

COMMISSION STATEMENT**October 31, 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
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BROKER TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

10/03/2018	QGV006240 GS ARBITRAGE	AT&T INC	S	-169,113.00	200.00	10.00	190.00	50.0	95.00
10/10/2018	QGV006240 GS ARBITRAGE	CONAGRA FOODS INC	S	-266,007.75	300.00	10.00	290.00	50.0	145.00
10/11/2018	QGV006240 GS ARBITRAGE	KLX ENERGY SVCS HLDGS INC COM	S	-102,785.70	120.00	10.00	110.00	50.0	55.00
10/23/2018	QGV006240 GS ARBITRAGE	CA INC	B	219,356.00	200.00	10.00	190.00	50.0	95.00
10/23/2018	QGV006240 GS ARBITRAGE	PFIZER INCORPORATED	S	-219,508.00	200.00	10.00	190.00	50.0	95.00
* STOCKS SUBTOTAL *				\$-538,058.45	\$1,020.00	\$50.00	\$970.00		\$485.00

PRODUCT CATEGORY: MISCELLANEOUS

10/01/2018	VARIOUS, HORN	FIDELITY	B	0.00	802.39	0.00	802.39	50.0	401.20
10/19/2018	VARIOUS, HORN	IMPALA ASSET MGMT	B	0.00	25,000.00	0.00	25,000.00	50.0	12,500.00
10/31/2018	VARIOUS, HORN	TACONIC CAPITAL ADV	B	0.00	5,000.00	0.00	5,000.00	50.0	2,500.00
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$30,802.39	\$0.00	\$30,802.39		\$15,401.20
*** BROKER TRANSACTIONS TOTAL ***				\$-538,058.45	\$31,822.39	\$50.00	\$31,772.39		\$15,886.20

ADJUSTMENTS

10/31/2018	OTHER: 360 OFFICE			0.00	0.00	0.00	0.00		-5.00
10/31/2018	OTHER: BLOOMBERG			0.00	0.00	0.00	0.00		-1,050.00
10/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
10/31/2018	OTHER: HAMMERSTONE			0.00	0.00	0.00	0.00		-127.50
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,202.50

BROKER COMMISSION TOTALS

Broker Transactions	\$15,886.20
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,202.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,006.22
FINRA Assessment	\$-1.28
SIPC Assessment	\$-2.55

Check Amount	\$13,673.65
Year-to-date Earnings	\$41,074.69