

## COMMISSION STATEMENT

August 31, 2017

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

08/09/2017	QGW005985	ROTHBEIN, SYLVIA	CISCO SYS INC	S	-15,775.00	28.25	0.00	28.25	80.0	22.60
08/09/2017	QGW005985	ROTHBEIN, SYLVIA	MICROSOFT CORP	S	-7,224.00	28.25	0.00	28.25	80.0	22.60
08/09/2017	QGW005985	ROTHBEIN, SYLVIA	SYMANTEC CORPORATION	S	-21,195.00	28.25	0.00	28.25	80.0	22.60
08/09/2017	QGW005985	ROTHBEIN, SYLVIA	US BANCORP DEL	S	-10,580.00	28.25	0.00	28.25	80.0	22.60
08/09/2017	QGW005985	ROTHBEIN, SYLVIA	WASTE MGMT INC (DE)	S	-22,572.00	28.25	0.00	28.25	80.0	22.60
08/24/2017	QGW005985	ROTHBEIN, SYLVIA	PETMED EXPRESS INC COMMON STK	B	18,715.00	28.25	0.00	28.25	80.0	22.60
08/25/2017	QGW005985	ROTHBEIN, SYLVIA	GAMESTOP CORP NEW CLASS A	S	-15,364.00	28.00	0.00	28.00	80.0	22.40
08/10/2017	QGW020604	FOSTER, WILLIAM	POWERSHARES QQQ TRUST SERIES 1	S	-71,015.00	28.25	0.00	28.25	80.0	22.60
08/10/2017	QGW020604	FOSTER, WILLIAM	PROSHARES TRUST PROSHARES SHORT S&P B		33,095.00	28.25	0.00	28.25	80.0	22.60
08/10/2017	QGW021347	ROTHBEIN, HOWARD	POWERSHARES QQQ TRUST SERIES 1	S	-142,030.00	28.25	0.00	28.25	80.0	22.60
08/10/2017	QGW021347	ROTHBEIN, HOWARD	PROSHARES TRUST PROSHARES SHORT S&P B		33,095.00	28.25	0.00	28.25	80.0	22.60
* STOCKS SUBTOTAL *					\$-220,850.00	\$310.50	\$0.00	\$310.50		\$248.40

PRODUCT CATEGORY: BONDS

08/28/2017	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL REISSUE S		178,985.35	0.00	0.00	0.00	80.0	0.00
08/28/2017	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL REISSUE B		178,985.35	0.00	0.00	0.00	80.0	0.00
08/16/2017	QGV891120	RF LAFFERTY & CO	APOLLO COML REAL ESTATE FIN INC FXD S		-553,700.00	50.00	0.00	50.00	80.0	40.00
* BONDS SUBTOTAL *					\$-195,729.30	\$50.00	\$0.00	\$50.00		\$40.00

PRODUCT CATEGORY: OPTIONS

08/22/2017	QGW005985	ROTHBEIN, SYLVIA	CALL 100 MOMO INC ADR ISIN#US60879B B		90.00	35.00	0.00	35.00	80.0	28.00
* OPTIONS SUBTOTAL *					\$90.00	\$35.00	\$0.00	\$35.00		\$28.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/31/2017	000010166297872	BENEDETTO,	FRANKLIN U.S. GOVERNMENT SECURITIES B		0.00	26.99	0.00	26.99	80.0	21.59
07/31/2017	000010181884585	WAGNER,	FRANKLIN U.S. GOVERNMENT SECURITIES B		0.00	0.94	0.00	0.94	80.0	0.75
08/08/2017	QGW008369	FRIEDMAN, RICHARD	ALLIANCEBERNSTEIN GROWTH A	B	0.00	0.82	0.00	0.82	80.0	0.66
08/14/2017	QGW014177	MORSE, SUSANNA	FRANKLIN SMALL-MID CAP GROWTH FUND B	B	0.00	6.25	0.00	6.25	80.0	5.00
08/16/2017	QGW014177	MORSE, SUSANNA	PUTNAM 74680E101	B	0.00	0.85	0.00	0.85	80.0	0.68
08/17/2017	QGW014177	MORSE, SUSANNA	MASS INVESTORS GROWTH STOCK FUND-A B		0.00	2.41	0.00	2.41	80.0	1.93
08/17/2017	QGW021115	ROTHBEIN, SYLVIA	MFS EQUITY OPPORTUNITIES FUND CLASS B		0.00	57.69	0.00	57.69	80.0	46.15
08/21/2017	QGW021347	ROTHBEIN, HOWARD	OPPENHEIMER DEVELOPING MARKETS FUND B		0.00	31.15	0.00	31.15	80.0	24.92

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ADJUSTMENTS

* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$127.10	\$0.00	\$127.10	\$101.68
*** BROKER TRANSACTIONS TOTAL ***	\$-416,489.30	\$522.60	\$0.00	\$522.60	\$418.08

BROKER COMMISSION TOTALS

Broker Transactions	\$418.08
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,076.96
FINRA Assessment	\$-0.65
SIPC Assessment	\$-1.31

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

Balance Forward	\$-660.84
Year-to-date Earnings	\$2,108.68