



COMMISSION STATEMENT

November 19, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	17.00	-8.38	100.0	-8.38
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	2.00	6.62	50.0	3.31
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	2.00	6.62	50.0	3.31
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	2.00	6.62	50.0	3.31
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	2.00	6.62	50.0	3.31
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 1140 Units @5.6000	6,384.00	98.28	22.80	75.48	50.0	37.74
11/09/2018	***-**-648I - PARADY, STEVE ACCOUNT #: LSR011462	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.6000	560.00	8.62	2.00	6.62	50.0	3.31
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	17.00	-15.17	100.0	-15.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 200 Units @5.5790	1,115.80	3.67	4.00	-0.33	100.0	-0.33
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5800	558.00	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 79 Units @5.5800	440.82	1.45	1.58	-0.13	100.0	-0.13
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5750	557.50	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @5.5790	557.90	1.83	2.00	-0.17	100.0	-0.17
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 21 Units @5.5800	117.18	0.39	0.42	-0.03	100.0	-0.03
11/09/2018	***-**-142I - HUBBARD, ACCOUNT #: LSR011510	ALLIANZGI CONV & INCOME FD II COM BUY 325 Units @5.5800	1,813.50	5.96	6.50	-0.54	100.0	-0.54



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
11/14/2018	***-**-03IO - STANTON, KAREN	ALLIANZGI CONV & INCOME FD II COM	10,374.00	150.00	53.00	97.00	50.0	48.50
	ACCOUNT #: LSR011517	BUY 1900 Units @5.4600						
11/09/2018	***-**-562J - BOYLE, BARBARA	C T S CORPORATION	2,822.00	65.00	17.00	48.00	50.0	24.00
	ACCOUNT #: LSR011460	SELL 100 Units @28.2200						
11/09/2018	***-**-02IO - PARADY, SUSAN	HORIZONS ETF TR I HORIZONS NASDAQ	7,912.56	110.00	21.64	88.36	50.0	44.18
	ACCOUNT #: LSR011568	BUY 332 Units @23.8330						
11/09/2018	***-**-562J - BOYLE, BARBARA	INTRICON CORP COM	2,727.48	65.00	16.40	48.60	50.0	24.30
	ACCOUNT #: LSR011460	BUY 70 Units @38.9640						
11/14/2018	***-**-03TR - STANTON	INTRICON CORP COM	511.11	40.00	15.30	24.70	50.0	12.35
	ACCOUNT #: LSR011523	SELL 15 Units @34.0740						
11/09/2018	***-**-142I - HUBBARD,	PIMCO STRATEGIC INCOME FUND INC	15,401.10	127.86	48.00	79.86	50.0	39.93
	ACCOUNT #: LSR011510	SELL 1650 Units @9.3340						
11/14/2018	***-**-03IO - STANTON, KAREN	STELLUS CAP INVT CORP COM USD0.01	9,730.26	145.00	29.80	115.20	50.0	57.60
	ACCOUNT #: LSR011517	SELL 740 Units @13.1490						
11/09/2018	***-**-02IO - PARADY, SUSAN	VERIZON COMMUNICATIONS UNSOLICITED	8,059.89	100.00	17.76	82.24	50.0	41.12
	ACCOUNT #: LSR011568	SELL 138 Units @58.4050						
* STOCKS SUBTOTAL *			\$82,482.50	\$1,002.76	\$338.20	\$664.56		\$318.29
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2018	***-**-648K - PARADY, STEPHEN	ALLIANZGI INCOME & GROWTH CL A	0.00	0.02	0.00	0.02	50.0	0.01
	ACCOUNT #: LSR011461	BUY 1 Units @0.0000						
10/19/2018	***-**-722I - KELEHER, JESSICA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.44	0.00	1.44	50.0	0.72
	ACCOUNT #: LSR011596	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.46	\$0.00	\$1.46		\$0.73
*** BROKER TRANSACTIONS TOTAL ***			\$82,482.50	\$1,004.22	\$338.20	\$666.02		\$319.02



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$319.02
						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		\$319.02
						Year-to-date Earnings		\$4,972.85