

COMMISSION STATEMENT**September 30, 2018**

LAWRENCE HORN
301 E 47TH STREET
APT 16J
NEW YORK, NY 10017

BROKER #: I 20 I75 K17 I21 I 2
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 |
|---|------------------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 09/06/2018 | 75501332 HORN, ABIGAIL JULIE | ADVANCED MICRO DEVICES INC | S | 2,805.50 | 20.00 | 10.00 | 10.00 | 50.0 | 5.00 |
| 08/31/2018 | QGV006240 GS ARBITRAGE | CA INC | B | 219,091.50 | 200.00 | 10.00 | 190.00 | 50.0 | 95.00 |
| 09/26/2018 | QGV006240 GS ARBITRAGE | ASPEN INSURANCE HLDGS LTD SHS ISIN# S | S | -208,375.00 | 200.00 | 10.00 | 190.00 | 50.0 | 95.00 |
| * STOCKS SUBTOTAL * | | | | \$13,522.00 | \$420.00 | \$30.00 | \$390.00 | | \$195.00 |
| <u>PRODUCT CATEGORY: MISCELLANEOUS</u> | | | | | | | | | |
| 09/04/2018 | VARIOUS, HORN | RESEARCH- ITG | B | 0.00 | 5.71 | 0.00 | 5.71 | 50.0 | 2.86 |
| * MISCELLANEOUS SUBTOTAL * | | | | \$0.00 | \$5.71 | \$0.00 | \$5.71 | | \$2.86 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$13,522.00 | \$425.71 | \$30.00 | \$395.71 | | \$197.86 |

ADJUSTMENTS

| | | | | | | | | | |
|----------------------------------|----------------------------------|--|--|---------------|---------------|---------------|---------------|--|--------------------|
| 09/30/2018 | OTHER: BLOOMBERG | | | 0.00 | 0.00 | 0.00 | 0.00 | | -1,050.00 |
| 09/30/2018 | OTHER: COMPLIANCE AND TECHNOLOGY | | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 09/30/2018 | OTHER: HAMMERSTONE | | | 0.00 | 0.00 | 0.00 | 0.00 | | -127.50 |
| 09/30/2018 | 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 | \$197.86 |
| 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 | \$-0.53 |
| SIPC Assessment | \$-1.05 |

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

| | |
|------------------------------|--------------------|
| Balance Forward | \$-1,006.22 |
| Year-to-date Earnings | \$25,388.60 |