

## COMMISSION STATEMENT

April 30, 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

04/16/2018	00551427251	PLAN	PUTNAM 746933100	B	100.00	5.00	0.00	5.00	80.0	4.00
04/16/2018	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

03/28/2018	QGW005985	ROTHBEIN, SYLVIA	MICROSOFT CORP	B	18,003.32	28.25	0.00	28.25	80.0	22.60
04/13/2018	QGW005985	ROTHBEIN, SYLVIA	WESTROCK COMPANY COM	B	26,042.04	28.25	0.00	28.25	80.0	22.60
04/04/2018	QGW008369	FRIEDMAN, RICHARD	GENERAL ELECTRIC CO	S	-3,886.05	30.00	0.00	30.00	80.0	24.00
03/29/2018	QGW020141	RF LAFFERTY & CO	EBAY INC	B	4,026.50	75.00	0.00	75.00	80.0	60.00
* STOCKS SUBTOTAL *					\$44,185.81	\$161.50	\$0.00	\$161.50		\$129.20

PRODUCT CATEGORY: BONDS

03/28/2018	75599900	RF LAFFERTY & CO	AUBURN N Y PUB IMPT REF BDS GENERAL B		5,091.80	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	AUBURN N Y PUB IMPT REF BDS GENERAL S		5,091.80	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST TPK AUTH MET MET H B		4,447.95	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST TPK AUTH MET MET H S		4,447.95	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST HSG FIN AGY SINGLE B		10,076.40	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST HSG FIN AGY SINGLE S		10,076.40	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS BAY TRANSN AUTH MASS/ B		4,332.85	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS BAY TRANSN AUTH MASS/ S		4,332.85	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST CLGE BLDG PUBLIC H B		8,846.00	0.00	0.00	0.00	80.0	0.00
03/28/2018	75599900	RF LAFFERTY & CO	MASSACHUSETTS ST CLGE BLDG PUBLIC H S		8,846.00	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY NOTE STRIPPE B		14,651.85	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY NOTE STRIPPE S		14,651.85	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 2.000% 02/1 B		14,635.53	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 2.000% 02/1 S		-14,635.50	0.00	0.00	0.00	80.0	0.00 C
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 2.000% 02/1 B		14,635.53	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 2.000% 02/1 S		14,635.53	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.875% 03/3 B		14,657.23	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.875% 03/3 S		-14,657.20	0.00	0.00	0.00	80.0	0.00 C
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.875% 03/3 B		14,657.23	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.875% 03/3 S		14,657.23	0.00	0.00	0.00	80.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: BONDS</u></b>									
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.500% 04/1 B		14,776.81	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.500% 04/1 S		-14,776.80	0.00	0.00	0.00	80.0	0.00 C
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.500% 04/1 B		14,776.81	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.500% 04/1 S		14,776.81	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.250% 03/3 B		14,518.31	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.250% 03/3 S		-14,518.30	0.00	0.00	0.00	80.0	0.00 C
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.250% 03/3 B		14,518.31	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREAS NTS 1.250% 03/3 S		14,518.31	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	93,094.70	0.00	0.00	0.00	80.0	0.00
04/02/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	93,094.70	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	BOXFORD MASS GO REF BDS 2012 GENERA B		10,018.60	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	BOXFORD MASS GO REF BDS 2012 GENERA S		10,018.60	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	9,917.72	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	-9,917.72	0.00	0.00	0.00	80.0	0.00 C
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	9,917.72	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	9,917.72	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	15,038.46	0.00	0.00	0.00	80.0	0.00
04/13/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	15,038.46	0.00	0.00	0.00	80.0	0.00
04/16/2018	75599900 RF LAFFERTY & CO	MASSACHUSETTS ST DEV FIN AGY BOSTON B		9,978.20	0.00	0.00	0.00	80.0	0.00
04/16/2018	75599900 RF LAFFERTY & CO	MASSACHUSETTS ST DEV FIN AGY BOSTON S		9,978.20	0.00	0.00	0.00	80.0	0.00
04/16/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV MULTI-F B		15,113.70	0.00	0.00	0.00	80.0	0.00
04/16/2018	75599900 RF LAFFERTY & CO	NEW YORK ST HSG FIN AGY REV MULTI-F S		15,113.70	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	BINGHAMTON N Y PUB IMPT REF GENERAL B		4,956.45	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	BINGHAMTON N Y PUB IMPT REF GENERAL S		4,956.45	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	DORM AUTH OF THE STATE OF NY PRIMAR B		5,029.90	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	DORM AUTH OF THE STATE OF NY PRIMAR S		5,029.90	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	NEW YORK CITY N Y G/O SER E NYC BON B		9,833.10	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	NEW YORK CITY N Y G/O SER E NYC BON S		9,833.10	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	TEWKSBURY MASS GO MUN PURP GENERAL B		14,891.25	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	TEWKSBURY MASS GO MUN PURP GENERAL S		14,891.25	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	TRIBOROUGH BRDG & TUNL AUTH BRIDGES B		4,753.90	0.00	0.00	0.00	80.0	0.00
04/18/2018	75599900 RF LAFFERTY & CO	TRIBOROUGH BRDG & TUNL AUTH BRIDGES S		4,753.90	0.00	0.00	0.00	80.0	0.00
04/27/2018	QGV890403 RF LAFFERTY & CO	SOCIETE GENERALE REV CONV LKD TO BS B		10,000.00	175.00	0.00	175.00	80.0	140.00
04/27/2018	QGV890403 RF LAFFERTY & CO	SOCIETE GENERALE REV CONV LKD TO BS B		-10,000.00	-175.00	0.00	-175.00	80.0	-140.00 C
<b>* BONDS SUBTOTAL *</b>				<b>\$597,321.50</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
04/10/2018	QGW005985 ROTHBEIN, SYLVIA	CALL 100 INCYTE CORP COM EXP 01-18- B		370.00	35.00	0.00	35.00	80.0	28.00
04/12/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 NETFLIX INC COM EXP 04-20-1 S		-1,016.00	30.00	0.00	30.00	80.0	24.00
04/13/2018	QGW005985 ROTHBEIN, SYLVIA	PUT 100 NVIDIA CORP COM EXP 04-20-1 S		-650.00	35.00	0.00	35.00	80.0	28.00

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

04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-15.97
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-1.84
04/30/2018	MMWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2,275.59
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-4.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	-2.00
04/30/2018	:	0.00	0.00	0.00	0.00	0.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-2,317.40

**BROKER COMMISSION TOTALS**

Broker Transactions	\$443.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,317.40
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-10,502.18
FINRA Assessment	\$-0.69
SIPC Assessment	\$-1.39

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

<b>Balance Forward</b>	<b>\$-12,378.29</b>
<b>Year-to-date Earnings</b>	<b>\$-12,378.29</b>