

COMMISSION STATEMENT

July 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
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
06/15/2017	00551427251	PLAN		PUTNAM 746933100	B	100.00	5.00	0.00	5.00 80.0 4.00
06/15/2017	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

07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	B	136,438.75	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	2,992.85	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	4,989.76	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	995.94	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	1,996.91	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	12,974.24	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	9,730.68	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	9,982.20	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	14,970.68	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	24,952.88	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	4,988.48	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	2,494.24	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	3,992.88	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	19,964.40	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	19,964.40	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	4,988.48	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	191.14	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	MYND ANALYTICS INC COMMON STOCK	S	1,498.64	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	B	271.25	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	3.97	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	1.98	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	9.92	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	5.95	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	9.52	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	38.10	0.00	0.00	0.00 80.0 0.00
07/14/2017	75599824	RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	38.10	0.00	0.00	0.00 80.0 0.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	7.62	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	4.76	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	9.52	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	47.62	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	28.57	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	19.05	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	18.57	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	24.76	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	2.86	0.00	0.00	0.00	80.0	0.00
07/14/2017	75599824 RF LAFFERTY & CO	WTS MYND ANALYTICS INC WARRANT	S	0.38	0.00	0.00	0.00	80.0	0.00
06/29/2017	QGW005985 ROTHBEIN, SYLVIA	SYMANTEC CORPORATION	B	21,097.43	35.00	0.00	35.00	80.0	28.00
07/13/2017	QGW005985 ROTHBEIN, SYLVIA	UNITED STATES STL CORP NEW	S	-17,805.00	35.00	0.00	35.00	80.0	28.00
07/26/2017	QGW005985 ROTHBEIN, SYLVIA	WASTE MGMT INC (DE)	B	22,800.00	28.25	0.00	28.25	80.0	22.60
07/20/2017	QGW021115 ROTHBEIN, SYLVIA	VISA INC CL A COMMON STOCK	B	29,652.00	28.25	0.00	28.25	80.0	22.60
07/20/2017	QGW021115 ROTHBEIN, SYLVIA	WESTROCK COMPANY COM	B	29,400.00	28.25	0.00	28.25	80.0	22.60
* STOCKS SUBTOTAL *				\$363,794.48	\$154.75	\$0.00	\$154.75		\$123.80
<u>PRODUCT CATEGORY: OPTIONS</u>									
07/26/2017	QGW005985 ROTHBEIN, SYLVIA	CALL 100 INCYTE CORP COM EXP 09-15-	S	-1,800.00	35.00	0.00	35.00	80.0	28.00
* OPTIONS SUBTOTAL *				\$-1,800.00	\$35.00	\$0.00	\$35.00		\$28.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/01/2017	00058689679 BENEDETTO, MARY	AMCAP FUND-A	B	0.00	27.46	0.00	27.46	80.0	21.97
06/01/2017	00058689680 BENEDETTO, ROCCO	AMCAP FUND-A	B	0.00	127.01	0.00	127.01	80.0	101.61
06/01/2017	00061778315 BENEDETTO, MARY	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	33.25	0.00	33.25	80.0	26.60
06/01/2017	00063934346 BENEDETTO, ROCCO	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	33.25	0.00	33.25	80.0	26.60
06/01/2017	00063965493 BENEDETTO, MARY	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	48.90	0.00	48.90	80.0	39.12
06/01/2017	00063982104 BENEDETTO, CYNTHIA	AMCAP FUND-A	B	0.00	7.04	0.00	7.04	80.0	5.63
07/03/2017	00471916845 UNIF TRANSFER TO	PUTNAM NEW OPPORTUNITIES FUND CLASS B	B	0.00	0.42	0.00	0.42	80.0	0.34
07/03/2017	00515842067 PLAN	PUTNAM 746802800	B	0.00	2.20	0.00	2.20	80.0	1.76
07/03/2017	00550929923 EJUPS, RAIMOND	PUTNAM 746745108	B	0.00	7.16	0.00	7.16	80.0	5.73
07/03/2017	00550929923 EJUPS, RAIMOND	PUTNAM FUND FOR GROWTH & INCOME CLA B	B	0.00	3.76	0.00	3.76	80.0	3.01
07/03/2017	00550929923 EJUPS, RAIMOND	PUTNAM NEW OPPORTUNITIES FUND CLASS B	B	0.00	5.89	0.00	5.89	80.0	4.71
07/03/2017	00551427251 PLAN	PUTNAM 746933100	B	0.00	0.32	0.00	0.32	80.0	0.26
07/03/2017	00551427251 PLAN	PUTNAM 746764778	B	0.00	1.71	0.00	1.71	80.0	1.37
07/03/2017	00551427251 PLAN	PUTNAM 74676P102	B	0.00	2.43	0.00	2.43	80.0	1.94
07/17/2017	QGW008369 FRIEDMAN, RICHARD	ALLIANCEBERNSTEIN GROWTH A	B	0.00	0.79	0.00	0.79	80.0	0.63
07/13/2017	QGW014177 MORSE, SUSANNA	FRANKLIN SMALL-MID CAP GROWTH FUND	B	0.00	6.02	0.00	6.02	80.0	4.82
07/21/2017	QGW014177 MORSE, SUSANNA	MASS INVESTORS GROWTH STOCK FUND-A	B	0.00	2.32	0.00	2.32	80.0	1.86
07/25/2017	QGW014177 MORSE, SUSANNA	PUTNAM 74680E101	B	0.00	0.81	0.00	0.81	80.0	0.65

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/21/2017	QGW021115	ROTHBEIN, SYLVIA	MFS EQUITY OPPORTUNITIES FUND CLASS B	0.00	55.13	0.00	55.13	80.0	44.10
07/21/2017	QGW021347	ROTHBEIN, HOWARD	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	29.48	0.00	29.48	80.0	23.58
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$395.35	\$0.00	\$395.35		\$316.29
*** BROKER TRANSACTIONS TOTAL ***				\$362,194.48	\$595.10	\$0.00	\$595.10		\$476.09

ADJUSTMENTS

07/31/2017		MMWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	0.00		0.00
07/31/2017		MMWOD:MISCELLANEOUS: WRITE-OFF DEBI	0.00	0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$476.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,550.82
FINRA Assessment	\$-0.74
SIPC Assessment	\$-1.49

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

Balance Forward	\$-1,076.96
Year-to-date Earnings	\$2,166.42