	ACCOUNT #: 00088394220	BUY 1 Units @12.7600						
09/17/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 2 Units @12.7600						
09/17/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 3 Units @12.7600						
09/17/2018	***-**-3569 - ANDERSON,	THE BOND FUND OF AMERICA-A	75.00	2.06	0.00	2.06	70.0	1.44
	ACCOUNT #: 00088334300	BUY 6 Units @12.9500						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	61.85	0.99	0.00	0.99	70.0	0.69
	ACCOUNT #: 00088394220	BUY 1 Units @56.6300						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	61.85	0.99	0.00	0.99	70.0	0.69
	ACCOUNT #: 00088394220	BUY 1 Units @56.6300						
09/17/2018	***-**-3569 - ANDERSON,	THE GROWTH FUND OF AMERICA-A	70.00	1.93	0.00	1.93	70.0	1.35
	ACCOUNT #: 00088334300	BUY 1 Units @57.5100						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE INCOME FUND OF AMERICA-A	30.92	0.49	0.00	0.49	70.0	0.34
	ACCOUNT #: 00088394220	BUY 1 Units @23.6100						
09/17/2018	***-**-9064 - GUERRERO, NIGEL	THE INCOME FUND OF AMERICA-A	30.92	0.49	0.00	0.49	70.0	0.34
	ACCOUNT #: 00088394220	BUY 1 Units @23.6100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/17/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	24.82	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 1 Units @23.6100						
09/17/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	33.12	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 1 Units @23.6100						
09/17/2018	***-**-3569 - ANDERSON,	THE INCOME FUND OF AMERICA-A	50.00	1.38	0.00	1.38	70.0	0.97
	ACCOUNT #: 00088334300	BUY 2 Units @23.9800						
09/17/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	33.10	0.53	0.00	0.53	70.0	0.37
	ACCOUNT #: 00075179061	BUY 1 Units @42.3500						
09/17/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	24.84	0.40	0.00	0.40	70.0	0.28
	ACCOUNT #: 00075179061	BUY 1 Units @42.3500						
09/17/2018	***-**-3569 - ANDERSON,	THE NEW ECONOMY FUND-A	65.00	1.79	0.00	1.79	70.0	1.25
	ACCOUNT #: 00088334300	BUY 1 Units @49.9900						
* MUTUAL FUNDS SUBTOTAL *			\$119,427.63	\$1,473.75	\$18.00	\$1,455.75		\$1,013.62
<b>PRODUCT CATEGORY: 529 PLAN</b>								
09/24/2018	***-**-775P - RYAN, MARY	NY 529 ADDITIONAL DEPOSIT	250.00	10.13	0.00	10.13	70.0	7.09
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$250.00	\$10.13	\$0.00	\$10.13		\$7.09
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
09/05/2018	***-**-3023 - DEWEY, STEVEN	AIG STRATEGIC BOND FUND CLASS A	0.00	2.65	0.00	2.65	70.0	1.86
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
09/14/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS T/E PRESERVATION POR	64.07	0.00	0.00	0.00	70.0	0.00
	ACCOUNT #: LSR011547	SELL 7 Units @9.6300						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131582454	0.00	5.32	0.00	5.32	70.0	3.72
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131618704	0.00	13.19	0.00	13.19	70.0	9.23
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 13161P805	0.00	5.66	0.00	5.66	70.0	3.96
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 13161T104	0.00	1.09	0.00	1.09	70.0	0.76
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649402	0.00	6.08	0.00	6.08	70.0	4.26
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649865	0.00	3.87	0.00	3.87	70.0	2.71
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649881	0.00	3.95	0.00	3.95	70.0	2.77
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT CAPITAL ACCUMULATION - A	0.00	3.89	0.00	3.89	70.0	2.72
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT LONG-TERM INCOME FUND	0.00	6.37	0.00	6.37	70.0	4.46
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SMALL CAP VALUE FUND	0.00	7.27	0.00	7.27	70.0	5.09
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	4.98	0.00	4.98	70.0	3.49
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FUND BOND	0.00	2.99	0.00	2.99	70.0	2.09
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
09/24/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	1.96	0.00	1.96	70.0	1.37
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
09/24/2018	***-**-6717 - DEBONIS, BRENDA	NEW YORK 529 TRAILS	0.00	0.61	0.00	0.61	70.0	0.43
	ACCOUNT #: 77423426901	BUY 0 Units @0.0000						
09/05/2018	***-**-3023 - DEWEY, STEVEN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	6.01	0.00	6.01	70.0	4.21
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
09/05/2018	***-**-7748 - MCCANNA, GLORIA	WORLD VALUES INTERNATIONAL EQUITY -	0.00	11.95	0.00	11.95	70.0	8.37
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$64.07</b>	<b>\$87.84</b>	<b>\$0.00</b>	<b>\$87.84</b>		<b>\$61.50</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$119,741.70</b>	<b>\$1,571.72</b>	<b>\$18.00</b>	<b>\$1,553.72</b>		<b>\$1,082.21</b>



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,082.21
						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		\$1,082.21
						Year-to-date Earnings		\$52,865.38