



# COMMISSION STATEMENT

## October 15, 2018

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

BROKER #: A92  
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
10/11/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	CALAMOS CONV OPP AND INC FD SH BEN SELL 100 Units @10.1040	1,010.40	18.00	17.00	1.00	50.0	0.50
10/11/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	CALAMOS CONV OPP AND INC FD SH BEN SELL 200 Units @10.1040	2,020.80	36.00	4.00	32.00	50.0	16.00
10/11/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	CALAMOS CONV OPP AND INC FD SH BEN SELL 500 Units @10.1040	5,052.00	90.00	10.00	80.00	50.0	40.00
10/11/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	CALAMOS CONV OPP AND INC FD SH BEN SELL 200 Units @10.1040	2,020.80	36.00	4.00	32.00	50.0	16.00
10/11/2018	***-**-648K - PARADY, STEPHEN ACCOUNT #: LSR011461	CALAMOS DYNAMIC CONV &INCOME COM SELL 500 Units @19.1740	9,587.00	160.00	25.00	135.00	50.0	67.50
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	EATON VANCE RISK MNGD DIV EQTY COM SELL 800 Units @9.2620	7,409.60	125.00	31.00	94.00	50.0	47.00
10/10/2018	***-**-03TR - STANTON ACCOUNT #: LSR011523	INTRICON CORP COM SELL 45 Units @50.3980	2,267.91	100.00	15.90	84.10	50.0	42.05
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO DYNMIC CREDIT AND MRT IN COM SELL 325 Units @22.2200	7,221.50	120.00	21.50	98.50	50.0	49.25
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	STELLUS CAP INVT CORP COM USD0.01 SELL 100 Units @12.9300	1,293.00	24.29	17.00	7.29	50.0	3.65
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	STELLUS CAP INVT CORP COM USD0.01 SELL 100 Units @12.9300	1,293.00	24.29	2.00	22.29	50.0	11.15
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	STELLUS CAP INVT CORP COM USD0.01 SELL 100 Units @12.9300	1,293.00	24.29	2.00	22.29	50.0	11.15
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	STELLUS CAP INVT CORP COM USD0.01 SELL 300 Units @12.9300	3,879.00	72.86	6.00	66.86	50.0	33.43
10/11/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	STELLUS CAP INVT CORP COM USD0.01 SELL 100 Units @12.9300	1,293.00	24.29	2.00	22.29	50.0	11.15
10/11/2018	***-**-48TR - LIVING TR, U/A ACCOUNT #: LSR011463	VOYA GLBL EQTY DIV &PREM OPP COM IS SELL 400 Units @6.7200	2,688.00	73.24	23.00	50.24	50.0	25.12
10/11/2018	***-**-48TR - LIVING TR, U/A ACCOUNT #: LSR011463	VOYA GLBL EQTY DIV &PREM OPP COM IS SELL 100 Units @6.7200	672.00	4.44	2.00	2.44	50.0	1.22
10/11/2018	***-**-48TR - LIVING TR, U/A ACCOUNT #: LSR011463	VOYA GLBL EQTY DIV &PREM OPP COM IS SELL 100 Units @6.7200	672.00	4.43	2.00	2.43	50.0	1.22



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## BROKER TRANSACTIONS (continued)

### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)

* STOCKS SUBTOTAL *	\$49,673.01	\$937.13	\$184.40	\$752.73	\$376.39
*** BROKER TRANSACTIONS TOTAL ***	\$49,673.01	\$937.13	\$184.40	\$752.73	\$376.39

### BROKER COMMISSION TOTALS

Broker Transactions	\$376.39
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$376.39
Year-to-date Earnings	\$4,534.55