

**COMMISSION STATEMENT****March 31, 2018**

**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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

**BROKER TRANSACTIONS****PRODUCT CATEGORY: STOCKS**

|            |                        |                            |   |                      |                 |                |                 |      |                 |
|------------|------------------------|----------------------------|---|----------------------|-----------------|----------------|-----------------|------|-----------------|
| 03/07/2018 | QGV006240 GS ARBITRAGE | VERIZON COMMUNICATIONS     | S | -243,250.50          | 200.00          | 10.00          | 190.00          | 50.0 | 95.00           |
| 03/09/2018 | QGV006240 GS ARBITRAGE | VERIZON COMMUNICATIONS     | S | -488,400.00          | 400.00          | 10.00          | 390.00          | 50.0 | 195.00          |
|            |                        | <b>* STOCKS SUBTOTAL *</b> |   | <b>\$-731,650.50</b> | <b>\$600.00</b> | <b>\$20.00</b> | <b>\$580.00</b> |      | <b>\$290.00</b> |

**PRODUCT CATEGORY: MISCELLANEOUS**

|            |               |  |   |                      |                    |                |                    |      |                   |
|------------|---------------|--|---|----------------------|--------------------|----------------|--------------------|------|-------------------|
| 03/01/2018 | VARIOUS, HORN | TACONIC CAPITAL ADVISORS LP              | B | 0.00                 | 5,000.00           | 0.00           | 5,000.00           | 50.0 | 2,500.00          |
| 03/29/2018 | VARIOUS, HORN | TACONIC CAPITAL ADVISORS LP              | B | 0.00                 | 5,000.00           | 0.00           | 5,000.00           | 50.0 | 2,500.00          |
|            |               | <b>* MISCELLANEOUS SUBTOTAL *</b>        |   | <b>\$0.00</b>        | <b>\$10,000.00</b> | <b>\$0.00</b>  | <b>\$10,000.00</b> |      | <b>\$5,000.00</b> |
|            |               | <b>*** BROKER TRANSACTIONS TOTAL ***</b> |   | <b>\$-731,650.50</b> | <b>\$10,600.00</b> | <b>\$20.00</b> | <b>\$10,580.00</b> |      | <b>\$5,290.00</b> |

**ADJUSTMENTS**

|            |  |                                     |  |               |               |               |               |  |                    |
|------------|--|-------------------------------------|--|---------------|---------------|---------------|---------------|--|--------------------|
| 03/31/2018 |  | LICENSING FEE - FINRA: LICENSING FE |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -110.00            |
| 03/31/2018 |  | OTHER: COMPLIANCE AND TECHNOLOGY    |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -20.00             |
| 03/31/2018 |  | OTHER: HAMMERSTONE                  |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -127.50            |
| 03/31/2018 |  | OTHER: OTHER                        |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -1,050.00          |
| 03/31/2018 |  | OTHER: OTHER-360 OFFICE             |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -5.00              |
|            |  | <b>*** ADJUSTMENTS TOTAL ***</b>    |  | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> |  | <b>\$-1,312.50</b> |

**BROKER COMMISSION TOTALS**

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$5,290.00  |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-1,312.50 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$-2,089.30 |
| FINRA Assessment      | \$-0.75     |
| SIPC Assessment       | \$-1.50     |

|                              |                   |
|------------------------------|-------------------|
| <b>Check Amount</b>          | <b>\$1,885.95</b> |
| <b>Year-to-date Earnings</b> | <b>\$1,885.95</b> |