

COMMISSION STATEMENT

September 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: STOCKS

09/12/2018	75599824	RF LAFFERTY & CO	SEASpan CORPORATION 8.00% CUMULATIV S	25,000.00	0.00	0.00	0.00	80.0	0.00
09/12/2018	75599824	RF LAFFERTY & CO	SEASpan CORPORATION 8.00% CUMULATIV B	24,650.00	0.00	0.00	0.00	80.0	0.00
09/14/2018	75599824	RF LAFFERTY & CO	BRP INC COMMON SUBORDINATE VOTING S B	28,022.34	0.00	0.00	0.00	80.0	0.00
09/14/2018	75599824	RF LAFFERTY & CO	BRP INC COMMON SUBORDINATE VOTING S S	9,400.00	0.00	0.00	0.00	80.0	0.00
09/14/2018	75599824	RF LAFFERTY & CO	BRP INC COMMON SUBORDINATE VOTING S S	18,800.00	0.00	0.00	0.00	80.0	0.00
09/21/2018	75599824	RF LAFFERTY & CO	WESTERN ASSET MORTGAGE CAPITAL CORP S	10,850.00	0.00	0.00	0.00	80.0	0.00
09/21/2018	75599824	RF LAFFERTY & CO	WESTERN ASSET MORTGAGE CAPITAL CORP S	21,700.00	0.00	0.00	0.00	80.0	0.00
09/21/2018	75599824	RF LAFFERTY & CO	WESTERN ASSET MORTGAGE CAPITAL CORP B	32,175.00	0.00	0.00	0.00	80.0	0.00
09/26/2018	75599824	RF LAFFERTY & CO	ENTASIS THERAPEUTICS HOLDINGS INC C B	36,948.75	0.00	0.00	0.00	80.0	0.00
09/26/2018	75599824	RF LAFFERTY & CO	ENTASIS THERAPEUTICS HOLDINGS INC C S	15,000.00	0.00	0.00	0.00	80.0	0.00
09/26/2018	75599824	RF LAFFERTY & CO	ENTASIS THERAPEUTICS HOLDINGS INC C S	15,000.00	0.00	0.00	0.00	80.0	0.00
09/26/2018	75599824	RF LAFFERTY & CO	ENTASIS THERAPEUTICS HOLDINGS INC C S	7,500.00	0.00	0.00	0.00	80.0	0.00

* STOCKS SUBTOTAL *	\$245,046.09	\$0.00	\$0.00	\$0.00		\$0.00
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PRODUCT CATEGORY: BONDS

09/06/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	S	198,938.22	0.00	0.00	0.00	80.0	0.00
09/06/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY NOTE	B	198,938.22	0.00	0.00	0.00	80.0	0.00
09/17/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	179,892.95	0.00	0.00	0.00	80.0	0.00
09/17/2018	75599900	RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	179,892.95	0.00	0.00	0.00	80.0	0.00

* BONDS SUBTOTAL *	\$757,662.34	\$0.00	\$0.00	\$0.00		\$0.00
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PRODUCT CATEGORY: OPTIONS

08/31/2018	QGW030728	RUDOLPH, MARTIN	CALL 100 AMAZON COM INC EXP 08-31-1 S		-11,991.00	20.00	0.00	20.00	80.0	16.00
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* OPTIONS SUBTOTAL *	\$-11,991.00	\$20.00	\$0.00	\$20.00		\$16.00
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*** BROKER TRANSACTIONS TOTAL ***	\$990,717.43	\$20.00	\$0.00	\$20.00		\$16.00
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ADJUSTMENTS

09/30/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-6.00
09/30/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
09/30/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI		0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-10.00

BROKER COMMISSION TOTALS

Broker Transactions	\$16.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-10.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-22,518.41
FINRA Assessment	\$-0.03
SIPC Assessment	\$-0.05

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

Balance Forward	\$-22,512.49
Year-to-date Earnings	\$-22,512.49