



BROKER #: A92
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS								
PRODUCT CATEGORY: STOCKS								
02/05/2018	***--648I - PARADY, STEVE	BROOKFIELD REAL ASSETS INCOME SHS B	23,349.27	280.00	35.18	244.82	50.0	122.41
	ACCOUNT #: LSR011462	SELL 1009 Units @23.1410						
02/02/2018	***--03IO - STANTON, KAREN	CALAMOS CONV &HIGH INCOME FD COM SH	12,141.13	210.00	35.50	174.50	50.0	87.25
	ACCOUNT #: LSR011517	BUY 1025 Units @11.8450						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV &HIGH INCOME FD COM SH	12,987.00	185.00	37.20	147.80	50.0	73.90
	ACCOUNT #: LSR011462	BUY 1110 Units @11.7000						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	17.00	3.00	50.0	1.50
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	1,103.00	20.00	2.00	18.00	50.0	9.00
	ACCOUNT #: LSR011462	BUY 100 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS CONV OPP AND INC FD SH BEN	2,206.00	40.00	4.00	36.00	50.0	18.00
	ACCOUNT #: LSR011462	BUY 200 Units @11.0300						
02/05/2018	***--648I - PARADY, STEVE	CALAMOS DYNAMIC CONV &INCOME COM	9,859.00	180.00	25.00	155.00	50.0	77.50
	ACCOUNT #: LSR011462	BUY 500 Units @19.7180						
02/02/2018	***--648K - PARADY, STEPHEN	CLOUGH GLOBAL DIVND AND INC FD COM	6,794.31	98.60	25.14	73.46	50.0	36.73
	ACCOUNT #: LSR011461	SELL 507 Units @13.4010						
02/02/2018	***--648K - PARADY, STEPHEN	CLOUGH GLOBAL DIVND AND INC FD COM	348.43	1.19	0.52	0.67	50.0	0.34
	ACCOUNT #: LSR011461	SELL 26 Units @13.4010						
02/02/2018	***--03IO - STANTON, KAREN	CLOUGH GLOBAL DIVND AND INC FD COM	5,551.74	90.59	23.28	67.31	50.0	33.66
	ACCOUNT #: LSR011517	SELL 414 Units @13.4100						
02/02/2018	***--03IO - STANTON, KAREN	CLOUGH GLOBAL DIVND AND INC FD COM	1,341.10	21.88	2.00	19.88	50.0	9.94
	ACCOUNT #: LSR011517	SELL 100 Units @13.4110						



COMMISSION STATEMENT

February 12, 2018

LOUIS HORWIN
7670 E La Junta Rd
Scottsdale, AZ 85255

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
02/02/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CLOUGH GLOBAL DIVND AND INC FD COM SELL 200 Units @13.4000	2,680.00	43.76	4.00	39.76	50.0	19.88
02/02/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CLOUGH GLOBAL DIVND AND INC FD COM SELL 100 Units @13.4110	1,341.10	21.88	2.00	19.88	50.0	9.94
02/02/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	CLOUGH GLOBAL DIVND AND INC FD COM SELL 100 Units @13.4110	1,341.10	21.88	2.00	19.88	50.0	9.94
02/02/2018	***-**-648K - PARADY, STEPHEN ACCOUNT #: LSR011461	CORNERSTONE STRATEGIC VALUE FD COM BUY 100 Units @15.9400	1,594.00	54.00	17.00	37.00	50.0	18.50
02/02/2018	***-**-648K - PARADY, STEPHEN ACCOUNT #: LSR011461	CORNERSTONE STRATEGIC VALUE FD COM BUY 330 Units @15.9400	5,260.20	44.80	6.60	38.20	50.0	19.10
02/05/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ISHARES COMEX GOLD TR ISHARES SELL 300 Units @12.8140	3,844.20	72.00	21.00	51.00	50.0	25.50
02/05/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ISHARES COMEX GOLD TR ISHARES SELL 200 Units @12.8150	2,563.00	48.00	4.00	44.00	50.0	22.00
* STOCKS SUBTOTAL *			<u>\$100,922.58</u>	<u>\$1,553.58</u>	<u>\$273.42</u>	<u>\$1,280.16</u>		<u>\$640.09</u>
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
02/05/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	DYNEX CAPITAL INC SOLICITED ORDER SELL 637 Units @6.2060	3,953.22	81.59	24.00	57.59	50.0	28.80
* UNIT INVESTMENT TRUSTS SUBTOTAL *			<u>\$3,953.22</u>	<u>\$81.59</u>	<u>\$24.00</u>	<u>\$57.59</u>		<u>\$28.80</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$104,875.80</u>	<u>\$1,635.17</u>	<u>\$297.42</u>	<u>\$1,337.75</u>		<u>\$668.89</u>



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DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER COMMISSION TOTALS									
Broker Transactions									\$668.89
Split Transactions									\$0.00
Override Transactions									\$0.00
Adjustments									\$0.00
Payroll Draw									\$0.00
Base Salary									\$0.00
Prior Period Balance									\$59.13
FINRA Assessment									\$0.00
SIPC Assessment									\$0.00
Net Commission Earned									\$728.02
Year-to-date Earnings									\$668.89