

COMMISSION STATEMENT

February 28, 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 TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

02/15/2018	00551427251	PLAN	PUTNAM 746933100	B	100.00	5.00	0.00	5.00	80.0	4.00
02/15/2018	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

02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	B	52,345.20	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	4,525.00	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	9,050.00	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	13,575.00	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	13,575.00	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	13,575.00	0.00	0.00	0.00	80.0	0.00
02/08/2018	75599824	RF LAFFERTY & CO	MEDICINOV INC	S	13,575.00	0.00	0.00	0.00	80.0	0.00
02/26/2018	QGW002057	MURPHY, JOSEPH	GENERAL ELECTRIC CO	B	42,330.00	35.00	0.00	35.00	80.0	28.00
02/09/2018	QGW004251	PICKELSIMER, LISA	AT&T INC	S	-10,743.00	75.00	0.00	75.00	80.0	60.00
02/09/2018	QGW004251	PICKELSIMER, LISA	BANK OF AMERICA CORP	S	-9,001.02	75.00	0.00	75.00	80.0	60.00
02/09/2018	QGW004251	PICKELSIMER, LISA	INTERNATIONAL BUSINESS MACHINES COR S	S	-14,753.09	75.00	0.00	75.00	80.0	60.00
02/12/2018	QGW005985	ROTHBEIN, SYLVIA	INTEL CORP	B	22,288.30	28.25	0.00	28.25	80.0	22.60
02/23/2018	QGW005985	ROTHBEIN, SYLVIA	ADOBE SYSTEMS INC	B	15,316.50	30.00	0.00	30.00	80.0	24.00
02/05/2018	QGW030298	CHERNOFF, GLENN	MOTOROLA SOLUTIONS INC	B	31,394.40	20.00	0.00	20.00	80.0	16.00
02/22/2018	QGW038994	CROWE, PATRICIA	MACQUARIE INFRASTRUCTURE CORPORATIO B	B	11,612.13	60.00	0.00	60.00	80.0	48.00
* STOCKS SUBTOTAL *					\$195,089.42	\$398.25	\$0.00	\$398.25		\$318.60

PRODUCT CATEGORY: BONDS

01/30/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	91,279.19	0.00	0.00	0.00	80.0	0.00
01/30/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	91,279.19	0.00	0.00	0.00	80.0	0.00
* BONDS SUBTOTAL *					\$182,558.38	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: OPTIONS

02/09/2018	QGW005985	ROTHBEIN, SYLVIA	PUT 100 NVIDIA CORP COM EXP 03-23-1 S		-1,426.00	35.00	0.00	35.00	80.0	28.00
02/14/2018	QGW005985	ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B B		1,029.00	35.00	0.00	35.00	80.0	28.00
02/14/2018	QGW005985	ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B S		-1,485.00	35.00	0.00	35.00	80.0	28.00
02/16/2018	QGW005985	ROTHBEIN, SYLVIA	CALL 100 TEVA PHARMACEUTICAL INDUST B		750.00	35.00	0.00	35.00	80.0	28.00
02/16/2018	QGW005985	ROTHBEIN, SYLVIA	PUT 100 TEVA PHARMACEUTICAL INDUSTR B		810.00	35.00	0.00	35.00	80.0	28.00

COMMISSION STATEMENT for FIRM 1-ACCOUNTS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
02/20/2018	QGW005985	ROTHBEIN, SYLVIA	PUT 100 NVIDIA CORP COM EXP 04-20-1 S	-1,390.00	35.00	0.00	35.00	80.0	28.00
02/26/2018	QGW005985	ROTHBEIN, SYLVIA	PUT 100 NVIDIA CORP COM EXP 03-23-1 B	180.00	35.00	0.00	35.00	80.0	28.00
02/02/2018	QGW014656	FERRANTE, ANTHONY	CALL 100 GENERAL ELECTRIC CO COM EX B	2,340.00	35.00	0.00	35.00	80.0	28.00
02/06/2018	QGW030629	BEGLEY, MICHAEL	CALL 100 AMAZON COM INC EXP 02-09-1 S	-9,000.00	142.83	0.00	142.83	80.0	114.26
02/06/2018	QGW030629	BEGLEY, MICHAEL	CALL 100 AMAZON COM INC EXP 02-09-1 S	9,000.00	-142.83	0.00	-142.83	80.0	-114.26 C
02/06/2018	QGW030629	BEGLEY, MICHAEL	CALL 100 AMAZON COM INC EXP 02-09-1 S	-9,000.00	20.00	0.00	20.00	80.0	16.00
* OPTIONS SUBTOTAL *				\$-8,192.00	\$300.00	\$0.00	\$300.00		\$240.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/31/2018	000010166297872	BENEDETTO,	FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	26.52	0.00	26.52	80.0	21.22
01/31/2018	000010181884585	WAGNER,	FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	0.94	0.00	0.94	80.0	0.75
02/12/2018	QGW008369	FRIEDMAN, RICHARD	ALLIANCEBERNSTEIN GROWTH A B	0.00	0.97	0.00	0.97	80.0	0.78
02/13/2018	QGW014177	MORSE, SUSANNA	MASS INVESTORS GROWTH STOCK FUND-A B	0.00	2.78	0.00	2.78	80.0	2.22
02/21/2018	QGW014177	MORSE, SUSANNA	PUTNAM 74680E101 B	0.00	0.97	0.00	0.97	80.0	0.78
02/22/2018	QGW014177	MORSE, SUSANNA	FRANKLIN SMALL-MID CAP GROWTH FUND B	0.00	7.03	0.00	7.03	80.0	5.62
02/13/2018	QGW021115	ROTHBEIN, SYLVIA	MFS EQUITY OPPORTUNITIES FUND CLASS B	0.00	63.61	0.00	63.61	80.0	50.89
02/22/2018	QGW021347	ROTHBEIN, HOWARD	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	36.32	0.00	36.32	80.0	29.06
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$139.14	\$0.00	\$139.14		\$111.32
*** BROKER TRANSACTIONS TOTAL ***				\$369,655.80	\$847.39	\$0.00	\$847.39		\$677.92

ADJUSTMENTS

02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-64.48
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-42.60
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-64.40
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-62.80
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-64.20
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-36.70
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-41.00
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-64.48
02/28/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-65.00

COMMISSION STATEMENT for FIRM 1-ACCOUNTS

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

ADJUSTMENTS

02/28/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-60.93
02/28/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-65.00
02/28/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-49.03
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,072.62

BROKER COMMISSION TOTALS

Broker Transactions	\$677.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,072.62
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-10,547.11
FINRA Assessment	\$-1.06
SIPC Assessment	\$-2.12

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

Balance Forward	\$-10,944.99
Year-to-date Earnings	\$-10,944.99