

COMMISSION STATEMENT

October 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: MUTUAL FUNDS

10/16/2017	00551427251	PLAN	PUTNAM 746933100	B	100.00	5.00	0.00	5.00	80.0	4.00
10/16/2017	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

10/20/2017	75502191	VARIOUS, HACKEL	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502191	VARIOUS, HACKEL	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	0.00	0.00	80.0	0.00 C
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	B	128,400.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	9,600.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	7,200.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	12,000.00	0.00	0.00	0.00	80.0	0.00
10/20/2017	75599824	RF LAFFERTY & CO	FAT BRANDS INC COMMON STOCK	S	3,600.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	B	130,288.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	8,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	8,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/25/2017	75599824	RF LAFFERTY & CO	SACHEM CAPITAL CORP COMMON SHARES	S	24,000.00	0.00	0.00	0.00	80.0	0.00
10/27/2017	QGV890312	RF LAFFERTY & CO	CANADIAN DOLLAR CURRENCY	S	7,780.40	12.40	0.00	12.40	80.0	9.92
10/27/2017	QGV890312	RF LAFFERTY & CO	EURO CURRENCY	B	-16.46	0.04	0.00	0.04	80.0	0.03
09/28/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM S		-20,350.00	70.00	0.00	70.00	80.0	56.00
09/28/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B		18,180.00	70.00	0.00	70.00	80.0	56.00
09/28/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B		-18,180.00	-70.00	0.00	-70.00	80.0	-56.00 C
09/28/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B		18,100.00	70.00	0.00	70.00	80.0	56.00
09/29/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM S		-13,100.00	70.00	0.00	70.00	80.0	56.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/29/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B	12,000.00	70.00	0.00	70.00	80.0	56.00
10/03/2017	QGW005985	ROTHBEIN, SYLVIA	TESLA MOTORS INC S	-103,821.00	70.00	0.00	70.00	80.0	56.00
10/03/2017	QGW005985	ROTHBEIN, SYLVIA	TESLA MOTORS INC B	102,000.00	70.00	0.00	70.00	80.0	56.00
10/11/2017	QGW005985	ROTHBEIN, SYLVIA	MOMO INC ADR B	9,811.05	20.00	0.00	20.00	80.0	16.00
10/12/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM S	-28,775.00	70.00	0.00	70.00	80.0	56.00
10/12/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B	27,827.00	70.00	0.00	70.00	80.0	56.00
10/13/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM S	-6,720.60	70.00	0.00	70.00	80.0	56.00
10/13/2017	QGW005985	ROTHBEIN, SYLVIA	HELIOS & MATHESON ANALYTICS INC COM B	5,760.00	70.00	0.00	70.00	80.0	56.00
10/25/2017	QGW005985	ROTHBEIN, SYLVIA	TESLA MOTORS INC B	163,506.00	125.00	0.00	125.00	80.0	100.00
10/25/2017	QGW005985	ROTHBEIN, SYLVIA	TESLA MOTORS INC S	-166,530.00	125.00	0.00	125.00	80.0	100.00
10/02/2017	QGW014656	FERRANTE, ANTHONY	MGT CAP INVTS INC COM NEW B	5,720.00	35.00	0.00	35.00	80.0	28.00
10/02/2017	QGW014656	FERRANTE, ANTHONY	W & T OFFSHORE INC COM B	6,093.20	35.00	0.00	35.00	80.0	28.00
10/24/2017	QGW014656	FERRANTE, ANTHONY	MGT CAP INVTS INC COM NEW S	-3,900.00	35.00	0.00	35.00	80.0	28.00
10/26/2017	QGW014656	FERRANTE, ANTHONY	W & T OFFSHORE INC COM S	-2,920.00	35.00	0.00	35.00	80.0	28.00
10/27/2017	QGW014656	FERRANTE, ANTHONY	ALON USA PARTNERS LP UNIT LTD PARTN B	1,397.25	35.00	0.00	35.00	80.0	28.00
* STOCKS SUBTOTAL *				\$536,949.84	\$1,157.44	\$0.00	\$1,157.44		\$925.95
<u>PRODUCT CATEGORY: BONDS</u>									
10/17/2017	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL B	14,910.00	0.00	0.00	0.00	80.0	0.00
10/17/2017	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL S	14,910.00	0.00	0.00	0.00	80.0	0.00
* BONDS SUBTOTAL *				\$29,820.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: OPTIONS</u>									
10/02/2017	QGW005985	ROTHBEIN, SYLVIA	CALL 100 INCYTE CORP COM EXP 01-19- S	-1,440.00	35.00	0.00	35.00	80.0	28.00
* OPTIONS SUBTOTAL *				\$-1,440.00	\$35.00	\$0.00	\$35.00		\$28.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/19/2017	QGW008369	FRIEDMAN, RICHARD	ALLIANCEBERNSTEIN GROWTH A B	0.00	0.82	0.00	0.82	80.0	0.66
10/16/2017	QGW014177	MORSE, SUSANNA	MASS INVESTORS GROWTH STOCK FUND-A B	0.00	2.37	0.00	2.37	80.0	1.90
10/18/2017	QGW014177	MORSE, SUSANNA	PUTNAM 74680E101 B	0.00	0.85	0.00	0.85	80.0	0.68
10/23/2017	QGW014177	MORSE, SUSANNA	FRANKLIN SMALL-MID CAP GROWTH FUND B	0.00	6.15	0.00	6.15	80.0	4.92
10/16/2017	QGW021115	ROTHBEIN, SYLVIA	MFS EQUITY OPPORTUNITIES FUND CLASS B	0.00	55.51	0.00	55.51	80.0	44.41
10/19/2017	QGW021347	ROTHBEIN, HOWARD	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	31.93	0.00	31.93	80.0	25.54
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$97.63	\$0.00	\$97.63		\$78.11
*** BROKER TRANSACTIONS TOTAL ***				\$565,529.84	\$1,300.07	\$0.00	\$1,300.07		\$1,040.06

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
10/31/2017		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
10/31/2017		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
10/31/2017		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
10/31/2017		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
10/31/2017		OTHER: OTHER-NASDAQ		0.00	0.00	0.00	0.00		-834.24
10/31/2017		OTHER: OTHER-OTC		0.00	0.00	0.00	0.00		-1,163.26
10/31/2017		OTHER: OTHER-ARCA		0.00	0.00	0.00	0.00		-94.81
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-2,100.31

BROKER COMMISSION TOTALS

Broker Transactions	\$1,040.06
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,100.31
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.63
SIPC Assessment	\$-3.25

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

Balance Forward	\$-1,065.13
Year-to-date Earnings	\$1,304.70