

## COMMISSION STATEMENT

August 31, 2017

LAWRENCE HORN

301 E 47TH STREET

APT 16J

NEW YORK, NY 10017

BROKER #: 46

BRANCH: HOME OFFICE

COMMISSION STATEMENT for LAWRENCE HORN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
08/04/2017	QGV005382	BNP PARIBUS PRIME	CONSOLIDATED WATER CO LTD	S	-278,659.05	879.80	10.00	869.80	50.0 434.90
07/27/2017	QGV005887	GS ARBITRAGE	CALPINE CORPORATION	B	112,032.89	234.30	10.00	224.30	50.0 112.15
07/27/2017	QGV005887	GS ARBITRAGE	CALPINE CORPORATION	B	-112,032.89	-234.30	-10.00	-224.30	50.0 -112.15 C
07/27/2017	QGV005887	GS ARBITRAGE	CALPINE CORPORATION	B	69,744.42	145.86	10.00	135.86	50.0 67.93
07/27/2017	QGV005895	MORGAN STANLEY	CALPINE CORPORATION	B	31,415.11	65.70	10.00	55.70	50.0 27.85
07/27/2017	QGV005895	MORGAN STANLEY	CALPINE CORPORATION	B	-31,415.11	-65.70	-10.00	-55.70	50.0 -27.85 C
07/27/2017	QGV005895	MORGAN STANLEY	CALPINE CORPORATION	B	73,703.58	154.14	10.00	144.14	50.0 72.07
08/02/2017	QGV006240	GS ARBITRAGE	ATWOOD OCEANICS INC	B	79,916.00	300.00	10.00	290.00	50.0 145.00
* STOCKS SUBTOTAL *					\$-55,295.05	\$1,479.80	\$40.00	\$1,439.80	\$719.90
*** BROKER TRANSACTIONS TOTAL ***					\$-55,295.05	\$1,479.80	\$40.00	\$1,439.80	\$719.90

**ADJUSTMENTS**

08/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
08/31/2017	OTHER: HAMMERSTONE	0.00	0.00	0.00	0.00	-127.50
08/31/2017	OTHER: OTHER	0.00	0.00	0.00	0.00	-1,050.00
08/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-5.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-1,202.50

**BROKER COMMISSION TOTALS**

Broker Transactions	\$719.90
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,202.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-467.69
FINRA Assessment	\$-1.85
SIPC Assessment	\$-3.70

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$-955.84</b>
<b>Year-to-date Earnings</b>	<b>\$401.32</b>