

## COMMISSION STATEMENT

November 30, 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

11/09/2017	QGV004450	DEUTSCHE BANK P/B	SPDR S&P 500 ETF TRUST	S	-12,839,520.00	2,500.00	10.00	2,490.00	50.0	1,245.00
11/08/2017	QGV006240	GS ARBITRAGE	NXSTAGE MED INC COM	S	-129,518.00	200.00	10.00	190.00	50.0	95.00
11/10/2017	QGV006307	GS ARBITRAGE	QUALCOMM INC	B	3,224,955.00	2,500.00	10.00	2,490.00	50.0	1,245.00
				* STOCKS SUBTOTAL *	\$-9,744,083.00	\$5,200.00	\$30.00	\$5,170.00		\$2,585.00

PRODUCT CATEGORY: MISCELLANEOUS

11/30/2017	VARIOUS, HORN	FIDELITY		B	0.00	795.00	10.00	785.00	50.0	392.50
				* MISCELLANEOUS SUBTOTAL *	\$0.00	\$795.00	\$10.00	\$785.00		\$392.50
				*** BROKER TRANSACTIONS TOTAL ***	\$-9,744,083.00	\$5,995.00	\$40.00	\$5,955.00		\$2,977.50

ADJUSTMENTS

11/30/2017	:				0.00	0.00	0.00	0.00		0.00
11/30/2017	OTHER: COMPLIANCE AND TECHNOLOGY				0.00	0.00	0.00	0.00		-20.00
11/30/2017	OTHER: HAMMERSTONE				0.00	0.00	0.00	0.00		-127.50
11/30/2017	OTHER: OTHER				0.00	0.00	0.00	0.00		-1,050.00
11/30/2017	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	\$2,977.50
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,202.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.50
SIPC Assessment	\$-13.00

<b>Check Amount</b>	<b>\$1,755.50</b>
<b>Year-to-date Earnings</b>	<b>\$14,819.03</b>