



# COMMISSION STATEMENT

## March 19, 2018

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

BROKER #: A92  
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: STOCKS</u></b>								
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4450	944.50	13.82	17.00	-3.18	100.0	-3.18
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4450	944.50	13.82	2.00	11.82	50.0	5.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4450	944.50	13.82	2.00	11.82	50.0	5.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4450	944.50	13.82	2.00	11.82	50.0	5.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4500	945.00	13.82	2.00	11.82	50.0	5.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4500	945.00	13.82	2.00	11.82	50.0	5.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 820 Units @9.4460	7,745.72	113.29	16.40	96.89	50.0	48.45
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALPINE TOTAL DYNAMIC DIVIDEND FUND BUY 100 Units @9.4500	945.00	13.82	2.00	11.82	50.0	5.91
03/13/2018	***-**-495I - HORWIN, JULIANA ACCOUNT #: LSR011456	CALAMOS CONV & HIGH INCOME FD COM SH SELL 68 Units @11.9010	809.27	0.00	16.36	-16.36	100.0	-16.36
03/14/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS CONV & HIGH INCOME FD COM SH SELL 1845 Units @11.8290	21,824.51	210.00	51.90	158.10	50.0	79.05
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL DYNAMIC INCOME FD BUY 100 Units @9.2190	921.90	11.31	17.00	-5.69	100.0	-5.69
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL DYNAMIC INCOME FD BUY 300 Units @9.2100	2,763.00	33.93	6.00	27.93	50.0	13.97
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL DYNAMIC INCOME FD BUY 1345 Units @9.2190	12,399.56	152.13	26.90	125.23	50.0	62.62
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL DYNAMIC INCOME FD BUY 100 Units @9.2190	921.90	11.31	2.00	9.31	50.0	4.66
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL DYNAMIC INCOME FD BUY 100 Units @9.2190	921.90	11.31	2.00	9.31	50.0	4.66
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS GLOBAL TOTAL RETURN FD COM BUY 950 Units @15.1020	14,346.90	210.00	34.00	176.00	50.0	88.00



# COMMISSION STATEMENT

## March 19, 2018

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

BROKER #: A92  
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS STRATEGIC TOTAL RETURN FD C BUY 100 Units @12.2390	1,223.90	17.50	17.00	0.50	50.0	0.25
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS STRATEGIC TOTAL RETURN FD C BUY 100 Units @12.2390	1,223.90	17.50	2.00	15.50	50.0	7.75
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CALAMOS STRATEGIC TOTAL RETURN FD C BUY 1000 Units @12.2390	12,239.00	175.00	20.00	155.00	50.0	77.50
03/13/2018	***-**-495I - HORWIN, JULIANA ACCOUNT #: LSR011456	CORNERSTONE TOTAL RTRN FD INC COM P BUY 402 Units @15.8400	6,367.68	0.00	23.04	-23.04	100.0	-23.04
03/14/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CORNERSTONE TOTAL RTRN FD INC COM P BUY 1375 Units @15.5860	21,430.75	210.00	42.50	167.50	50.0	83.75
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	DOUBLELINE INCOME SOLUTIONS FD COM BUY 725 Units @20.0050	14,503.63	210.00	29.50	180.50	50.0	90.25
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	LAZARD GLB TTL RET&INCM FD INC COM BUY 55 Units @19.2400	1,058.20	15.30	16.10	-0.80	100.0	-0.80
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	LAZARD GLB TTL RET&INCM FD INC COM BUY 100 Units @19.2400	1,924.00	27.81	2.00	25.81	50.0	12.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	LAZARD GLB TTL RET&INCM FD INC COM BUY 500 Units @19.2400	9,620.00	139.07	10.00	129.07	50.0	64.54
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	LAZARD GLB TTL RET&INCM FD INC COM BUY 100 Units @19.2400	1,924.00	27.81	2.00	25.81	50.0	12.91
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO CORPORATE INCOME FD COM BUY 100 Units @16.7850	1,678.50	24.42	17.00	7.42	50.0	3.71
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO CORPORATE INCOME FD COM BUY 115 Units @16.7850	1,930.28	28.08	2.30	25.78	50.0	12.89
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO CORPORATE INCOME FD COM BUY 145 Units @16.7850	2,433.83	35.41	2.90	32.51	50.0	16.26
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO CORPORATE INCOME FD COM BUY 100 Units @16.7850	1,678.50	24.42	2.00	22.42	50.0	11.21
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO CORPORATE INCOME FD COM BUY 400 Units @16.7850	6,714.00	97.67	8.00	89.67	50.0	44.84
03/15/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO DYNMIC CREDIT AND MRT IN COM BUY 30 Units @22.9850	689.55	10.00	15.60	-5.60	100.0	-5.60



# COMMISSION STATEMENT

## March 19, 2018

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

BROKER #: A92  
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS (continued)</u></b>								
03/15/2018	***-**-03IO - STANTON, KAREN	PIMCO DYNMIC CREDIT AND MRT IN COM	11,492.50	166.67	10.00	156.67	50.0	78.34
	ACCOUNT #: LSR011517	BUY 500 Units @22.9850						
03/15/2018	***-**-03IO - STANTON, KAREN	PIMCO DYNMIC CREDIT AND MRT IN COM	2,298.50	33.33	2.00	31.33	50.0	15.67
	ACCOUNT #: LSR011517	BUY 100 Units @22.9850						
03/15/2018	***-**-03IO - STANTON, KAREN	PIMCO INCOME OPPORTUNITY FND	11,902.04	172.50	24.20	148.30	50.0	74.15
	ACCOUNT #: LSR011517	BUY 460 Units @25.8740						
03/15/2018	***-**-03IO - STANTON, KAREN	PIMCO INCOME OPPORTUNITY FND	2,586.00	37.50	2.00	35.50	50.0	17.75
	ACCOUNT #: LSR011517	BUY 100 Units @25.8600						
03/13/2018	***-**-495I - HORWIN, JULIANA	PIMCO STRATEGIC INCOME FUND INC	5,578.91	0.00	27.26	-27.26	100.0	-27.26
	ACCOUNT #: LSR011456	SELL 613 Units @9.1010						
03/15/2018	***-**-03IO - STANTON, KAREN	WESTERN ASSET MTG DEF OPPTY FD COM	2,455.50	35.59	17.00	18.59	50.0	9.30
	ACCOUNT #: LSR011517	BUY 100 Units @24.5550						
03/15/2018	***-**-03IO - STANTON, KAREN	WESTERN ASSET MTG DEF OPPTY FD COM	12,022.15	174.41	9.80	164.61	50.0	82.31
	ACCOUNT #: LSR011517	BUY 490 Units @24.5350						
* STOCKS SUBTOTAL *			<u>\$204,242.98</u>	<u>\$2,530.01</u>	<u>\$505.76</u>	<u>\$2,024.25</u>		<u>\$971.23</u>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/19/2018	***-**-722I - PARADY, JESSICA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.33	0.00	1.33	50.0	0.67
	ACCOUNT #: LSR011596	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			<u>\$0.00</u>	<u>\$1.33</u>	<u>\$0.00</u>	<u>\$1.33</u>		<u>\$0.67</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$204,242.98</u>	<u>\$2,531.34</u>	<u>\$505.76</u>	<u>\$2,025.58</u>		<u>\$971.90</u>



**COMMISSION STATEMENT**  
**March 19, 2018**

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

**BROKER #: A92**  
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER COMMISSION TOTALS</u></b>								
Broker Transactions								\$971.90
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
<hr/>								
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward	\$0.00	
						Year-to-date Earnings	\$0.00	