



# COMMISSION STATEMENT

## October 29, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
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>								
10/11/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	12.34	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 04001030377	BUY 0 Units @34.3400						
10/11/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	20.56	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04001030377	BUY 1 Units @34.3400						
10/22/2018	***-**-7161 - PAPST, JASON	AMCAP FUND-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00067533376	BUY 3 Units @33.9500						
10/24/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	15.16	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 04001030377	BUY 0 Units @32.9200						
10/24/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	25.27	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 04001030377	BUY 1 Units @32.9200						
10/11/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	28.98	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04001030237	BUY 1 Units @19.6200						
10/11/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	101.40	4.31	0.00	4.31	80.0	3.45
	ACCOUNT #: 04001030237	BUY 5 Units @19.6200						
10/24/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	29.42	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 04001030237	BUY 2 Units @19.0700						
10/24/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	102.95	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04001030237	BUY 5 Units @19.0700						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	22.22	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	22.22	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	25.80	0.97	0.00	0.97	80.0	0.78
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	25.80	0.97	0.00	0.97	80.0	0.78
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	26.94	1.01	0.00	1.01	80.0	0.81
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	26.94	1.01	0.00	1.01	80.0	0.81
	ACCOUNT #: 04000627501	BUY 1 Units @29.0300						
10/08/2018	***-**-065P - LEE, DANA	AMERICAN BALANCED FUND-A	150.00	6.38	0.00	6.38	80.0	5.10
	ACCOUNT #: 00064518010	BUY 5 Units @29.1800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/10/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	11.02	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 04000812765	BUY 0 Units @28.6300						
10/10/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	5.97	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 04000812765	BUY 0 Units @28.6300						
10/10/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	5.97	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 04000812765	BUY 0 Units @28.6300						
10/10/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	11.02	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 04000812765	BUY 0 Units @28.6300						
10/12/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 1 Units @27.5000						
10/12/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @27.5000						
10/12/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @27.5000						
10/12/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @27.5000						
10/12/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @27.5000						
10/12/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00081806027	BUY 0 Units @27.5000						
10/12/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081806027	BUY 11 Units @27.5000						
10/22/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00083064667	BUY 1 Units @27.9500						
10/22/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	33.74	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00083064667	BUY 1 Units @27.9500						
10/22/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04000563712	BUY 6 Units @27.9500						
10/22/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 04000563712	BUY 2 Units @27.9500						
10/24/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 1 Units @26.8200						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/24/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @26.8200						
10/24/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @26.8200						
10/24/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @26.8200						
10/24/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @26.8200						
10/24/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00081806027	BUY 0 Units @26.8200						
10/24/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081806027	BUY 11 Units @26.8200						
10/24/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	25.46	1.08	0.00	1.08	80.0	0.86
	ACCOUNT #: 04000812765	BUY 1 Units @27.8100						
10/24/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	16.80	0.71	0.00	0.71	80.0	0.57
	ACCOUNT #: 04000812765	BUY 1 Units @27.8100						
10/11/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	24.72	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 04001030342	BUY 1 Units @26.7300						
10/11/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04001030342	BUY 15 Units @26.7300						
10/24/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	25.83	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 04001030342	BUY 1 Units @26.2400						
10/24/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04001030342	BUY 15 Units @26.2400						
10/22/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00087513340	BUY 2 Units @12.9000						
10/22/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	21.01	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00087513340	BUY 2 Units @12.9000						
10/10/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000812746	BUY 24 Units @15.1800						
10/10/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812746	BUY 5 Units @15.1800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/11/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	28.93	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04001030247	BUY 2 Units @15.0100						
10/11/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	67.50	2.87	0.00	2.87	80.0	2.30
	ACCOUNT #: 04001030247	BUY 4 Units @15.0100						
10/11/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	32.02	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 04001030256	BUY 2 Units @15.0100						
10/11/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	32.02	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 04001030256	BUY 2 Units @15.0100						
10/11/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	27.54	1.17	0.00	1.17	80.0	0.94
	ACCOUNT #: 04001030268	BUY 2 Units @15.0100						
10/11/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	45.89	1.95	0.00	1.95	80.0	1.56
	ACCOUNT #: 04001030268	BUY 3 Units @15.0100						
10/11/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	48.93	2.08	0.00	2.08	80.0	1.66
	ACCOUNT #: 04001030467	BUY 3 Units @15.0100						
10/11/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	160.00	6.80	0.00	6.80	80.0	5.44
	ACCOUNT #: 04001030467	BUY 11 Units @15.0100						
10/24/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812746	BUY 6 Units @14.7100						
10/24/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	28.32	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 04001030247	BUY 2 Units @14.7100						
10/24/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	66.07	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 04001030247	BUY 4 Units @14.7100						
10/24/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	29.79	1.27	0.00	1.27	80.0	1.02
	ACCOUNT #: 04001030256	BUY 2 Units @14.7100						
10/24/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	29.79	1.27	0.00	1.27	80.0	1.02
	ACCOUNT #: 04001030256	BUY 2 Units @14.7100						
10/24/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	27.51	1.17	0.00	1.17	80.0	0.94
	ACCOUNT #: 04001030268	BUY 2 Units @14.7100						
10/24/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	45.84	1.95	0.00	1.95	80.0	1.56
	ACCOUNT #: 04001030268	BUY 3 Units @14.7100						
10/24/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	42.46	1.80	0.00	1.80	80.0	1.44
	ACCOUNT #: 04001030467	BUY 3 Units @14.7100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/24/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	160.00	6.80	0.00	6.80	80.0	5.44
	ACCOUNT #: 04001030467	BUY 11 Units @14.7100						
10/11/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04001030397	BUY 1 Units @13.9800						
10/11/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04001030397	BUY 18 Units @13.9800						
10/24/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04001030397	BUY 1 Units @13.6800						
10/24/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04001030397	BUY 18 Units @13.6800						
10/10/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000813270	BUY 23 Units @15.6600						
10/10/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000813270	BUY 5 Units @15.6600						
10/22/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	44.57	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04000563724	BUY 3 Units @15.3100						
10/22/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	118.85	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 04000563724	BUY 8 Units @15.3100						
10/24/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000813270	BUY 5 Units @15.0700						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 04000627489	BUY 3 Units @16.4100						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	17.90	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 04000627489	BUY 1 Units @16.4100						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	26.71	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000627489	BUY 2 Units @16.4100						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 04000627489	BUY 3 Units @16.4100						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 04000627489	BUY 3 Units @16.4100						
10/08/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	33.98	1.27	0.00	1.27	80.0	1.02
	ACCOUNT #: 04000627489	BUY 2 Units @16.4100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/10/2018	***-**-6609 - GAUDIOSI, ACCOUNT #: 04000812733	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @16.0500	81.00	3.44	0.00	3.44	80.0	2.75
10/10/2018	***-**-6609 - GAUDIOSI, ACCOUNT #: 04000812733	AMERICAN FUNDS 2040 TARGET DATE-A BUY 19 Units @16.0500	300.00	12.75	0.00	12.75	80.0	10.20
10/10/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @16.0500	10.00	0.43	0.00	0.43	80.0	0.34
10/10/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @16.0500	10.00	0.43	0.00	0.43	80.0	0.34
10/10/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @16.0500	10.00	0.43	0.00	0.43	80.0	0.34
10/10/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @16.0500	10.00	0.43	0.00	0.43	80.0	0.34
10/11/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.8300	23.12	0.98	0.00	0.98	80.0	0.78
10/11/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 16 Units @15.8300	250.00	10.63	0.00	10.63	80.0	8.50
10/11/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.8300	20.10	0.85	0.00	0.85	80.0	0.68
10/11/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @15.8300	67.01	2.85	0.00	2.85	80.0	2.28
10/11/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @15.8300	73.20	3.11	0.00	3.11	80.0	2.49
10/11/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 15 Units @15.8300	240.00	10.20	0.00	10.20	80.0	8.16
10/24/2018	***-**-6609 - GAUDIOSI, ACCOUNT #: 04000812733	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @15.4100	81.00	3.44	0.00	3.44	80.0	2.75
10/24/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.4100	10.00	0.43	0.00	0.43	80.0	0.34
10/24/2018	***-**-4516 - ST. AMAND, MARK ACCOUNT #: 04000812773	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.4100	10.00	0.43	0.00	0.43	80.0	0.34
10/24/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 2 Units @15.4100	36.00	1.53	0.00	1.53	80.0	1.22



# COMMISSION STATEMENT

## October 29, 2018

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BROKER #: 180  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/24/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 16 Units @15.4100	250.00	10.63	0.00	10.63	80.0	8.50
10/24/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.4100	23.05	0.98	0.00	0.98	80.0	0.78
10/24/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @15.4100	76.85	3.27	0.00	3.27	80.0	2.62
10/24/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @15.4100	73.20	3.11	0.00	3.11	80.0	2.49
10/24/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 16 Units @15.4100	240.00	10.20	0.00	10.20	80.0	8.16
10/11/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.7600	32.07	1.36	0.00	1.36	80.0	1.09
10/11/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.7600	32.07	1.36	0.00	1.36	80.0	1.09
10/22/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @15.6200	187.00	5.14	0.00	5.14	80.0	4.11
10/22/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.6200	45.41	1.25	0.00	1.25	80.0	1.00
10/22/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @15.6200	100.00	2.75	0.00	2.75	80.0	2.20
10/22/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.6200	50.30	1.38	0.00	1.38	80.0	1.10
10/24/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.3300	34.83	1.48	0.00	1.48	80.0	1.18
10/24/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.3300	34.83	1.48	0.00	1.48	80.0	1.18
10/11/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 1 Units @12.9100	14.03	0.60	0.00	0.60	80.0	0.48
10/11/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 2 Units @12.9100	23.39	0.99	0.00	0.99	80.0	0.79
10/12/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.6000	75.00	0.90	0.00	0.90	80.0	0.72



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/12/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.6000	75.00	0.90	0.00	0.90	80.0	0.72
10/24/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.1000	75.00	0.90	0.00	0.90	80.0	0.72
10/24/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.1000	75.00	0.90	0.00	0.90	80.0	0.72
10/24/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 1 Units @12.5500	15.24	0.65	0.00	0.65	80.0	0.52
10/24/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 2 Units @12.5500	25.40	1.08	0.00	1.08	80.0	0.86
10/08/2018	***-**-2954 - RESTO, NORBERTO ACCOUNT #: 00069029798	AMERICAN FUNDS GRWTH & INCOME PORT BUY 2 Units @15.2700	25.00	0.25	0.00	0.25	80.0	0.20
10/08/2018	***-**-2954 - RESTO, NORBERTO ACCOUNT #: 00069029798	AMERICAN FUNDS GRWTH & INCOME PORT BUY 2 Units @15.2700	25.00	0.25	0.00	0.25	80.0	0.20
10/08/2018	***-**-2954 - RESTO, NORBERTO ACCOUNT #: 00069029798	AMERICAN FUNDS GRWTH & INCOME PORT BUY 2 Units @15.2700	25.00	0.25	0.00	0.25	80.0	0.20
10/08/2018	***-**-2954 - RESTO, NORBERTO ACCOUNT #: 00069029798	AMERICAN FUNDS GRWTH & INCOME PORT BUY 2 Units @15.2700	25.00	0.25	0.00	0.25	80.0	0.20
10/08/2018	***-**-2954 - RESTO, NORBERTO ACCOUNT #: 00069029798	AMERICAN FUNDS GRWTH & INCOME PORT BUY 2 Units @15.2700	25.00	0.25	0.00	0.25	80.0	0.20
10/08/2018	***-**-3307 - COUGHLAN, HARRY ACCOUNT #: 00084434107	AMERICAN FUNDS GRWTH & INCOME PORT BUY 16 Units @15.2700	240.50	2.41	0.00	2.41	80.0	1.93
10/08/2018	***-**-3307 - COUGHLAN, HARRY ACCOUNT #: 00084434107	AMERICAN FUNDS GRWTH & INCOME PORT BUY 4 Units @15.2700	66.96	0.67	0.00	0.67	80.0	0.54
10/08/2018	***-**-3307 - COUGHLAN, HARRY ACCOUNT #: 00084434107	AMERICAN FUNDS GRWTH & INCOME PORT BUY 16 Units @15.2700	240.50	2.41	0.00	2.41	80.0	1.93
10/08/2018	***-**-3307 - COUGHLAN, HARRY ACCOUNT #: 00084434107	AMERICAN FUNDS GRWTH & INCOME PORT BUY 4 Units @15.2700	66.96	0.67	0.00	0.67	80.0	0.54
10/08/2018	***-**-3307 - COUGHLAN, HARRY ACCOUNT #: 00084434107	AMERICAN FUNDS GRWTH & INCOME PORT BUY 16 Units @15.2700	240.50	2.41	0.00	2.41	80.0	1.93





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## October 29, 2018

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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/08/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	66.96	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00084434107	BUY 4 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	34.72	0.35	0.00	0.35	80.0	0.28
	ACCOUNT #: 00085621852	BUY 2 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00085621852	BUY 3 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00085621852	BUY 3 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	34.12	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00085621852	BUY 2 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	36.22	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00085621852	BUY 2 Units @15.2700						
10/08/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00085621852	BUY 3 Units @15.2700						
10/11/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	12.33	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 04001030377	BUY 0 Units @43.2400						
10/11/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	20.56	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04001030377	BUY 0 Units @43.2400						
10/24/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	15.16	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 04001030377	BUY 0 Units @42.4900						
10/24/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	25.26	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 04001030377	BUY 1 Units @42.4900						
10/22/2018	***-**-7161 - PAPST, JASON	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00067533376	BUY 2 Units @49.8500						
10/29/2018	***-**-0781 - PELLETIER,	SAMMONS LIVEWELL MUTUAL FUND	458.33	4.58	0.00	4.58	80.0	3.66
	ACCOUNT #: 7200000132	BUY 0 Units @0.0000						
10/11/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	19.22	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @48.0900						
10/11/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	51.25	0.51	0.00	0.51	80.0	0.41
	ACCOUNT #: 04001030438	BUY 1 Units @48.0900						
10/24/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	18.52	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @46.2200						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/24/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	49.37	0.49	0.00	0.49	80.0	0.39
	ACCOUNT #: 04001030438	BUY 1 Units @46.2200						
10/12/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 2 Units @13.3900						
10/22/2018	***-**-716I - PAPST, JASON	U.S. GOVERNMENT SECURITIES FUND CLA	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00067533376	BUY 7 Units @13.6400						
10/24/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 2 Units @13.4300						
10/22/2018	***-**-716I - PAPST, JASON	WASHINGTON MUTUAL INVESTORS FUND-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00067533376	BUY 2 Units @46.3500						
10/11/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.81	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @43.8700						
10/11/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	34.16	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 04001030438	BUY 1 Units @43.8700						
10/24/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.34	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @42.7300						
10/24/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	32.92	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: 04001030438	BUY 1 Units @42.7300						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$12,011.81</b>	<b>\$309.13</b>	<b>\$0.00</b>	<b>\$309.13</b>		<b>\$247.25</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/29/2018	***-**-94CL - FERRY, CLIENTS	ADP PROTOTYPE 401K PLAN	0.00	94.70	0.00	94.70	80.0	75.76
		BUY 0 Units @0.0000						
10/29/2018	***-**-187I - HENEBCRY, KEVIN	SAMMONS MF TRAILS	0.00	32.33	0.00	32.33	80.0	25.86
	ACCOUNT #: 7200000440	BUY 0 Units @0.0000						
10/29/2018	***-**-027I - ADAMAITIS,	SAMMONS MF TRAILS	0.00	11.98	0.00	11.98	80.0	9.58
	ACCOUNT #: 7200011626	BUY 0 Units @0.0000						
10/29/2018	***-**-788I - LIPEIKA, RONALD	SAMMONS MF TRAILS	0.00	45.48	0.00	45.48	80.0	36.38
	ACCOUNT #: 7200016493	BUY 0 Units @0.0000						
10/29/2018	***-**-90SI - MACARON, SHADY	SAMMONS MF TRAILS	0.00	70.43	0.00	70.43	80.0	56.34
	ACCOUNT #: 7200000120	BUY 0 Units @0.0000						
10/29/2018	***-**-078I - PELLETIER,	SAMMONS MF TRAILS	0.00	24.77	0.00	24.77	80.0	19.82
	ACCOUNT #: 7200000132	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/29/2018	***-**-365I - HENDRICKS, ACCOUNT #: 7200000751	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	52.10	0.00	52.10	80.0	41.68
10/29/2018	***-**-230I - ADAMAITIS, JOY ACCOUNT #: 7200005523	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	37.75	0.00	37.75	80.0	30.20
10/29/2018	***-**-124I - YOUNG, SANDRA ACCOUNT #: 7200017871	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	17.22	0.00	17.22	80.0	13.78
10/29/2018	***-**-118I - MORRO, CHARLOTTE ACCOUNT #: 7200021809	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	80.0	6.45
10/29/2018	***-**-124I - YOUNG, SANDRA ACCOUNT #: 7200017871	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	20.29	0.00	20.29	80.0	16.23
10/29/2018	***-**-124I - YOUNG, SANDRA ACCOUNT #: 7200017871	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	-17.22	0.00	-17.22	80.0	-13.78
10/29/2018	***-**-069I - PIRES, DAVID ACCOUNT #: 7200006689	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	17.22	0.00	17.22	80.0	13.78
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$415.11</b>	<b>\$0.00</b>	<b>\$415.11</b>		<b>\$332.08</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$12,011.81</b>	<b>\$724.24</b>	<b>\$0.00</b>	<b>\$724.24</b>		<b>\$579.33</b>



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$579.33
						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		\$579.33
						Year-to-date Earnings		\$98,172.90