

## COMMISSION STATEMENT

April 03, 2017

FIRM 1-ACCOUNTS

BROKER #:

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

03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T B		98,750.00	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T S		10,000.00	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T S		5,000.00	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T S		50,000.00	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T S		25,000.00	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599824 RF LAFFERTY & CO	NUVEEN CR OPPORTUNITIES 2022 TRGT T S		10,000.00	0.00	0.00	0.00	80.0	0.00
02/27/2017	QGW003758 DATA SPECIALTIES INC	DALECO RES CORP COM NEW	S	-280.00	50.00	0.00	50.00	80.0	40.00
03/13/2017	QGW005985 ROTHBEIN, SYLVIA	GILEAD SCIENCES INC	S	-20,265.00	28.25	0.00	28.25	80.0	22.60
03/13/2017	QGW005985 ROTHBEIN, SYLVIA	INCYTE GENOMICS INC	B	22,304.30	28.25	0.00	28.25	80.0	22.60
02/27/2017	QGW012429 BERNSTEIN, MICHAEL	ANDREA ELECTRS CORP COM	S	-1,421.52	50.00	0.00	50.00	80.0	40.00
02/27/2017	QGW012627 CUSTODIAN, PATRICK	AMERICAN DG ENERGY INC COM	S	-40.71	3.32	0.00	3.32	80.0	2.66
02/27/2017	QGW012635 CUSTODIAN, PATRICK	AMERICAN DG ENERGY INC COM	S	-40.65	1.87	0.00	1.87	80.0	1.50
03/02/2017	QGW014656 FERRANTE, ANTHONY	DRYSHIPS INC COMMON STOCK	B	1,769.90	35.00	0.00	35.00	80.0	28.00
03/02/2017	QGW014656 FERRANTE, ANTHONY	FRONTIER COMMUNICATIONS CORP	B	2,829.50	35.00	0.00	35.00	80.0	28.00
03/06/2017	QGW014656 FERRANTE, ANTHONY	DRYSHIPS INC COMMON STOCK	B	1,290.00	35.00	0.00	35.00	80.0	28.00
* STOCKS SUBTOTAL *				\$204,895.82	\$266.69	\$0.00	\$266.69		\$213.36

PRODUCT CATEGORY: BONDS

03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	161,310.69	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	161,310.69	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	172,196.68	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	172,196.68	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	79,170.89	0.00	0.00	0.00	80.0	0.00
03/28/2017	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	79,170.89	0.00	0.00	0.00	80.0	0.00
* BONDS SUBTOTAL *				\$825,356.52	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/09/2017	QGW014177 MORSE, SUSANNA	MASS INVESTORS GROWTH STOCK FUND-A	B	0.00	1.99	0.00	1.99	80.0	1.59
03/13/2017	QGW014177 MORSE, SUSANNA	FRANKLIN SMALL-MID CAP GROWTH FUND	B	0.00	5.37	0.00	5.37	80.0	4.30
03/17/2017	QGW014177 MORSE, SUSANNA	PUTNAM 74680E101	B	0.00	0.68	0.00	0.68	80.0	0.54
03/09/2017	QGW021115 ROTHBEIN, SYLVIA	MFS EQUITY OPPORTUNITIES FUND CLASS B	B	0.00	49.40	0.00	49.40	80.0	39.52
03/22/2017	QGW021347 ROTHBEIN, HOWARD	OPPENHEIMER DEVELOPING MARKETS FUND B	B	0.00	24.85	0.00	24.85	80.0	19.88

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ADJUSTMENTS

* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$82.29	\$0.00	\$82.29	\$65.83
*** BROKER TRANSACTIONS TOTAL ***	\$1,030,252.34	\$348.98	\$0.00	\$348.98	\$279.19

BROKER COMMISSION TOTALS

Broker Transactions	\$279.19
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.44
SIPC Assessment	\$-6.54

Check Amount	\$272.21
Year-to-date Earnings	\$982.49