



# COMMISSION STATEMENT

## September 10, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
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>								
08/27/2018	***-**-01SI - BAZABAL, GENE	AMCAP FUND-A	201.00	8.54	0.00	8.54	90.0	7.69
	ACCOUNT #: 00089905927	BUY 6 Units @36.4900						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	AMCAP FUND-C	2.40	0.02	0.00	0.02	90.0	0.02
	ACCOUNT #: 04000003339	BUY 0 Units @30.4400						
08/31/2018	***-**-0900 - SMITH, PATRICK	AMERICAN 2035 TARGET DATE RETIREMNT	39.09	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: 00089949168	BUY 3 Units @15.2200						
08/31/2018	***-**-6890 - MARKS, MARK	AMERICAN 2035 TARGET DATE RETIREMNT	20.00	0.20	0.00	0.20	90.0	0.18
	ACCOUNT #: 04000001565	BUY 1 Units @15.2200						
08/31/2018	***-**-6584 - BACON, ANDREA	AMERICAN 2040 TARGET DATE RETIREMNT	100.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 00089949172	BUY 6 Units @15.6300						
08/31/2018	***-**-1727 - PETERSON, JON	AMERICAN FUNDS 2030 TARGET DATE-C	10.00	0.10	0.00	0.10	90.0	0.09
	ACCOUNT #: 00089973868	BUY 1 Units @14.6400						
08/27/2018	***-**-01SI - BAZABAL, GENE	AMERICAN HIGH-INCOME TRUST-A	268.00	8.04	0.00	8.04	90.0	7.24
	ACCOUNT #: 00089905927	BUY 25 Units @10.6500						
08/27/2018	***-**-01SI - BAZABAL, GENE	AMERICAN MUTUAL FUND-A	402.00	17.09	0.00	17.09	90.0	15.38
	ACCOUNT #: 00089905927	BUY 9 Units @45.0400						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	AMERICAN MUTUAL FUND-C	3.00	0.03	0.00	0.03	90.0	0.03
	ACCOUNT #: 04000003339	BUY 0 Units @42.0500						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	EUROPACIFIC GROWTH FUND CLASS C	6.00	0.06	0.00	0.06	90.0	0.05
	ACCOUNT #: 04000003339	BUY 0 Units @51.8900						
08/27/2018	***-**-01SI - BAZABAL, GENE	EUROPACIFIC GROWTH FUND-A	670.00	28.48	0.00	28.48	90.0	25.63
	ACCOUNT #: 00089905927	BUY 12 Units @56.8200						
08/27/2018	***-**-01SI - BAZABAL, GENE	INFLATION LINKED BOND FUND-A	938.00	18.76	0.00	18.76	90.0	16.88
	ACCOUNT #: 00089905927	BUY 94 Units @9.9400						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	INVESTMENT COMPANY OF AMERICA CLASS	3.00	0.03	0.00	0.03	90.0	0.03
	ACCOUNT #: 04000003339	BUY 0 Units @41.1800						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	NEW WORLD FUND-C	2.10	0.02	0.00	0.02	90.0	0.02
	ACCOUNT #: 04000003339	BUY 0 Units @62.0100						
08/27/2018	***-**-01SI - BAZABAL, GENE	SMALLCAP WORLD FUND-A	268.00	11.39	0.00	11.39	90.0	10.25
	ACCOUNT #: 00089905927	BUY 4 Units @63.9700						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	SMALLCAP WORLD FUND-C	4.50	0.05	0.00	0.05	90.0	0.05
	ACCOUNT #: 04000003339	BUY 0 Units @53.3900						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
08/27/2018	***-**-01SI - BAZABAL, GENE	THE BOND FUND OF AMERICA-A	1,675.00	50.25	0.00	50.25	90.0	45.23
	ACCOUNT #: 00089905927	BUY 128 Units @13.0800						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	THE BOND FUND OF AMERICA-C	1.50	0.02	0.00	0.02	90.0	0.02
	ACCOUNT #: 04000003339	BUY 0 Units @12.5700						
08/27/2018	***-**-01SI - BAZABAL, GENE	THE GROWTH FUND OF AMERICA-A	335.00	14.24	0.00	14.24	90.0	12.82
	ACCOUNT #: 00089905927	BUY 6 Units @59.1500						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	THE GROWTH FUND OF AMERICA-C	5.40	0.05	0.00	0.05	90.0	0.05
	ACCOUNT #: 04000003339	BUY 0 Units @51.9600						
08/27/2018	***-**-01SI - BAZABAL, GENE	THE INVESTMENT COMPANY OF AMERICA-A	469.00	19.93	0.00	19.93	90.0	17.94
	ACCOUNT #: 00089905927	BUY 11 Units @44.0800						
08/27/2018	***-**-01SI - BAZABAL, GENE	THE NEW ECONOMY FUND-A	134.00	5.70	0.00	5.70	90.0	5.13
	ACCOUNT #: 00089905927	BUY 3 Units @52.1700						
08/31/2018	***-**-6863 - MARTIN, MITCHELL	THE NEW ECONOMY FUND-C	2.10	0.02	0.00	0.02	90.0	0.02
	ACCOUNT #: 04000003339	BUY 0 Units @44.3800						
08/27/2018	***-**-01SI - BAZABAL, GENE	U.S. GOVERNMENT SECURITIES FUND CLA	670.00	20.10	0.00	20.10	90.0	18.09
	ACCOUNT #: 00089905927	BUY 48 Units @13.9000						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$6,229.09</b>	<b>\$204.51</b>	<b>\$0.00</b>	<b>\$204.51</b>		<b>\$184.09</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
09/04/2018	***-**-6352 - CLABORN, DAVID	LINCOLN FINANCIAL GROUP CUSIP 53404	12,057.00	301.43	0.00	301.43	90.0	271.29
	ACCOUNT #: 4910049	BUY 0 Units @0.0000						
09/07/2018	***-**-8270 - KELLY, PAMELA	PACIFIC LIFE DTCC RENEWAL	416.67	8.33	0.00	8.33	90.0	7.50
	ACCOUNT #: VP60088270	BUY 0 Units @0.0000						
09/04/2018	***-**-125P - CANNADY, JAKE	PACIFIC LIFE EXEC II DTCC	800.00	15.84	0.00	15.84	90.0	14.26
	ACCOUNT #: VP61059840	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$13,273.67</b>	<b>\$325.60</b>	<b>\$0.00</b>	<b>\$325.60</b>		<b>\$293.05</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
09/10/2018	***-**-3170 - DEVELOPMENT	JOHN HANCOCK VA TRAILS	0.00	99.48	0.00	99.48	90.0	89.53
	ACCOUNT #: 23170	BUY 1 Units @0.0000						
09/10/2018	***-**-5031 - VICI PROPERTIES	JOHN HANCOCK VA TRAILS	0.00	1,573.71	0.00	1,573.71	90.0	1,416.34
	ACCOUNT #: 131264	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b>								
09/10/2018	***-**-0664 - FOCUS	JOHN HANCOCK VA TRAILS	0.00	828.73	0.00	828.73	90.0	745.86
	ACCOUNT #: 114317	BUY 1 Units @0.0000						
08/31/2018	***-**-3276 - ZAMORA, WILLIAM	PERSPECTIVE II DTCC	0.00	49.35	0.00	49.35	90.0	44.42
	ACCOUNT #: 1018869493	BUY 0 Units @0.0000						
09/10/2018	***-**-7053 - VISHWANATH MD	QUALIFIED PLAN SUMMARY	0.00	459.30	0.00	459.30	90.0	413.37
	ACCOUNT #: 87501	BUY 1 Units @0.0000						
09/10/2018	***-**-8042 - JCM AMERICAN	QUALIFIED PLAN SUMMARY	0.00	1,515.96	0.00	1,515.96	90.0	1,364.36
	ACCOUNT #: 130807	BUY 1 Units @0.0000						
09/10/2018	***-**-74JK - RSI ENTERPRISES,	QUALIFIED PLAN SUMMARY	0.00	566.52	0.00	566.52	90.0	509.87
	ACCOUNT #: 129968	BUY 1 Units @0.0000						
09/10/2018	***-**-2744 - SHREE GANESH LLC	QUALIFIED PLAN SUMMARY	0.00	49.32	0.00	49.32	90.0	44.39
	ACCOUNT #: 127802	BUY 1 Units @0.0000						
09/10/2018	***-**-2070 - TCH LAW PLC 401K	QUALIFIED PLAN SUMMARY	0.00	459.98	0.00	459.98	90.0	413.98
	ACCOUNT #: 123577	BUY 1 Units @0.0000						
09/10/2018	***-**-54QP - STAR NURSERY INC	QUALIFIED PLAN SUMMARY	0.00	1,323.77	0.00	1,323.77	90.0	1,191.39
	ACCOUNT #: 118948	BUY 1 Units @0.0000						
09/10/2018	***-**-7584 - MED-SMART,	QUALIFIED PLAN SUMMARY	0.00	1,635.23	0.00	1,635.23	90.0	1,471.71
	ACCOUNT #: 116011	BUY 1 Units @0.0000						
09/10/2018	***-**-4580 - ROSS AERIAL,	QUALIFIED PLAN SUMMARY	0.00	1,064.52	0.00	1,064.52	90.0	958.07
	ACCOUNT #: 114840	BUY 1 Units @0.0000						
09/10/2018	***-**-888K - MKS GRAPHICS,	QUALIFIED PLAN SUMMARY	0.00	1,109.01	0.00	1,109.01	90.0	998.11
	ACCOUNT #: 114333	BUY 1 Units @0.0000						
09/10/2018	***-**-728Q - HORSEMEN INC	QUALIFIED PLAN SUMMARY	0.00	756.61	0.00	756.61	90.0	680.95
	ACCOUNT #: 109030	BUY 1 Units @0.0000						
09/10/2018	***-**-0215 - PRO-STEEL	QUALIFIED PLAN SUMMARY	0.00	848.45	0.00	848.45	90.0	763.60
	ACCOUNT #: 107713	BUY 2 Units @0.0000						
09/10/2018	***-**-66QP - MVT SERVICES LLC	QUALIFIED PLAN SUMMARY	0.00	1,881.56	0.00	1,881.56	90.0	1,693.40
	ACCOUNT #: 107713	BUY 1 Units @0.0000						
09/10/2018	***-**-2436 - RT MANAGEMENT,	QUALIFIED PLAN SUMMARY	0.00	3.92	0.00	3.92	90.0	3.53
		BUY 1 Units @0.0000						
09/10/2018	***-**-5760 - KR SALINE, &	QUALIFIED PLAN SUMMARY	0.00	3,399.50	0.00	3,399.50	90.0	3,059.55
		BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b>								
09/10/2018	***-**-58CL - KELLY, CLIENTS	VOYA VA TRIALS	0.00	0.59	0.00	0.59	90.0	0.53
		BUY 1 Units @0.0000						
09/10/2018	***-**-58CL - KELLY, CLIENTS	VOYA VA TRIALS	0.00	0.10	0.00	0.10	90.0	0.09
		BUY 1 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$17,625.61	\$0.00	\$17,625.61		\$15,863.05
*** BROKER TRANSACTIONS TOTAL ***			\$19,502.76	\$18,155.72	\$0.00	\$18,155.72		\$16,340.19

## BROKER COMMISSION TOTALS

Broker Transactions	\$16,092.44
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	\$16,340.19
Year-to-date Earnings	\$261,039.90