



COMMISSION STATEMENT

October 22, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/18/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: LSR011898	AF MODERATE GROWTH AND INCOME-A BUY 46 Units @14.8300	675.00	13.50	0.00	13.50	70.0	9.45
10/15/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMCAP FUND-A BUY 3 Units @34.1700	90.00	2.48	0.00	2.48	70.0	1.74
10/18/2018	***-**-8346 - SCOLLAN, JAMIE ACCOUNT #: 04000941955	AMERICAN FUNDS 2040 TARGET DATE-A BUY 7 Units @15.4900	110.76	1.77	0.00	1.77	70.0	1.24
10/18/2018	***-**-8346 - SCOLLAN, JAMIE ACCOUNT #: 04000941955	AMERICAN FUNDS 2040 TARGET DATE-A BUY 7 Units @15.4900	110.76	1.77	0.00	1.77	70.0	1.24
10/18/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: LSR011898	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 36 Units @18.8500	675.00	13.50	0.00	13.50	70.0	9.45
10/18/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 18 Units @18.7600	339.22	5.43	0.00	5.43	70.0	3.80
10/18/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 8 Units @18.7600	141.92	2.27	0.00	2.27	70.0	1.59
10/16/2018	***-**-191R - SHEEHAN, KEELY ACCOUNT #: LSR012754	AMERICAN FUNDS GRWTH & INCOME PORT BUY 47 Units @16.0500	750.00	37.50	18.00	19.50	70.0	13.65
10/18/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: LSR011898	AMERICAN FUNDS GRWTH & INCOME PORT BUY 74 Units @15.2900	1,125.01	22.50	0.00	22.50	70.0	15.75
10/18/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: LSR011898	AMERICAN FUNDS TAX ADVANTGED INC PO BUY 82 Units @13.6700	1,125.00	22.50	0.00	22.50	70.0	15.75
10/15/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	AMERICAN MUTUAL FUND-A BUY 1 Units @42.8000	50.00	1.38	0.00	1.38	70.0	0.97
10/15/2018	***-**-3987 - LINGE, MARY ACCOUNT #: 08351856019	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	70.0	3.33
10/15/2018	***-**-3569 - ANDERSON, ACCOUNT #: 00088334300	FUNDAMENTAL INVESTORS-A BUY 1 Units @63.9800	50.00	1.38	0.00	1.38	70.0	0.97
10/18/2018	***-**-2633 - BUTLER, JAIME ACCOUNT #: 00075179061	NEW PERSPECTIVE FUND-A BUY 1 Units @44.4000	34.77	0.56	0.00	0.56	70.0	0.39
10/18/2018	***-**-2633 - BUTLER, JAIME ACCOUNT #: 00075179061	NEW PERSPECTIVE FUND-A BUY 1 Units @44.4000	26.08	0.42	0.00	0.42	70.0	0.29
10/18/2018	***-**-9064 - GUERRERO, NIGEL ACCOUNT #: 00088394220	NEW PERSPECTIVE FUND-A BUY 1 Units @44.4000	46.39	0.74	0.00	0.74	70.0	0.52



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	46.39	0.74	0.00	0.74	70.0	0.52
	ACCOUNT #: 00088394220	BUY 1 Units @44.4000						
10/15/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER CORP. BOND FUND A	50.00	2.00	0.00	2.00	70.0	1.40
	ACCOUNT #: 00100031714	BUY 0 Units @0.0000						
10/15/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	2.38	0.00	2.38	70.0	1.67
	ACCOUNT #: 01952249841	BUY 0 Units @0.0000						
10/15/2018	***-**-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 @12.8400						
10/18/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	34.77	0.56	0.00	0.56	70.0	0.39
	ACCOUNT #: 00075179061	BUY 3 Units @12.6200						
10/18/2018	***-**-2633 - BUTLER, JAIME	THE BOND FUND OF AMERICA-A	26.08	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: 00075179061	BUY 2 Units @12.6200						
10/18/2018	***-**-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 @12.6200						
10/18/2018	***-**-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 @12.6200						
10/15/2018	***-**-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 @54.7000						
10/18/2018	***-**-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 @54.1300						
10/18/2018	***-**-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 @54.1300						
10/15/2018	***-**-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 @23.2600						
10/18/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	34.77	0.56	0.00	0.56	70.0	0.39
	ACCOUNT #: 00075179061	BUY 2 Units @22.9600						
10/18/2018	***-**-2633 - BUTLER, JAIME	THE INCOME FUND OF AMERICA-A	26.06	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: 00075179061	BUY 1 Units @22.9600						
10/18/2018	***-**-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 @22.9600						
10/18/2018	***-**-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 @22.9600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	34.77	0.56	0.00	0.56	70.0	0.39
	ACCOUNT #: 00075179061	BUY 1 Units @41.0100						
10/18/2018	***-**-2633 - BUTLER, JAIME	THE INVESTMENT COMPANY OF AMERICA-A	26.08	0.42	0.00	0.42	70.0	0.29
	ACCOUNT #: 00075179061	BUY 1 Units @41.0100						
10/15/2018	***-**-3569 - ANDERSON,	THE NEW ECONOMY FUND-A	65.00	1.79	0.00	1.79	70.0	1.25
	ACCOUNT #: 00088334300	BUY 1 Units @47.3800						
* MUTUAL FUNDS SUBTOTAL *			\$6,255.29	\$151.13	\$18.00	\$133.13		\$93.19
PRODUCT CATEGORY: VARIABLE ANNUITIES								
09/10/2018	***-**-2285 - BOARD OF	PRUDENTIAL DEFINED INCOME OPTION A	95,869.31	4,793.47	0.00	4,793.47	70.0	3,355.43
		BUY 1 Units @91970.3600						
* VARIABLE ANNUITIES SUBTOTAL *			\$95,869.31	\$4,793.47	\$0.00	\$4,793.47		\$3,355.43
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/18/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN FUNDS T/E PRESERVATION POR	900.00	18.00	0.00	18.00	70.0	12.60
	ACCOUNT #: LSR011898	BUY 92 Units @9.8300						
10/22/2018	***-**-2471 - COLUCCI, ATHENA	CALAMOS TRAILS	0.00	3.32	0.00	3.32	70.0	2.32
	ACCOUNT #: 6020029186	BUY 0 Units @0.0000						
10/22/2018	***-**-92IN - FITZGERALD, MARY	COLUMBIA MF TRAILS	0.00	0.83	0.00	0.83	70.0	0.58
		BUY 0 Units @0.0000						
10/04/2018	***-**-5917 - MAOLINARO, E	MAINSTAY 56062F327	0.00	15.20	0.00	15.20	70.0	10.64
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
10/04/2018	***-**-58UT - BABBONI, MAXWELL	MAINSTAY 56063U604	0.00	6.28	0.00	6.28	70.0	4.40
	ACCOUNT #: 00055883190	BUY 0 Units @0.0000						
10/04/2018	***-**-0240 - CHAUVIN, LAURA	MAINSTAY 56063U703	0.00	5.89	0.00	5.89	70.0	4.12
	ACCOUNT #: 00055749831	BUY 0 Units @0.0000						
10/04/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	0.00	103.45	0.00	103.45	70.0	72.42
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
10/04/2018	***-**-5917 - MAOLINARO, E	MAINSTAY EPOCH US EQUITY YIELD CLAS	0.00	17.93	0.00	17.93	70.0	12.55
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
10/04/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	4.32	0.00	4.32	70.0	3.02
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/04/2018	***-**-5917 - MAOLINARO, E	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	1.39	0.00	1.39	70.0	0.97
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
10/04/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY HIGH-YIELD CORPORATE BOND	0.00	20.66	0.00	20.66	70.0	14.46
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
10/04/2018	***-**-5917 - MAOLINARO, E	MAINSTAY MAP INVESTOR CLASS	0.00	4.37	0.00	4.37	70.0	3.06
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
10/01/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY MOD GROWTH ALLOC INVESTOR	100.00	4.75	0.00	4.75	70.0	3.33
	ACCOUNT #: 00055720031	BUY 6 Units @16.8300						
10/04/2018	***-**-5161 - FARKAS,	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	1.50	0.00	1.50	70.0	1.05
	ACCOUNT #: 00055513668	BUY 0 Units @0.0000						
10/04/2018	***-**-6593 - FARKAS, JOSEPH	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	1.58	0.00	1.58	70.0	1.11
	ACCOUNT #: 00055513669	BUY 0 Units @0.0000						
10/04/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	6.45	0.00	6.45	70.0	4.52
	ACCOUNT #: 00055720031	BUY 0 Units @0.0000						
10/04/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	0.00	60.56	0.00	60.56	70.0	42.39
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
10/04/2018	***-**-1983 - FARKAS, KAYLEE	MAINSTAY MODERATE ALLOCATION FUND C	0.00	27.45	0.00	27.45	70.0	19.22
	ACCOUNT #: 00055734681	BUY 0 Units @0.0000						
10/04/2018	***-**-3569 - ANDERSON,	MAINSTAY MODERATE GROWTH ALLOC FND	0.00	49.20	0.00	49.20	70.0	34.44
	ACCOUNT #: 00011265211	BUY 0 Units @0.0000						
10/04/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	0.00	2.46	0.00	2.46	70.0	1.72
	ACCOUNT #: 00055761480	BUY 0 Units @0.0000						
10/04/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TOTAL RETURN FUND A	0.00	11.07	0.00	11.07	70.0	7.75
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
10/04/2018	***-**-5917 - MAOLINARO, E	MAINSTAY U.S. SMALL CAP FUND INV CL	0.00	0.91	0.00	0.91	70.0	0.64
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
10/22/2018	***-**-6717 - DEBONIS, BRENDA	SCHOLAR'S EDGE TRAILS	0.00	13.27	0.00	13.27	70.0	9.29
		BUY 0 Units @0.0000						
10/01/2018	***-**-5076 - TORRES, JASON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	0.38	0.00	0.38	70.0	0.27
	ACCOUNT #: 00000751783	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$1,000.00	\$381.22	\$0.00	\$381.22		\$266.87
*** BROKER TRANSACTIONS TOTAL ***			\$103,124.60	\$5,325.82	\$18.00	\$5,307.82		\$3,715.49



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$3,715.49
						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		\$3,715.49
						Year-to-date Earnings		\$59,051.67