



COMMISSION STATEMENT

November 26, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/20/2018	***-**-716I - PAPST, JASON	AMCAP FUND-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00067533376	BUY 3 Units @32.2500						
11/21/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	21.36	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 04001030377	BUY 1 Units @32.9900						
11/21/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	12.82	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 04001030377	BUY 0 Units @32.9900						
11/19/2018	***-**-3083 - SWIRSKI, KATHY	AMERICAN 2040 TARGET DATE RETIREMNT	196.80	1.97	0.00	1.97	80.0	1.58
	ACCOUNT #: 04000939769	BUY 14 Units @14.5500						
11/21/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	125.59	5.34	0.00	5.34	80.0	4.27
	ACCOUNT #: 04001030237	BUY 7 Units @19.2200						
11/21/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	35.88	1.52	0.00	1.52	80.0	1.22
	ACCOUNT #: 04001030237	BUY 2 Units @19.2200						
11/19/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 1 Units @27.3300						
11/19/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @27.3300						
11/19/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @27.3300						
11/19/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @27.3300						
11/19/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081805988	BUY 11 Units @27.3300						
11/19/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00081806027	BUY 0 Units @27.3300						
11/19/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00081806027	BUY 11 Units @27.3300						
11/20/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	33.74	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00083064667	BUY 1 Units @27.5600						
11/20/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00083064667	BUY 1 Units @27.5600						
11/20/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04000563712	BUY 6 Units @27.5600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/20/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 04000563712	BUY 2 Units @27.5600						
11/20/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	29.31	1.10	0.00	1.10	80.0	0.88
	ACCOUNT #: 04000627501	BUY 1 Units @27.8500						
11/20/2018	***-**-7943 - HAFFORD, CRYSTAL	AMERICAN BALANCED FUND-A	29.31	1.10	0.00	1.10	80.0	0.88
	ACCOUNT #: 04000627501	BUY 1 Units @27.8500						
11/21/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	18.43	0.69	0.00	0.69	80.0	0.55
	ACCOUNT #: 04000812765	BUY 1 Units @27.9500						
11/21/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	11.53	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812765	BUY 0 Units @27.9500						
11/19/2018	***-**-0474 - PEPICE, VITO	AMERICAN BALANCED FUND-C	294.20	2.94	0.00	2.94	80.0	2.35
	ACCOUNT #: 04000939776	BUY 11 Units @26.7200						
11/21/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	25.68	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 04001030342	BUY 1 Units @26.4900						
11/21/2018	***-**-3358 - WILCOX, JOANNE	AMERICAN BALANCED FUND-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04001030342	BUY 15 Units @26.4900						
11/20/2018	***-**-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 @12.7500						
11/20/2018	***-**-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 @12.7500						
11/19/2018	***-**-3991 - ROBERTS, STEPHEN	AMERICAN FUNDS 2030 TARGET DATE-A	1,000.00	50.00	0.00	50.00	80.0	40.00
	ACCOUNT #: 04000939783	BUY 67 Units @15.0300						
11/21/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	81.00	3.04	0.00	3.04	80.0	2.43
	ACCOUNT #: 04000812746	BUY 6 Units @14.7200						
11/21/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	65.40	2.78	0.00	2.78	80.0	2.22
	ACCOUNT #: 04001030247	BUY 4 Units @14.8000						
11/21/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	28.03	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 04001030247	BUY 2 Units @14.8000						
11/21/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	32.69	1.39	0.00	1.39	80.0	1.11
	ACCOUNT #: 04001030256	BUY 2 Units @14.8000						
11/21/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	32.69	1.39	0.00	1.39	80.0	1.11
	ACCOUNT #: 04001030256	BUY 2 Units @14.8000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/21/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	47.53	2.02	0.00	2.02	80.0	1.62
	ACCOUNT #: 04001030268	BUY 3 Units @14.8000						
11/21/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	28.52	1.21	0.00	1.21	80.0	0.97
	ACCOUNT #: 04001030268	BUY 2 Units @14.8000						
11/21/2018	***-**-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 @14.8000						
11/21/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	41.00	1.74	0.00	1.74	80.0	1.39
	ACCOUNT #: 04001030467	BUY 3 Units @14.8000						
11/19/2018	***-**-0216 - STEINBACHER,	AMERICAN FUNDS 2030 TARGET DATE-C	154.08	1.54	0.00	1.54	80.0	1.23
	ACCOUNT #: 04000939792	BUY 11 Units @13.8700						
11/19/2018	***-**-4768 - MSADOQUIS,	AMERICAN FUNDS 2030 TARGET DATE-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 04000939762	BUY 9 Units @13.8700						
11/19/2018	***-**-7250 - RAJKOWSKI, DIANE	AMERICAN FUNDS 2030 TARGET DATE-C	204.96	2.05	0.00	2.05	80.0	1.64
	ACCOUNT #: 04000939806	BUY 15 Units @13.8700						
11/21/2018	***-**-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 @13.7700						
11/21/2018	***-**-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 @13.7700						
11/20/2018	***-**-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 @14.8600						
11/20/2018	***-**-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 @14.8600						
11/21/2018	***-**-6321 - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	81.00	3.04	0.00	3.04	80.0	2.43
	ACCOUNT #: 04000813270	BUY 5 Units @15.1100						
11/21/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	300.00	11.25	0.00	11.25	80.0	9.00
	ACCOUNT #: 04000812733	BUY 19 Units @15.4500						
11/21/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	81.00	3.04	0.00	3.04	80.0	2.43
	ACCOUNT #: 04000812733	BUY 5 Units @15.4500						
11/21/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 04000812773	BUY 1 Units @15.4500						
11/21/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 04000812773	BUY 1 Units @15.4500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/21/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 16 Units @15.5300	250.00	10.63	0.00	10.63	80.0	8.50
11/21/2018	***-**-0258 - LALIBERTE, ACCOUNT #: 04001030407	AMERICAN FUNDS 2040 TARGET DATE-A BUY 2 Units @15.5300	29.12	1.24	0.00	1.24	80.0	0.99
11/21/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @15.5300	66.81	2.84	0.00	2.84	80.0	2.27
11/21/2018	***-**-5529 - BINETTE, JASON ACCOUNT #: 04001030412	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @15.5300	20.04	0.85	0.00	0.85	80.0	0.68
11/21/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 15 Units @15.5300	240.00	10.20	0.00	10.20	80.0	8.16
11/21/2018	***-**-0355 - PERREAULT, ACCOUNT #: 04001030442	AMERICAN FUNDS 2040 TARGET DATE-A BUY 5 Units @15.5300	73.20	3.11	0.00	3.11	80.0	2.49
11/20/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @15.1000	187.00	5.14	0.00	5.14	80.0	4.11
11/20/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.1000	45.41	1.25	0.00	1.25	80.0	1.00
11/20/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 7 Units @15.1000	100.00	2.75	0.00	2.75	80.0	2.20
11/20/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.1000	50.30	1.38	0.00	1.38	80.0	1.10
11/21/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.4400	34.33	1.46	0.00	1.46	80.0	1.17
11/21/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.4400	34.33	1.46	0.00	1.46	80.0	1.17
11/19/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.2900	75.00	0.90	0.00	0.90	80.0	0.72
11/19/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.2900	75.00	0.90	0.00	0.90	80.0	0.72
11/21/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 2 Units @12.6400	24.55	1.04	0.00	1.04	80.0	0.83
11/21/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 1 Units @12.6400	14.73	0.63	0.00	0.63	80.0	0.50



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/20/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	66.96	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00084434107	BUY 5 Units @14.3200						
11/20/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	80.0	1.93
	ACCOUNT #: 00084434107	BUY 17 Units @14.3200						
11/20/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00085621852	BUY 3 Units @14.3200						
11/20/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	36.56	0.37	0.00	0.37	80.0	0.30
	ACCOUNT #: 00085621852	BUY 3 Units @14.3200						
11/21/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	21.36	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 04001030377	BUY 0 Units @43.2700						
11/21/2018	***-**-2831 - RINALDI, JAMES	AMERICAN MUTUAL FUND-A	12.81	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 04001030377	BUY 0 Units @43.2700						
11/20/2018	***-**-716I - 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 @47.9500						
11/01/2018	***-**-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 @103.1600						
11/01/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000090236508494	BUY 32 Units @2.3300						
11/01/2018	***-**-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 @31.9400						
11/01/2018	***-**-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 @12.0100						
11/21/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	50.18	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04001030438	BUY 1 Units @46.0300						
11/21/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	18.82	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @46.0300						
11/19/2018	***-**-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 @13.4800						
11/20/2018	***-**-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 @13.7500						
11/20/2018	***-**-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 @45.7800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/21/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	33.45	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: 04001030438	BUY 1 Units @43.6700						
11/21/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.54	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @43.6700						
* MUTUAL FUNDS SUBTOTAL *			\$7,994.45	\$215.64	\$0.00	\$215.64		\$172.45
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/26/2018	***-**-963I - MORRO, JAMES	SAMMONS MF TRAILS	0.00	81.28	0.00	81.28	80.0	65.02
	ACCOUNT #: 7200018502	BUY 0 Units @0.0000						
11/26/2018	***-**-788I - LIPEIKA, RONALD	SAMMONS MF TRAILS	0.00	45.01	0.00	45.01	80.0	36.01
	ACCOUNT #: 7200016493	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$126.29	\$0.00	\$126.29		\$101.03
*** BROKER TRANSACTIONS TOTAL ***			\$7,994.45	\$341.93	\$0.00	\$341.93		\$273.48

BROKER COMMISSION TOTALS

Broker Transactions	\$273.48
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	\$273.48
Year-to-date Earnings	\$100,033.86