Page No. 1

# R.F. Lafferty & Co., Inc.

## **COMMISSION STATEMENT**

### February 28, 2018

FIRM 1-ACCOUNTS

BROKER #: 76
BRANCH: HOME OFFICE

, NY

#### COMMISSION STATEMENT for FIRM 1-ACCOUNTS

PRODUCT CATEGORY: MUTUAL FUNDS	TRADE DATE CLIENT	INVESTMENT B/		INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
O2/15/2018 00551427251 PLAN		BROKER TRAN	NSAC	CTIONS					
	PRODUCT CATEGORY: MUTUAL FUNDS								
# MUTUAL FUNDS SUBTOTAL * \$200.00 \$10.00 \$0.00 \$10.00 \$0.00 \$10.00 \$0.00	02/15/2018 00551427251 PLAN	PUTNAM 746933100 B	3	100.00	5.00	0.00	5.00	80.0	4.00
PRODUCT CATEGORY: STOCKS	02/15/2018 00551427251 PLAN	PUTNAM 74676P102 B	3	100.00	5.00	0.00	5.00	80.0	4.00
02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 4,525.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 4,525.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 9,050.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 GGM0002057 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 35.00 80.0 02/09/2018 QGM004251 PICKELSIMER, LISA AT&T INC S -10,743.00 75.00 0.00 75.00 80.0 02/09/2018 QGM004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/12/2018 QGM004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGM005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 12,288.30 28.25 0.00 28.25 80.0 02/23/2018 QGM003298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 15,316.50 30.00 0.00 30.00 80.0 02/22/2018 QGM033994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 02/22/2018 QGM033994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 0.00 0.00 0.00		* MUTUAL FUNDS SUBTOTAL *	_	\$200.00	\$10.00	\$0.00	\$10.00		\$8.00
02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 4,525.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 4,525.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 9,050.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 050000267 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 35.00 80.0 02/09/2018 QGM004251 PICKELSIMER, LISA AT&T INC S -10,743.00 75.00 0.00 75.00 80.0 02/09/2018 QGM004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/12/2018 QGM004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGM005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/20/2018 QGM0038994 CROME, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 15,316.50 30.00 0.00 30.00 80.0 02/20/2018 QGM038994 CROME, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 15,416.213 60.00 0.00 60.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 0.00 0.00 0.00	PRODUCT CATEGORY: STOCKS								
02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 9,050.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 9,050.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 050002057 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 35.00 80.0 02/09/2018 050002057 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 75.00 80.0 02/09/2018 050004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 050004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/12/2018 050005985 ROTHBEIN, SYLVIA BANK OF AMERICA CORP B 22,288.30 28.25 0.00 28.25 80.0 02/12/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 15,31394.40 20.00 0.00 20.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 11,612.13 60.00 0.00 60.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 11,612.13 60.00 0.00 0.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 11,612.13 60.00 0.00 0.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 11,612.13 60.00 0.00 0.00 0.00 80.0 02/05/2018 050005985 ROTHBEIN, SYLVIA BADDE SYSTEMS INC B 11,612.13 60.00 0.00 0.00 0.00 0.00 0.00 0.00 0.		MEDICINOVA INC	3	52.345.20	0.00	0.00	0.00	80.0	0.00
02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 0.00 80.0 02/08/2018 75599824 RF LAFFERTY & CO MEDICINOVA INC S 13,575.00 0.00 0.00 0.00 35.00 80.0 02/08/2018 0GW0002057 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 35.00 80.0 02/09/2018 0GW004251 PICKELSIMER, LISA ATKT INC S -10,743.00 75.00 0.00 75.00 80.0 02/09/2018 0GW004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 0GW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES CORS -14,753.09 75.00 0.00 75.00 80.0 02/09/2018 0GW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES CORS -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 0GW005985 ROTHBEIN, SYLVIA INTEL CORP B 22,288.30 28.25 0.00 28.25 80.0 02/12/2018 0GW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 31,394.40 20.00 0.00 20.00 80.0 02/05/2018 0GW0039894 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 60.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 0.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 0.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 0.00 0.00 80.0 02/05/2018 0GW0038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 0.00 0.00 0.00 0.00 0.00 0.				•					0.00
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02/26/2018 QGW0002057 MURPHY, JOSEPH GENERAL ELECTRIC CO B 42,330.00 35.00 0.00 35.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA AT&T INC S -10,743.00 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGW005985 ROTHBEIN, SYLVIA INTEL CORP B 22,288.30 28.25 0.00 28.25 80.0 02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 0.00 0.00 0.00 0.00	02/08/2018 75599824 RF LAFFERTY & CO	MEDICINOVA INC S	3		0.00	0.00	0.00	80.0	0.00
02/09/2018 QGW004251 PICKELSIMER, LISA AT&T INC S -10,743.00 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGW005985 ROTHBEIN, SYLVIA INTEL CORP B 22,288.30 28.25 0.00 28.25 80.0 02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 \$398.25 \$ PRODUCT CATEGORY: BONDS	02/08/2018 75599824 RF LAFFERTY & CO			13,575.00	0.00	0.00	0.00	80.0	0.00
02/09/2018 QGW004251 PICKELSIMER, LISA BANK OF AMERICA CORP S -9,001.02 75.00 0.00 75.00 80.0 02/09/2018 QGW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGW005985 ROTHBEIN, SYLVIA INTEL CORP B 22,288.30 28.25 0.00 28.25 80.0 02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 \$398.25 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	02/26/2018 QGW002057 MURPHY, JOSEPH	GENERAL ELECTRIC CO B	3	42,330.00	35.00	0.00	35.00	80.0	28.00
02/09/2018 QGW004251 PICKELSIMER, LISA INTERNATIONAL BUSINESS MACHINES COR S -14,753.09 75.00 0.00 75.00 80.0 02/12/2018 QGW005985 ROTHBEIN, SYLVIA INTEL CORP B 22,288.30 28.25 0.00 28.25 80.0 02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0	02/09/2018 QGW004251 PICKELSIMER, LISA	AT&T INC S	5	-10,743.00	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 02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0 ** STOCKS SUBTOTAL ** \$195,089.42 \$398.25 \$0.00 \$398.25 \$ PRODUCT CATEGORY: BONDS	02/09/2018 QGW004251 PICKELSIMER, LISA	BANK OF AMERICA CORP	5	-9,001.02	75.00	0.00	75.00	80.0	60.00
02/23/2018 QGW005985 ROTHBEIN, SYLVIA ADOBE SYSTEMS INC B 15,316.50 30.00 0.00 30.00 80.0 02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0	02/09/2018 QGW004251 PICKELSIMER, LISA	INTERNATIONAL BUSINESS MACHINES COR S	3	-14,753.09	75.00	0.00	75.00	80.0	60.00
02/05/2018 QGW030298 CHERNOFF, GLENN MOTOROLA SOLUTIONS INC B 31,394.40 20.00 0.00 20.00 80.0 02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0	02/12/2018 QGW005985 ROTHBEIN, SYLVIA	INTEL CORP B	3	22,288.30	28.25	0.00	28.25	80.0	22.60
02/22/2018 QGW038994 CROWE, PATRICIA MACQUARIE INFRASTRUCTURE CORPORATIO B 11,612.13 60.00 0.00 60.00 80.0	02/23/2018 QGW005985 ROTHBEIN, SYLVIA	ADOBE SYSTEMS INC	3	15,316.50	30.00	0.00	30.00	80.0	24.00
* STOCKS SUBTOTAL * \$195,089.42 \$398.25 \$0.00 \$398.25  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 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 80.0 80.0 80.0 80.	02/05/2018 QGW030298 CHERNOFF, GLENN	MOTOROLA SOLUTIONS INC	3	31,394.40	20.00	0.00	20.00	80.0	16.00
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 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0 80.0 ** BONDS SUBTOTAL ** \$182,558.38 \$0.00 \$	02/22/2018 QGW038994 CROWE, PATRICIA	MACQUARIE INFRASTRUCTURE CORPORATIO B	3	11,612.13	60.00	0.00	60.00	80.0	48.00
01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL S 91,279.19 0.00 0.00 0.00 80.0 01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.0		* STOCKS SUBTOTAL *		\$195,089.42	\$398.25	\$0.00	\$398.25		\$318.60
01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.00 *BONDS SUBTOTAL *\$182,558.38 \$0.00	PRODUCT CATEGORY: BONDS								
01/30/2018 75599900 RF LAFFERTY & CO UNITED STATES TREASURY BILL B 91,279.19 0.00 0.00 0.00 80.00 * BONDS SUBTOTAL * \$182,558.38 \$0.00 \$0.	01/30/2018 75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL S	3	91,279.19	0.00	0.00	0.00	80.0	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 02/14/2018 QGW005985 ROTHBEIN, SYLVIA CALL 100 MOMO INC ADR ISIN#US60879B 1,029.00 35.00 0.00 35.00 80.0	01/30/2018 75599900 RF LAFFERTY & CO		3						0.00
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 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	* BONDS SUBTOTAL *		_	\$182,558.38	\$0.00	\$0.00	\$0.00		\$0.00
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 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	PRODUCT CATEGORY: OPTIONS								
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		PUT 100 NVIDIA CORP COM EXP 03-23-1 S	5	-1,426.00	35.00	0.00	35.00	80.0	28.00
	<del>-</del>								28.00
- · · · · · · · · · · · · · · · · · · ·	<del>-</del>								28.00
02/16/2018 QGW005985 ROTHBEIN, SYLVIA CALL 100 TEVA PHARMACEUTICAL INDUST B 750.00 35.00 0.00 35.00 80.0	<del>-</del>			•					28.00
02/16/2018 QGW005985 ROTHBEIN, SYLVIA PUT 100 TEVA PHARMACEUTICAL INDUSTR B 810.00 35.00 0.00 35.00 80.0	<del>-</del>								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
	BROKER TRANS	ACTIONS					
PRODUCT CATEGORY: OPTIONS							
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
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
PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS						
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
	ADJUSTME	NTS					
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

## 03/27/2018 Page No. COMMISSION STATEMENT for FIRM 1-ACCOUNTS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
			ADJUSTMEN	NTS					
02/28/2018		MWWOD:MISCELLANEOUS: WRITE	-OFF DEBI	0.00	0.00	0.00	0.00		-60.93
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		-49.03
		*** ADJUSTMENTS	TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-1,072.62
						E	SSION	TOTALS	
						Broke	r Transactions		\$677.92
						Split	t Transactions		\$0.00
						Override	e Transactions		\$0.00
							Adjustments		\$-1,072.62
							Payroll Draw		\$0.00
							Base Salary		\$0.00
						Prior 1	Period Balance		\$-10,547.11
						FI	NRA Assessment		\$-1.06
						S	IPC Assessment		\$-2.12
				Retain for You LL BE NO CHECK		Ва		\$-10,944.99	
						Year-to-	-date Earnings		\$-10,944.99