



# COMMISSION STATEMENT

## October 01, 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>								
09/27/2018	***-**-7960 - CARVAJAL, JUDITH	AF MODERATE GROWTH AND INCOME-A	110.92	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR011337	SELL 7 Units @15.0500						
09/27/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	27.77	1.18	0.00	1.18	80.0	0.94
	ACCOUNT #: 04001030377	BUY 1 Units @37.0600						
09/27/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	16.66	0.71	0.00	0.71	80.0	0.57
	ACCOUNT #: 04001030377	BUY 0 Units @37.0600						
09/27/2018	***-**-3083 - SWIRSKI, KATHY	AMERICAN 2040 TARGET DATE RETIREMNT	359.44	3.59	0.00	3.59	80.0	2.87
	ACCOUNT #: 04000939769	BUY 23 Units @15.6900						
09/27/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	99.54	4.23	0.00	4.23	80.0	3.38
	ACCOUNT #: 04001030237	BUY 5 Units @20.9400						
09/27/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	28.44	1.21	0.00	1.21	80.0	0.97
	ACCOUNT #: 04001030237	BUY 1 Units @20.9400						
09/24/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	33.74	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00083064667	BUY 1 Units @28.9800						
09/24/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00083064667	BUY 1 Units @28.9800						
09/24/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 04000563712	BUY 2 Units @28.9800						
09/24/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04000563712	BUY 5 Units @28.9800						
09/26/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 1 Units @28.3000						
09/26/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @28.3000						
09/26/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @28.3000						
09/26/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @28.3000						
09/26/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @28.3000						
09/26/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00081806027	BUY 0 Units @28.3000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/26/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081806027	BUY 11 Units @28.3000						
09/26/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	26.79	1.14	0.00	1.14	80.0	0.91
	ACCOUNT #: 04000812765	BUY 1 Units @29.3500						
09/26/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	17.80	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 04000812765	BUY 1 Units @29.3500						
09/27/2018	***-**-0474 - PEPICE, VITO	AMERICAN BALANCED FUND-C	567.28	5.67	0.00	5.67	80.0	4.54
	ACCOUNT #: 04000939776	BUY 20 Units @27.7500						
09/27/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	25.85	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 04001030342	BUY 1 Units @27.7500						
09/27/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04001030342	BUY 14 Units @27.7500						
09/24/2018	***-**-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 @13.3000						
09/24/2018	***-**-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 @13.3000						
09/26/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000812746	BUY 23 Units @15.7600						
09/26/2018	***-**-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 @15.7600						
09/27/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	67.91	2.89	0.00	2.89	80.0	2.31
	ACCOUNT #: 04001030247	BUY 4 Units @15.7600						
09/27/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	29.10	1.24	0.00	1.24	80.0	0.99
	ACCOUNT #: 04001030247	BUY 2 Units @15.7600						
09/27/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	33.04	1.40	0.00	1.40	80.0	1.12
	ACCOUNT #: 04001030256	BUY 2 Units @15.7600						
09/27/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	33.04	1.40	0.00	1.40	80.0	1.12
	ACCOUNT #: 04001030256	BUY 2 Units @15.7600						
09/27/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	44.44	1.89	0.00	1.89	80.0	1.51
	ACCOUNT #: 04001030268	BUY 3 Units @15.7600						
09/27/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	26.66	1.13	0.00	1.13	80.0	0.90
	ACCOUNT #: 04001030268	BUY 2 Units @15.7600						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/27/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	160.00	6.80	0.00	6.80	80.0	5.44
	ACCOUNT #: 04001030467	BUY 10 Units @15.7600						
09/27/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	45.30	1.93	0.00	1.93	80.0	1.54
	ACCOUNT #: 04001030467	BUY 3 Units @15.7600						
09/27/2018	***-**-3991 - ROBERTS, STEPHEN	AMERICAN FUNDS 2030 TARGET DATE-A	2,000.00	100.00	0.00	100.00	80.0	80.00
	ACCOUNT #: 04000939783	BUY 126 Units @15.8800						
09/27/2018	***-**-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 @14.6800						
09/27/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04001030397	BUY 17 Units @14.6800						
09/27/2018	***-**-7250 - RAJKOWSKI, DIANE	AMERICAN FUNDS 2030 TARGET DATE-C	412.36	4.12	0.00	4.12	80.0	3.30
	ACCOUNT #: 04000939806	BUY 28 Units @14.6800						
09/27/2018	***-**-0216 - STEINBACHER,	AMERICAN FUNDS 2030 TARGET DATE-C	310.96	3.11	0.00	3.11	80.0	2.49
	ACCOUNT #: 04000939792	BUY 21 Units @14.6800						
09/27/2018	***-**-4768 - MSADOQUIS,	AMERICAN FUNDS 2030 TARGET DATE-C	240.00	2.40	0.00	2.40	80.0	1.92
	ACCOUNT #: 04000939762	BUY 16 Units @14.6800						
09/24/2018	***-**-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 @16.1300						
09/24/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	118.85	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 04000563724	BUY 7 Units @16.1300						
09/26/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000813270	BUY 22 Units @16.3900						
09/26/2018	***-**-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 @16.3900						
09/26/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	300.00	12.75	0.00	12.75	80.0	10.20
	ACCOUNT #: 04000812733	BUY 18 Units @16.8400						
09/26/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812733	BUY 5 Units @16.8400						
09/26/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @16.8400						
09/26/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @16.8400						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/27/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 15 Units @16.8600	250.00	10.63	0.00	10.63	80.0	8.50
09/27/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 2 Units @16.8600	31.88	1.35	0.00	1.35	80.0	1.08
09/27/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.8600	66.13	2.81	0.00	2.81	80.0	2.25
09/27/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @16.8600	19.84	0.84	0.00	0.84	80.0	0.67
09/27/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 14 Units @16.8600	240.00	10.20	0.00	10.20	80.0	8.16
09/27/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.8600	73.20	3.11	0.00	3.11	80.0	2.49
09/27/2018	***-**-3266 - DIDOMINZIO, ACCOUNT #: 04000939801	AMERICAN FUNDS 2040 TARGET DATE-A BUY 6 Units @17.0000	99.03	4.95	0.00	4.95	80.0	3.96
09/24/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.5400	45.41	1.25	0.00	1.25	80.0	1.00
09/24/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 11 Units @16.5400	187.00	5.14	0.00	5.14	80.0	4.11
09/24/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.5400	50.30	1.38	0.00	1.38	80.0	1.10
09/24/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.5400	100.00	2.75	0.00	2.75	80.0	2.20
09/27/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @16.8200	29.90	1.27	0.00	1.27	80.0	1.02
09/27/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @16.8200	29.90	1.27	0.00	1.27	80.0	1.02
09/26/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @13.2700	75.00	0.90	0.00	0.90	80.0	0.72
09/26/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @13.2700	75.00	0.90	0.00	0.90	80.0	0.72
09/27/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 2 Units @13.7700	28.07	1.19	0.00	1.19	80.0	0.95



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/27/2018	***-**-5292 - BINETTE, JEREMY	AMERICAN FUNDS 2060 TARGET DATE-A	16.84	0.72	0.00	0.72	80.0	0.58
	ACCOUNT #: 04001030422	BUY 1 Units @13.7700						
09/27/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	27.77	1.18	0.00	1.18	80.0	0.94
	ACCOUNT #: 04001030377	BUY 1 Units @45.0600						
09/27/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	16.66	0.71	0.00	0.71	80.0	0.57
	ACCOUNT #: 04001030377	BUY 0 Units @45.0600						
09/27/2018	***-**-862I - CARBONE, WILLIAM	CAPITAL APPRECIATION A	1,927.76	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 29 Units @66.0100						
09/27/2018	***-**-862I - CARBONE, WILLIAM	EQUITY INCOME FUND, INC. A	2,830.24	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 86 Units @32.7900						
09/14/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN GROWTH FUND CLASS A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000060177222593	BUY 1 Units @110.4500						
09/14/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000090236508494	BUY 31 Units @2.4000						
09/27/2018	***-**-862I - CARBONE, WILLIAM	GLOBAL FUND A	2,015.16	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 20 Units @99.4700						
09/27/2018	***-**-862I - CARBONE, WILLIAM	INTERNATIONAL BOND A	1,101.06	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 201 Units @5.4700						
09/14/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000000007745197	BUY 2 Units @33.2500						
09/27/2018	***-**-862I - CARBONE, WILLIAM	OPPENHEIMER CORE BOND FUND A	2,072.26	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 314 Units @6.6000						
09/27/2018	***-**-862I - CARBONE, WILLIAM	OPPENHEIMER U.S. GOVT TR CLASS A	2,053.54	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010803	SELL 460 Units @4.4600						
09/28/2018	***-**-078I - PELLETIER,	SAMMONS LIVEWELL MUTUAL FUND	458.33	4.58	0.00	4.58	80.0	3.66
	ACCOUNT #: 7200000132	BUY 0 Units @0.0000						
09/28/2018	***-**-078I - PELLETIER,	SAMMONS MF TRAILS	0.00	25.09	0.00	25.09	80.0	20.07
	ACCOUNT #: 7200000132	BUY 0 Units @0.0000						
09/28/2018	***-**-365I - HENDRICKS,	SAMMONS MF TRAILS	0.00	53.41	0.00	53.41	80.0	42.73
	ACCOUNT #: 7200000751	BUY 0 Units @0.0000						
09/28/2018	***-**-8503 - DEPINHO, MARY	SAMMONS MF TRAILS	0.00	30.95	0.00	30.95	80.0	24.76
	ACCOUNT #: 7200004964	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/28/2018	***-**-230I - ADAMAITIS, JOY	SAMMONS MF TRAILS	0.00	38.45	0.00	38.45	80.0	30.76
	ACCOUNT #: 7200005523	BUY 0 Units @0.0000						
09/28/2018	***-**-069I - PIRES, DAVID	SAMMONS MF TRAILS	0.00	17.60	0.00	17.60	80.0	14.08
	ACCOUNT #: 7200006689	BUY 0 Units @0.0000						
09/28/2018	***-**-124I - YOUNG, SANDRA	SAMMONS MF TRAILS	0.00	20.88	0.00	20.88	80.0	16.70
	ACCOUNT #: 7200017871	BUY 0 Units @0.0000						
09/14/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000006984020841	BUY 6 Units @11.7200						
09/27/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	18.84	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @52.3700						
09/27/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	50.24	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04001030438	BUY 1 Units @52.3700						
09/26/2018	***-**-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 @13.4400						
09/27/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	33.50	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 04001030438	BUY 1 Units @46.0900						
09/27/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.56	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @46.0900						
* MUTUAL FUNDS SUBTOTAL *			\$22,469.36	\$505.80	\$18.00	\$487.80		\$390.18
<b>PRODUCT CATEGORY: EQUITY INDEXED ANNUITIES</b>								
10/01/2018	***-**-930I - SILL, RONALD	AMERICAN LANDMARK 5	26.81	1.07	0.00	1.07	100.0	1.07
	ACCOUNT #: 1196505509	BUY 1 Units @26.8100						
* EQUITY INDEXED ANNUITIES SUBTOTAL *			\$26.81	\$1.07	\$0.00	\$1.07		\$1.07
*** BROKER TRANSACTIONS TOTAL ***			\$22,496.17	\$506.87	\$18.00	\$488.87		\$391.25



BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div></div>								
BROKER COMMISSION TOTALS								
Broker Transactions								\$391.25
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								\$391.25
Year-to-date Earnings								\$79,592.35