



# COMMISSION STATEMENT

## October 22, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE                                   | CLIENT                       | INVESTMENT                           | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------------------|--------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>  |                              |                                      |                       |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK</u></b>      |                              |                                      |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--22FB - ANDERSON, GARY   | CLARK NAVIGATOR FIXED INCOME TOTAL   | 115,580.70            | 247.57              | 0.00               | 247.57            | 0.5  | 1.24                 |
|  | ACCOUNT #: 3397464           | BUY 0 Units @1155.8070               |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--16FB - GAVELEK, CYNTHIA | GPS ACCUMULATION, PROFILE 4, MODERA  | 22,994.14             | 57.95               | 0.00               | 57.95             | 0.5  | 0.29                 |
|  | ACCOUNT #: 3182665           | BUY 0 Units @229.9414                |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--89FB - CONNORS, KAREN   | GPS ACCUMULATION, PROFILE 5, GROWTH  | 72,597.41             | 182.95              | 0.00               | 182.95            | 0.5  | 0.91                 |
|  | ACCOUNT #: 3283191           | BUY 0 Units @725.9741                |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--65FB - BOUCHARD, DEBRA  | GPS SELECT DISTRIBUTION, PROFILE 3,  | 125,403.09            | 316.02              | 0.00               | 316.02            | 0.5  | 1.58                 |
|  | ACCOUNT #: 3206709           | BUY 0 Units @1254.0309               |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--11FB - BOUCHARD, STEVEN | GPS SELECT DISTRIBUTION, PROFILE 3,  | 224,556.12            | 565.88              | 0.00               | 565.88            | 0.5  | 2.83                 |
|  | ACCOUNT #: 3169216           | BUY 0 Units @2245.5612               |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--36FB - HALLORAN,        | SSGA, PROFILE 4, MODERATE GROWTH     | 322,983.53            | 813.92              | 0.00               | 813.92            | 0.5  | 4.07                 |
|  | ACCOUNT #: 0194934           | BUY 0 Units @3229.8353               |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--36FB - HALLORAN,        | SAVOS GMS HIGH DIVIDEND, PROFILE 3,  | 130,699.54            | 329.36              | 0.00               | 329.36            | 0.5  | 1.65                 |
|  | ACCOUNT #: 3301244           | BUY 0 Units @1306.9954               |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--22FB - ANDERSON, GARY   | WESTEND GLOBAL EQUITY ETF, PROFILE   | 50,769.47             | 108.75              | 0.00               | 108.75            | 0.5  | 0.54                 |
|  | ACCOUNT #: 3620027           | BUY 0 Units @507.6947                |                       |                     |                    |                   |      |                      |
|  |                              | <b>* LINDA BLACK SUBTOTAL *</b>      | <b>\$1,065,584.00</b> | <b>\$2,622.40</b>   | <b>\$0.00</b>      | <b>\$2,622.40</b> |      | <b>\$13.11</b>       |
| <b><u>BROKER: SARA BERKOWICZ</u></b>   |                              |                                      |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--49FB - BEEM, TERESA     | GPS ACCUMULATION, PROFILE 3, MODERA  | 340,759.45            | 1,253.76            | 0.00               | 1,253.76          | 0.5  | 6.27                 |
|  | ACCOUNT #: 3137498           | BUY 0 Units @3407.5945               |                       |                     |                    |                   |      |                      |
|  |                              | <b>* SARA BERKOWICZ SUBTOTAL *</b>   | <b>\$340,759.45</b>   | <b>\$1,253.76</b>   | <b>\$0.00</b>      | <b>\$1,253.76</b> |      | <b>\$6.27</b>        |
| <b><u>BROKER: SANDINO VERRELLI</u></b> |                              |                                      |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--37FB - CAPONI, DEBRA    | GPS ACCUMULATION, PROFILE 3, MODERA  | 27,044.23             | 68.15               | 0.00               | 68.15             | 0.5  | 0.34                 |
|  | ACCOUNT #: 0174999           | BUY 0 Units @270.4423                |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--01FB - KOPCHIK, STEPHEN | GPS ACCUMULATION, PROFILE 4, MODERA  | 91,674.31             | 231.02              | 0.00               | 231.02            | 0.5  | 1.16                 |
|  | ACCOUNT #: 0170675           | BUY 0 Units @916.7431                |                       |                     |                    |                   |      |                      |
| 10/23/2018                             | ***--72FB - COLON, SAMUAL    | GPS ACCUMULATION, PROFILE 5, GROWTH  | 33,258.84             | 83.81               | 0.00               | 83.81             | 0.5  | 0.42                 |
|  | ACCOUNT #: 0175490           | BUY 0 Units @332.5884                |                       |                     |                    |                   |      |                      |
|  |                              | <b>* SANDINO VERRELLI SUBTOTAL *</b> | <b>\$151,977.38</b>   | <b>\$382.98</b>     | <b>\$0.00</b>      | <b>\$382.98</b>   |      | <b>\$1.92</b>        |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID IOBST</u></b>                 |                                |                                     |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-34FB - DAWSON, BRIAN    | SAVOS GMS GLOBAL - DYN HEDGING, PRO | 31,900.38            | 80.39               | 0.00               | 80.39             | 0.5  | 0.40                 |
|   | ACCOUNT #: 3475195             | BUY 0 Units @319.0038               |                      |                     |                    |                   |      |                      |
|   |                                | <b>* DAVID IOBST SUBTOTAL *</b>     | <b>\$31,900.38</b>   | <b>\$80.39</b>      | <b>\$0.00</b>      | <b>\$80.39</b>    |      | <b>\$0.40</b>        |
| <b><u>BROKER: GARRETT MORETZ</u></b>              |                                |                                     |                      |                     |                    |                   |      |                      |
| 10/22/2018  | ***-**-36CL - MORETZ, CLIENTS  | EQIS ADVISOR FEES                   | 0.00                 | 726.48              | 0.00               | 726.48            | 0.5  | 3.63                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-29FB - ANTHONY, APRIL   | EQIS ADVISOR FEES                   | 84.18                | 84.18               | 0.00               | 84.18             | 0.5  | 0.42                 |
|   | ACCOUNT #: RB5070200L          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-86FB - ARRINGTON, ROGER | EQIS ADVISOR FEES                   | 80.86                | 80.86               | 0.00               | 80.86             | 0.5  | 0.40                 |
|   | ACCOUNT #: RH0813100D          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-86FB - ARRINGTON, ROGER | EQIS ADVISOR FEES                   | 59.08                | 59.08               | 0.00               | 59.08             | 0.5  | 0.30                 |
|   | ACCOUNT #: RH24513009          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-71FB - BEDDOW, DONALD   | EQIS ADVISOR FEES                   | 100.77               | 100.77              | 0.00               | 100.77            | 0.5  | 0.50                 |
|   | ACCOUNT #: RE1889900Z          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-71FB - BEDDOW, DONALD   | EQIS ADVISOR FEES                   | 37.10                | 37.10               | 0.00               | 37.10             | 0.5  | 0.19                 |
|   | ACCOUNT #: RE1910700J          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-40FB - BOHNAKER, ANGELA | EQIS ADVISOR FEES                   | 41.17                | 41.17               | 0.00               | 41.17             | 0.5  | 0.21                 |
|   | ACCOUNT #: RC6490700F          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-08FB - BROOKS, BRENDA   | EQIS ADVISOR FEES                   | 27.61                | 27.61               | 0.00               | 27.61             | 0.5  | 0.14                 |
|   | ACCOUNT #: RE0183100R          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-16FB - BROWN, RICHARD   | EQIS ADVISOR FEES                   | 14.67                | 14.67               | 0.00               | 14.67             | 0.5  | 0.07                 |
|   | ACCOUNT #: RE08169003          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-16FB - BROWN, RICHARD   | EQIS ADVISOR FEES                   | 87.16                | 87.16               | 0.00               | 87.16             | 0.5  | 0.44                 |
|   | ACCOUNT #: RE1604700Z          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-95FB - BROWN, SUSAN     | EQIS ADVISOR FEES                   | 82.32                | 82.32               | 0.00               | 82.32             | 0.5  | 0.41                 |
|   | ACCOUNT #: RD9347700L          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-64FB - BURKS, RONALD    | EQIS ADVISOR FEES                   | 27.10                | 27.10               | 0.00               | 27.10             | 0.5  | 0.14                 |
|   | ACCOUNT #: RH5786100H          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-57FB - CAMERY, DALE     | EQIS ADVISOR FEES                   | 75.66                | 75.66               | 0.00               | 75.66             | 0.5  | 0.38                 |
|   | ACCOUNT #: RD90457005          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-57FB - CAMERY, DALE     | EQIS ADVISOR FEES                   | 175.09               | 175.09              | 0.00               | 175.09            | 0.5  | 0.88                 |
|   | ACCOUNT #: RD9898400H          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |   |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: GARRETT MORETZ (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-71FB - CARPENTIER,<br>ACCOUNT #: RC9591500B      | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 27.04                | 27.04               | 0.00               | 27.04             | 0.5  | 0.14                 |
| 10/23/2018  | ***-**-77FB - CLAYTON, HORACE<br>ACCOUNT #: RD9998300X  | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 178.56               | 178.56              | 0.00               | 178.56            | 0.5  | 0.89                 |
| 10/23/2018  | ***-**-68FB - CLAYTON, LINDA<br>ACCOUNT #: RE0183300B   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 40.85                | 40.85               | 0.00               | 40.85             | 0.5  | 0.20                 |
| 10/23/2018  | ***-**-10FB - CLINGON, BILLY<br>ACCOUNT #: RE18633003   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 26.42                | 26.42               | 0.00               | 26.42             | 0.5  | 0.13                 |
| 10/23/2018  | ***-**-10FB - CLINGON, BILLY<br>ACCOUNT #: RE3069500F   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 38.03                | 38.03               | 0.00               | 38.03             | 0.5  | 0.19                 |
| 10/23/2018  | ***-**-10FB - CLINGON, BILLY<br>ACCOUNT #: RH0640000T   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 42.56                | 42.56               | 0.00               | 42.56             | 0.5  | 0.21                 |
| 10/23/2018  | ***-**-36FB - CLINGON, KAREN<br>ACCOUNT #: RE3070500V   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 36.54                | 36.54               | 0.00               | 36.54             | 0.5  | 0.18                 |
| 10/23/2018  | ***-**-58FB - CLYMER, DEFOREST<br>ACCOUNT #: RB48104005 | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 9.35                 | 9.35                | 0.00               | 9.35              | 0.5  | 0.05                 |
| 10/23/2018  | ***-**-41FB - COOPER, JOHN<br>ACCOUNT #: RD5958000D     | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 33.60                | 33.60               | 0.00               | 33.60             | 0.5  | 0.17                 |
| 10/23/2018  | ***-**-01FB - DAGENHART, JAMES<br>ACCOUNT #: RD06254009 | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 53.73                | 53.73               | 0.00               | 53.73             | 0.5  | 0.27                 |
| 10/23/2018  | ***-**-01FB - DAGENHART, JAMES<br>ACCOUNT #: RD0777800L | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 45.63                | 45.63               | 0.00               | 45.63             | 0.5  | 0.23                 |
| 10/23/2018  | ***-**-21FB - DAVIS, SIMONE<br>ACCOUNT #: RD9797800H    | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 240.61               | 240.61              | 0.00               | 240.61            | 0.5  | 1.20                 |
| 10/23/2018  | ***-**-26FB - FARZALO, STEVE<br>ACCOUNT #: RG9748700J   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 14.98                | 14.98               | 0.00               | 14.98             | 0.5  | 0.07                 |
| 10/23/2018  | ***-**-85FB - FARZALO, TAMAR<br>ACCOUNT #: RG9962600R   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 15.55                | 15.55               | 0.00               | 15.55             | 0.5  | 0.08                 |
| 10/23/2018  | ***-**-34FB - FOWLER, MILTON<br>ACCOUNT #: RH1017400L   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 135.64               | 135.64              | 0.00               | 135.64            | 0.5  | 0.68                 |
| 10/23/2018  | ***-**-34FB - FOWLER, MILTON<br>ACCOUNT #: RH70414009   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 116.34               | 116.34              | 0.00               | 116.34            | 0.5  | 0.58                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>  |                                |                     |                      |                     |                    |                   |      |                      |
| <b> BROKER: GARRETT MORETZ (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-32FB - FRAZIER, WILLIAM | EQIS ADVISOR FEES   | 6.37                 | 6.37                | 0.00               | 6.37              | 0.5  | 0.03                 |
|  | ACCOUNT #: RB33734009          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-32FB - FRAZIER, WILLIAM | EQIS ADVISOR FEES   | 30.71                | 30.71               | 0.00               | 30.71             | 0.5  | 0.15                 |
|  | ACCOUNT #: RB3372800H          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-68FB - GLAUDIN, EDDY    | EQIS ADVISOR FEES   | 31.96                | 31.96               | 0.00               | 31.96             | 0.5  | 0.16                 |
|  | ACCOUNT #: RB8331200P          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-39FB - GRINDLE, ROBERT  | EQIS ADVISOR FEES   | 121.95               | 121.95              | 0.00               | 121.95            | 0.5  | 0.61                 |
|  | ACCOUNT #: RE0934000F          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-77FB - HARRIS,          | EQIS ADVISOR FEES   | 45.46                | 45.46               | 0.00               | 45.46             | 0.5  | 0.23                 |
|  | ACCOUNT #: RE25241003          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-77FB - HARRIS,          | EQIS ADVISOR FEES   | 131.11               | 131.11              | 0.00               | 131.11            | 0.5  | 0.66                 |
|  | ACCOUNT #: RE3069400N          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-48FB - HEFNER, EULA     | EQIS ADVISOR FEES   | 24.04                | 24.04               | 0.00               | 24.04             | 0.5  | 0.12                 |
|  | ACCOUNT #: RH0641100H          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-84FB - HERNDON, JEAN    | EQIS ADVISOR FEES   | 171.70               | 171.70              | 0.00               | 171.70            | 0.5  | 0.86                 |
|  | ACCOUNT #: RD58625005          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-03FB - HINES, WALTER    | EQIS ADVISOR FEES   | 21.83                | 21.83               | 0.00               | 21.83             | 0.5  | 0.11                 |
|  | ACCOUNT #: RD57517005          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-84FB - HOLDER, DERRICK  | EQIS ADVISOR FEES   | 118.19               | 118.19              | 0.00               | 118.19            | 0.5  | 0.59                 |
|  | ACCOUNT #: RA4189700Z          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-84FB - HOLDER, DERRICK  | EQIS ADVISOR FEES   | 57.47                | 57.47               | 0.00               | 57.47             | 0.5  | 0.29                 |
|  | ACCOUNT #: RA41927007          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-45FB - HULL, DEBORAH    | EQIS ADVISOR FEES   | 15.03                | 15.03               | 0.00               | 15.03             | 0.5  | 0.08                 |
|  | ACCOUNT #: RG98804003          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-13FB - HULL, GARY       | EQIS ADVISOR FEES   | 68.43                | 68.43               | 0.00               | 68.43             | 0.5  | 0.34                 |
|  | ACCOUNT #: RE2367800J          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-98FB - HUNTER, JEFFREY  | EQIS ADVISOR FEES   | 17.93                | 17.93               | 0.00               | 17.93             | 0.5  | 0.09                 |
|  | ACCOUNT #: RH0076800D          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-26FB - KOMINEK, DAVID   | EQIS ADVISOR FEES   | 116.18               | 116.18              | 0.00               | 116.18            | 0.5  | 0.58                 |
|  | ACCOUNT #: RD9045800X          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018                                 | ***-**-27FB - KULIKOWSKI, SARA | EQIS ADVISOR FEES   | 11.63                | 11.63               | 0.00               | 11.63             | 0.5  | 0.06                 |
|  | ACCOUNT #: RC4594100B          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |   |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: GARRETT MORETZ (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-88FB - LITTLETON,<br>ACCOUNT #: RB0358400H       | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 42.77                | 42.77               | 0.00               | 42.77             | 0.5  | 0.21                 |
| 10/23/2018  | ***-**-94FB - MARQUIS, ALAN<br>ACCOUNT #: RE3062300N    | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 41.43                | 41.43               | 0.00               | 41.43             | 0.5  | 0.21                 |
| 10/23/2018  | ***-**-65FB - MCINTYRE, SHARON<br>ACCOUNT #: RD90434001 | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 30.62                | 30.62               | 0.00               | 30.62             | 0.5  | 0.15                 |
| 10/23/2018  | ***-**-65FB - MCINTYRE, SHARON<br>ACCOUNT #: RD9897700X | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 90.04                | 90.04               | 0.00               | 90.04             | 0.5  | 0.45                 |
| 10/23/2018  | ***-**-77FB - MCKAIG, MARK<br>ACCOUNT #: RD5247000H     | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 21.05                | 21.05               | 0.00               | 21.05             | 0.5  | 0.11                 |
| 10/23/2018  | ***-**-77FB - MCKAIG, MARK<br>ACCOUNT #: RD52495005     | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 20.00                | 20.00               | 0.00               | 20.00             | 0.5  | 0.10                 |
| 10/23/2018  | ***-**-59FB - MCKAIG, PATRICIA<br>ACCOUNT #: RD5092500P | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 63.67                | 63.67               | 0.00               | 63.67             | 0.5  | 0.32                 |
| 10/23/2018  | ***-**-59FB - MCKAIG, PATRICIA<br>ACCOUNT #: RD5249700P | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 14.67                | 14.67               | 0.00               | 14.67             | 0.5  | 0.07                 |
| 10/23/2018  | ***-**-96FB - MERLO, JANE<br>ACCOUNT #: RH35548005      | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 51.37                | 51.37               | 0.00               | 51.37             | 0.5  | 0.26                 |
| 10/23/2018  | ***-**-64FB - MERLO, RALPH<br>ACCOUNT #: RB5869400H     | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 78.38                | 78.38               | 0.00               | 78.38             | 0.5  | 0.39                 |
| 10/23/2018  | ***-**-64FB - MERLO, RALPH<br>ACCOUNT #: RB5866400T     | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 2.37                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
| 10/23/2018  | ***-**-70FB - FERRELL,<br>ACCOUNT #: RB50708009         | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 52.86                | 52.86               | 0.00               | 52.86             | 0.5  | 0.26                 |
| 10/23/2018  | ***-**-759I - MERRILL, SARA<br>ACCOUNT #: RB5875400D    | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 24.73                | 24.73               | 0.00               | 24.73             | 0.5  | 0.12                 |
| 10/23/2018  | ***-**-58FB - NELSON-GAINES,<br>ACCOUNT #: RH0166600L   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 13.39                | 13.39               | 0.00               | 13.39             | 0.5  | 0.07                 |
| 10/23/2018  | ***-**-06FB - PARSONS, CLARE<br>ACCOUNT #: RG9534800V   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 65.13                | 65.13               | 0.00               | 65.13             | 0.5  | 0.33                 |
| 10/23/2018  | ***-**-06FB - PARSONS, CLARE<br>ACCOUNT #: RG9885700V   | EQIS ADVISOR FEES<br>BUY 0 Units @0.0000 | 20.09                | 20.09               | 0.00               | 20.09             | 0.5  | 0.10                 |



# COMMISSION STATEMENT

## October 22, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT                         | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: GARRETT MORETZ (continued)</u></b> |                                |                     |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-77FB - PECK, GORDON     | EQIS ADVISOR FEES   | 34.03                | 34.03               | 0.00               | 34.03             | 0.5  | 0.17                 |
|   | ACCOUNT #: RE14731003          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-98FB - PFYFFER, ALBERT  | EQIS ADVISOR FEES   | 39.17                | 39.17               | 0.00               | 39.17             | 0.5  | 0.20                 |
|   | ACCOUNT #: RE1500600F          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-35FB - REYNOLDS, DAVID  | EQIS ADVISOR FEES   | 22.51                | 22.51               | 0.00               | 22.51             | 0.5  | 0.11                 |
|   | ACCOUNT #: RH67367001          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-35FB - REYNOLDS, DAVID  | EQIS ADVISOR FEES   | 17.48                | 17.48               | 0.00               | 17.48             | 0.5  | 0.09                 |
|   | ACCOUNT #: RH67371009          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-43FB - RODES, KENNETH   | EQIS ADVISOR FEES   | 89.10                | 89.10               | 0.00               | 89.10             | 0.5  | 0.45                 |
|   | ACCOUNT #: RE1686200F          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-13FB - RUSSELL, MARK    | EQIS ADVISOR FEES   | 33.07                | 33.07               | 0.00               | 33.07             | 0.5  | 0.17                 |
|   | ACCOUNT #: RG9722700B          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-51FB - SCHMITT, CAROL   | EQIS ADVISOR FEES   | 78.10                | 78.10               | 0.00               | 78.10             | 0.5  | 0.39                 |
|   | ACCOUNT #: RD9797400D          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-67FB - SCHMITT, EDWARD  | EQIS ADVISOR FEES   | 15.68                | 15.68               | 0.00               | 15.68             | 0.5  | 0.08                 |
|   | ACCOUNT #: RE0237700Z          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-52FB - SCHNABEL,        | EQIS ADVISOR FEES   | 71.91                | 71.91               | 0.00               | 71.91             | 0.5  | 0.36                 |
|   | ACCOUNT #: RH00769005          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-18FB - SMITH, JONATHAN  | EQIS ADVISOR FEES   | 66.45                | 66.45               | 0.00               | 66.45             | 0.5  | 0.33                 |
|   | ACCOUNT #: RH6464500D          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-17FB - SPENCER, TERESA  | EQIS ADVISOR FEES   | 22.63                | 22.63               | 0.00               | 22.63             | 0.5  | 0.11                 |
|   | ACCOUNT #: RH62435005          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-94FB - SWAN, ANDREW     | EQIS ADVISOR FEES   | 36.65                | 36.65               | 0.00               | 36.65             | 0.5  | 0.18                 |
|   | ACCOUNT #: RE0718400R          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-97FB - SWAN, MELANIE    | EQIS ADVISOR FEES   | 25.52                | 25.52               | 0.00               | 25.52             | 0.5  | 0.13                 |
|   | ACCOUNT #: RE0718300Z          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-60FB - TIPPETT, ASHBY   | EQIS ADVISOR FEES   | 30.56                | 30.56               | 0.00               | 30.56             | 0.5  | 0.15                 |
|   | ACCOUNT #: RH6409800H          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-38FB - TOLLIVER, GLORIA | EQIS ADVISOR FEES   | 5.23                 | 5.23                | 0.00               | 5.23              | 0.5  | 0.03                 |
|   | ACCOUNT #: RD5984200P          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-29FB - TOLLIVER, SHANE  | EQIS ADVISOR FEES   | 9.06                 | 9.06                | 0.00               | 9.06              | 0.5  | 0.05                 |
|   | ACCOUNT #: RD95555005          | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

October 22, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT                       | INVESTMENT          | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|---------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                              |                     |                       |                     |                    |                   |      |                      |
| <b><u>BROKER: GARRETT MORETZ (continued)</u></b>  |                              |                     |                       |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-66FB - WHITE, BARBARA | EQIS ADVISOR FEES   | 5.77                  | 5.77                | 0.00               | 5.77              | 0.5  | 0.03                 |
|   | ACCOUNT #: RE0718500J        | BUY 0 Units @0.0000 |                       |                     |                    |                   |      |                      |
| 10/23/2018  | ***-**-72FB - YOUNG, TAMMY   | EQIS ADVISOR FEES   | 181.04                | 181.04              | 0.00               | 181.04            | 0.5  | 0.91                 |
|   | ACCOUNT #: RH03043009        | BUY 0 Units @0.0000 |                       |                     |                    |                   |      |                      |
| * GARRETT MORETZ SUBTOTAL *                       |                              |                     | <b>\$4,354.72</b>     | <b>\$5,081.20</b>   | <b>\$0.00</b>      | <b>\$5,081.20</b> |      | <b>\$25.44</b>       |
| *** OVERRIDE TRANSACTIONS TOTAL ***               |                              |                     | <b>\$1,594,575.93</b> | <b>\$9,420.73</b>   | <b>\$0.00</b>      | <b>\$9,420.73</b> |      | <b>\$47.14</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$0.00  |
| Split Transactions    | \$0.00  |
| Override Transactions | \$47.14 |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$43.83 |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |                   |
|------------------------------|-------------------|
| <b>Balance Forward</b>       | <b>\$90.97</b>    |
| <b>Year-to-date Earnings</b> | <b>\$9,297.98</b> |