

COMMISSION STATEMENT

March 31, 2018

FIRM 1-ACCOUNTS

BROKER #: 76

BRANCH: HOME OFFICE

, NY

COMMISSION STATEMENT for FIRM 1-ACCOUNTS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
03/15/2018	00551427251	PLAN		PUTNAM 746933100	B	100.00	5.00	0.00	5.00 80.0 4.00
03/15/2018	00551427251	PLAN		PUTNAM 74676P102	B	100.00	5.00	0.00	5.00 80.0 4.00
* MUTUAL FUNDS SUBTOTAL *				\$200.00		\$10.00	\$0.00	\$10.00	\$8.00
PRODUCT CATEGORY: STOCKS									
03/22/2018	75599824	RF LAFFERTY & CO		CAI INTL INC RED PERP PFD SER A% FI B		9,800.00	0.00	0.00	0.00 80.0 0.00
03/22/2018	75599824	RF LAFFERTY & CO		CAI INTL INC RED PERP PFD SER A% FI S		-9,800.00	0.00	0.00	0.00 80.0 0.00 C
03/22/2018	75599824	RF LAFFERTY & CO		CAI INTL INC RED PERP PFD SER A% FI B		9,800.00	0.00	0.00	0.00 80.0 0.00
03/22/2018	75599824	RF LAFFERTY & CO		CAI INTL INC RED PERP PFD SER A% FI S		10,000.00	0.00	0.00	0.00 80.0 0.00
03/26/2018	QGW020604	FOSTER, WILLIAM		SELECT SECTOR SPDR TRUST SHS BEN IN B		67,215.00	28.25	0.00	28.25 80.0 22.60
03/26/2018	QGW021347	ROTHBEIN, HOWARD		SELECT SECTOR SPDR TRUST SHS BEN IN B		67,215.00	28.25	0.00	28.25 80.0 22.60
* STOCKS SUBTOTAL *				\$154,230.00		\$56.50	\$0.00	\$56.50	\$45.20
PRODUCT CATEGORY: BONDS									
02/26/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY BILL	S	180,316.20	0.00	0.00	0.00 80.0 0.00
02/26/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY BILL	B	180,316.20	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	B	24,889.28	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	S	-24,889.30	0.00	0.00	0.00 80.0 0.00 C
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	B	24,889.28	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	S	24,889.28	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	B	24,810.16	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	S	-24,810.20	0.00	0.00	0.00 80.0 0.00 C
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	B	24,810.16	0.00	0.00	0.00 80.0 0.00
03/09/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	S	24,810.16	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREAS NTS 2.000% 02/1 B		24,532.29	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREAS NTS 2.000% 02/1 S		-24,532.30	0.00	0.00	0.00 80.0 0.00 C
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREAS NTS 2.000% 02/1 B		24,532.29	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREAS NTS 2.000% 02/1 S		24,532.29	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	B	25,077.79	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE	S	25,077.79	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE INVESTM B		25,016.09	0.00	0.00	0.00 80.0 0.00
03/12/2018	75599900	RF LAFFERTY & CO		UNITED STATES TREASURY NOTE INVESTM S		-25,016.10	0.00	0.00	0.00 80.0 0.00 C

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: BONDS</u>									
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE INVESTM B		25,016.09	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE INVESTM S		25,016.09	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,892.77	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	-24,892.80	0.00	0.00	0.00	80.0	0.00 C
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,892.77	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	24,892.77	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,694.44	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	-24,694.40	0.00	0.00	0.00	80.0	0.00 C
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,694.44	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	24,694.44	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,970.26	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	-24,970.30	0.00	0.00	0.00	80.0	0.00 C
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	24,970.26	0.00	0.00	0.00	80.0	0.00
03/12/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	24,970.26	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	EAST HAMPTON TWN N Y VARIOUS GENERA B		10,130.40	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	EAST HAMPTON TWN N Y VARIOUS GENERA S		10,130.40	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK N Y CITY INDL DEV YANKEE S B		8,239.60	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK N Y CITY INDL DEV YANKEE S S		8,239.60	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST TWY AUTH ST PERS STREET B		10,219.50	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST TWY AUTH ST PERS STREET S		10,219.50	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV MULTI-F B		5,068.25	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV MULTI-F S		5,068.25	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV SINGLE- B		9,984.20	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV SINGLE- S		9,984.20	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST DORM AUTH REVS NEW YORK B		4,940.05	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	NEW YORK ST DORM AUTH REVS NEW YORK S		4,940.05	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	OYSTER BAY N Y PUB IMPT BDS GENERAL B		5,077.55	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	OYSTER BAY N Y PUB IMPT BDS GENERAL S		5,077.55	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	TRIBOROUGH BRDG & TUNL AUTH BRIDGES B		5,091.70	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	TRIBOROUGH BRDG & TUNL AUTH BRIDGES S		5,091.70	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	WESTCHESTER CNTY N Y GO BDS GENERAL B		10,050.10	0.00	0.00	0.00	80.0	0.00
03/13/2018	75599900 RF LAFFERTY & CO	WESTCHESTER CNTY N Y GO BDS GENERAL S		10,050.10	0.00	0.00	0.00	80.0	0.00
03/14/2018	75599900 RF LAFFERTY & CO	SAG HARBOR N Y UN FREE SCH PRIMARY/ B		5,051.90	0.00	0.00	0.00	80.0	0.00
03/14/2018	75599900 RF LAFFERTY & CO	SAG HARBOR N Y UN FREE SCH PRIMARY/ S		5,051.90	0.00	0.00	0.00	80.0	0.00
03/15/2018	75599900 RF LAFFERTY & CO	HARRISON N Y FOR FUTURE ISSU GENERA B		5,055.20	0.00	0.00	0.00	80.0	0.00
03/15/2018	75599900 RF LAFFERTY & CO	HARRISON N Y FOR FUTURE ISSU GENERA S		5,055.20	0.00	0.00	0.00	80.0	0.00
03/20/2018	75599900 RF LAFFERTY & CO	POUGHKEEPSIE N Y CITY SCH PRIMARY/S B		10,055.60	0.00	0.00	0.00	80.0	0.00
03/20/2018	75599900 RF LAFFERTY & CO	POUGHKEEPSIE N Y CITY SCH PRIMARY/S S		10,055.60	0.00	0.00	0.00	80.0	0.00
03/22/2018	75599900 RF LAFFERTY & CO	RIVERHEAD N Y CENT SCH DIST PRIMARY B		5,072.35	0.00	0.00	0.00	80.0	0.00
03/22/2018	75599900 RF LAFFERTY & CO	RIVERHEAD N Y CENT SCH DIST PRIMARY S		5,072.35	0.00	0.00	0.00	80.0	0.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: BONDS</u>									
03/22/2018	75599900 RF LAFFERTY & CO	WESTCHESTER CNTY N Y GO GENERAL PUR B		5,081.35	0.00	0.00	0.00	80.0	0.00
03/22/2018	75599900 RF LAFFERTY & CO	WESTCHESTER CNTY N Y GO GENERAL PUR S		5,081.35	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	NEW YORK N Y CITY HSG DEV MULTI-FAM B		4,929.25	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	NEW YORK N Y CITY HSG DEV MULTI-FAM S		4,929.25	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	161,438.41	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	79,233.58	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	157,476.74	0.00	0.00	0.00	80.0	0.00
03/26/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	398,148.73	0.00	0.00	0.00	80.0	0.00
* BONDS SUBTOTAL *				\$1,762,789.91	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: OPTIONS</u>									
03/01/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 TEVA PHARMACEUTICAL INDUSTR S		-1,250.00	35.00	0.00	35.00	80.0	28.00
03/02/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 OVERSTOCK COM INC DEL COM E S		-8,800.00	35.00	0.00	35.00	80.0	28.00
03/02/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 OVERSTOCK COM INC DEL COM E B		6,600.00	35.00	0.00	35.00	80.0	28.00
03/02/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 OVERSTOCK COM INC DEL COM E S		8,800.00	-35.00	0.00	-35.00	80.0	-28.00 C
03/02/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 OVERSTOCK COM INC DEL COM E S		-8,800.00	35.00	0.00	35.00	80.0	28.00
03/02/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 TEVA PHARMACEUTICAL INDUSTR S		-1,250.00	35.00	0.00	35.00	80.0	28.00
03/07/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 AMERICAN EAGLE OUTFITTERS I B		710.00	30.00	0.00	30.00	80.0	24.00
03/08/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 AMERICAN EAGLE OUTFITTERS I S		-1,100.00	35.00	0.00	35.00	80.0	28.00
03/21/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 MOMO INC ADR ISIN#US60879B1 S		-920.00	35.00	0.00	35.00	80.0	28.00
03/23/2018	QGW005985 ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B S		-1,500.00	35.00	0.00	35.00	80.0	28.00
03/28/2018	QGW005985 ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B B		189.00	35.00	0.00	35.00	80.0	28.00
03/28/2018	QGW005985 ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B B		750.00	35.00	0.00	35.00	80.0	28.00
03/28/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 MICROSOFT CORP COM EXP 05-1 S		-632.00	35.00	0.00	35.00	80.0	28.00
03/08/2018	QGW031551 HEALY, TIMOTHY	PUT 100 CANADIAN IMPERIAL BK OF COM B		850.00	40.00	0.00	40.00	80.0	32.00
* OPTIONS SUBTOTAL *				\$-6,353.00	\$420.00	\$0.00	\$420.00		\$336.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/31/2018		FEE COUNT - 6		0.00	97.69	0.00	97.69	80.0	78.16
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$97.69	\$0.00	\$97.69		\$78.16
*** BROKER TRANSACTIONS TOTAL ***				\$1,910,866.91	\$584.19	\$0.00	\$584.19		\$467.36

COMMISSION STATEMENT for FIRM 1-ACCOUNTS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MMWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-0.36
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-4.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
03/31/2018		MWWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-22.36

BROKER COMMISSION TOTALS

Broker Transactions	\$467.36
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-22.36
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-10,944.99
FINRA Assessment	\$-0.73
SIPC Assessment	\$-1.46

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

Balance Forward	\$-10,502.18
Year-to-date Earnings	\$-10,502.18