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R.F. Lafferty & Co., Inc.

## **COMMISSION STATEMENT**

## **November 30, 2018**

LOUIS CIAVARELLA

21 MILITIA HILL DRIVE

CHESTERBROOK, PA 19087

## BROKER #: V22 A04

BRANCH: FULCRUM GROUP

## COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANS	SACTIONS					
PRODUCT CAT	EGORY: MUTUAL FUNDS							
1/13/2018 75	5501743 CIAVARELLA, LOUIS	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	1,073.14	0.00	0.00	0.00	50.0	0.00
1/13/2018 75	5501743 CIAVARELLA, LOUIS	FIDELITY ADV TECHNOLOGY CL A S	1,073.14	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	**VIRTUS STRATEGIC GROWTH FUND S	5,180.19	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	BLACKROCK ASSET ALLOCATION PORTFOLI B	7,476.00	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	BLACKROCK SCIENCE & TECH OPPORTUNIT S	7,476.00	0.00	0.00	0.00	50.0	0.00
.1/12/2018 75	5501746 CIAVARELLA, LOUIS	BLACKROCK BASIC VALUE FUND INC CLAS B	7,476.00	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	BLACKROCK SCIENCE & TECH OPPORTUNIT S	7,476.00	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	FIDELITY ADV TECHNOLOGY CL A S	20,794.77	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501746 CIAVARELLA, LOUIS	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	20,794.77	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501749 CIAVARELLA, MELISS	A FA SEMICONDUCTORS FUND CLASS I S	4,939.23	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501749 CIAVARELLA, MELISS	A FIDELITY ADVISOR TECHNOLOGY FUND CL S	5,308.36	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501749 CIAVARELLA, MELISS	A FIDELITY ADVISOR HEALTH CARE FUND C B	4,939.23	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501749 CIAVARELLA, MELISS	A FIDELITY ADVISOR HEALTH CARE FUND C B	5,308.36	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501764 HALL, JOAN	FIDELITY ADVISOR FOCUS FUNDS HEALTH B	9,934.92	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501764 HALL, JOAN	FIDELITY ADVISOR FOCUS FUNDS HEALTH B	15,514.25	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501764 HALL, JOAN	FIDELITY ADVISOR FUNDS 315918367 S	9,934.92	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501764 HALL, JOAN	FIDELITY ADVISOR FUNDS 315918524 S	15,514.25	0.00	0.00	0.00	50.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$150,213.53	\$0.00	\$0.00	\$0.00		\$0.00
RODUCT CAT	EGORY: STOCKS							
1/09/2018 75	5501549 ALEXANDER, RUTH	STARWOOD PROPERTY TRUST INC B	6,375.00	165.29	0.00	165.29	50.0	82.65
1/08/2018 75	5501742 CIAVARELLA, LOUIS	DOWDUPONT INC COMMON STOCK B	5,930.47	0.00	0.00	0.00	50.0	0.00
1/12/2018 75	5501742 CIAVARELLA, LOUIS	ALTABA INC COM S	5,978.26	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501742 CIAVARELLA, LOUIS	ALLIANZGI CONV & INCOME FD II COM B	2,700.00	0.00	0.00	0.00	50.0	0.00
1/15/2018 75	5501745 CIAVARELLA, LOUIS	CHEMOURS COMPANY (THE) COM S	1,525.25	15.00	0.00	15.00	50.0	0.00
1/12/2018 75	5501749 CIAVARELLA, MELISS	A ALIBABA GROUP HOLDING LTD SPONSORED S	7,130.25	0.00	0.00	0.00	50.0	0.00
		* STOCKS SUBTOTAL *	\$29,639.23	\$180.29	\$0.00	\$180.29		\$82.65
PRODUCT CAT	EGORY: VARIABLE ANNUITI	ES						
11/30/2018 (1	None) VARIOUS, CIAVARELLA	OHIO NATIONAL FINANCIAL B	0.00	138.14	0.00	138.14	50.0	69.07
		* VARIABLE ANNUITIES SUBTOTAL *	\$0.00	\$138.14	\$0.00	\$138.14		\$69.07

COMMISSION STATEMENT for LOUIS CIAVARELLA

### PRODUCT CATEGORY: RIA  ### PRODUCT CATEGORY: RIA  10/01/2018 75507373 HENREXE, GREE	TRADE DATE CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/01/2018 75501742 CIAVARRILA, LOUTS   PAS FRES PT. 11/111   R   -192.90   130.96   0.00   130.96   50.0   65.48     10/01/2018 75501742 CIAVARRILA, LOUTS   PAS FRES PT. 11/111   R   -119.56   39.85   0.00   39.85   50.0   19.93     10/01/2018 75501749 CIAVARRILA, MEMBES   PAS FRES PT. 11/111   R   54.30   18.10   0.00   18.10   50.0   9.05     10/01/2018 75501752 CIAVARRILA, JAMES   PAS FRES PT. 11/111   R   -1.002.05   344.01   0.00   344.01   50.0   21.98     10/01/2018 75501754 CIAVARRILA, JAMES   PAS FRES PT. 11/111   R   -1.002.05   344.01   0.00   344.01   50.0   21.98     10/01/2018 75501754 CIAVARRILA, JAMES   PAS FRES PT. 11/111   R   -1.002.05   344.01   0.00   344.01   50.0   21.98     10/01/2018 75501754 CIAVARRILA, JAMES   PAS FRES PT. 11/111   R   -2.09.85   50.95   50.00   689.95   50.1   34.98     10/01/2018 75502185 CARR, CHARLES   PAS FRES PT. 11/111   R   -2.049.52   683.17   0.00   683.17   50.0   344.08     10/01/2018 75502207 GEYER, GEORGE   PAS FRES PT. 11/111   R   -2.049.52   683.17   0.00   84.48   50.0   42.24     **********************************		BRO	OKER TRANS	ACTIONS					
10/01/2018 75501742 CIAVARELLA, MULIS   PAS PERS PT. II/III   B   -119.56   33.65   0.00   33.65   50.0   19.93	PRODUCT CATEGORY: RIA								
10/10/2018 75501752 CIAVARELIA, JAMES   PAS FEES PT. II/III   B   54.30   18.10   0.00   92.80   51.0   46.40	10/01/2018 75501737 HENDRIX, GREG	FAS FEES PT. II/III	В	-392.90	130.96	0.00	130.96	50.0	65.48
10/01/2018 75501752 CLAVARELLA, JANES   FAS FEES FT. II/III   B   -54,30   18,10   0.00   18,10   50.0   9.05     10/01/2018 75501755 (LAVARELLA, JANES   FAS FEES FT. II/III   B   -131,86   6.95   0.00   43,95   50.0   21,98     10/01/2018 75501755 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -1,002.05   334.01   0.00   334.01   50.0   167.01     10/01/2018 75501755 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,09,85   66,95   0.00   693,75   50.0   34.98     10/01/2018 75501755 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,09,85   66,95   0.00   693,17   50.0   341.98     10/01/2018 75501755 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   66,95   0.00   693,17   50.0   341.98     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   683,17   0.00   683,17   50.0   341.98     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   683,17   0.00   683,17   50.0   34.98     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   683,17   0.00   51,497.27   5748.66     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   5748.66     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   5748.66     10/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   5748.66     11/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   5748.66     11/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   5748.66     11/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   50.0   51,497.27   5748.66     11/01/2018 75501757 PARNYREDI, MICHAELL   FAS FEES PT. II/III   B   -2,019,85   51,497.27   50.0   51,497.27   50.0   51,497.27   50.0   51,497.27   50.0   51,497.27   50.0   51,497.27   50.0   51,497.27   5	10/01/2018 75501742 CIAVARELLA, LOUIS	FAS FEES PT. II/III	В	-119.56	39.85	0.00	39.85	50.0	19.93
10/01/2018 75501754 CINAMENELA, JAMES   PAS FEES PT. II/III   B   -131.86   43.95   0.00   43.95   50.0   21.98     10/01/2018 75501755 MANTERDI, MICHAEL   PAS FEES PT. II/III   B   -1.002.05   334.01   0.00   334.01   50.0   167.01     10/01/2018 7550175 BREGER, MIMT   PAS FEES PT. II/III   B   -2.09.85   69.95   0.00   693.17   50.0   341.98     10/01/2018 75502207 GEYER, GEORGE   PAS FEES PT. II/III   B   -2.049.52   683.17   0.00   684.87   50.0   341.98     10/01/2018 75502207 GEYER, GEORGE   FAS FEES PT. II/III   B   -2.049.52   683.17   0.00   683.17   50.0   341.98     10/01/2018 75502207 GEYER, GEORGE   FAS FEES PT. II/III   B   -2.049.52   683.17   0.00   844.8   50.0   842.24     **RIA SUBTOTAL * * * * * * * * * * * * * * * * * * *	10/01/2018 75501749 CIAVARELLA, MELISSA	FAS FEES PT. II/III	В	-278.41	92.80	0.00	92.80	50.0	46.40
10/10/2018 75501755 BERGEN, MIMIN	10/01/2018 75501752 CIAVARELLA, JAMES	FAS FEES PT. II/III	В	-54.30	18.10	0.00	18.10	50.0	9.05
10/01/2018 75502157 BERGEN, MINI	10/01/2018 75501754 CIAVARELLA, JAMES	FAS FEES PT. II/III	В	-131.86	43.95	0.00	43.95	50.0	21.98
10/01/2018   75502185   CARR, CHARLES   FAS FEES PT.	10/01/2018 75501755 MANFREDI, MICHAEL	FAS FEES PT. II/III	В	-1,002.05	334.01	0.00	334.01	50.0	167.01
10/01/2018 75502207 GEYER, GEORGE	10/01/2018 75501757 BERGEN, MIMI	FAS FEES PT. II/III	В	-209.85	69.95	0.00	69.95	50.0	34.98
*RIA SUBTOTAL * \$-4,491.89 \$1,497.27 \$0.00 \$1,497.27 \$748.66  PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  11/30/2018 FEE COUNT - 113 0.00 403.59 \$0.00 403.59 \$0.00 \$189.88  **** BROKER TRANSACTIONS TOTAL *** \$175,360.87 \$2,219.29 \$0.00 \$2,219.29 \$1,090.26  **** ADJUSTMENTS  11/30/2018 MISCELLANEOUS: UNBUNDLED FEES 2/3 0.00 0.00 0.00 \$0.00 \$0.00 \$-151.54  **** ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  **** ADJUSTMENTS TOTAL **** \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  **** ADJUSTMENTS TOTAL **** \$0.00 \$0.	10/01/2018 75502185 CARR, CHARLES	FAS FEES PT. II/III	В	-2,049.52	683.17	0.00	683.17	50.0	341.59
### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  11/30/2018 FEE COUNT - 113	10/01/2018 75502207 GEYER, GEORGE	FAS FEES PT. II/III	В	-253.44	84.48	0.00	84.48	50.0	42.24
11/30/2018   FEE COUNT - 113		* RIA	SUBTOTAL *	\$-4,491.89	\$1,497.27	\$0.00	\$1,497.27		\$748.66
* MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$403.59 \$0.00 \$403.59 \$189.88  **** BROKER TRANSACTIONS TOTAL *** \$175,360.87 \$2,219.29 \$0.00 \$2,219.29 \$1,090.26  *****  **** ADJUSTMENTS**  11/30/2018  MISCELLANEOUS: UNEUNDLED FEES 2/3 0.00 0.00 0.00 0.00 0.00 -151.54  **** ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  **** ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  **** BROKER COMMISSION TOTALS  BROKER TRANSACTIONS \$0.00  Override Transactions \$0.00  Override Transactions \$0.00  Adjustments \$-151.54  Payroll Draw \$0.00  Base Salary \$0.00  Prior Period Balance \$0.00  FINRA Assessment \$-2.77  SIPC Assessment \$-2.77  SIPC Assessment \$-5.5.55	PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS							
### BROKER TRANSACTIONS TOTAL *** \$175,360.87 \$2,219.29 \$0.00 \$2,219.29 \$1,090.26  ADJUSTMENTS  11/30/2018 MISCELLANEOUS: UNBUNDLED FEES 2/3 0.00 0.00 0.00 0.00 0.00 -151.54  *** ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  BROKER COMMISSION TOTALS  BROKER COMMISSION TOTALS  BROKER Transactions \$1,090.26  \$911 Transactions \$0.00  Override Transactions \$0.00  Adjustments \$-151.54  Payroll Draw \$0.00  Prior Period Balance \$0.00  Prior Period Balance \$0.00  FINRA Assessment \$-2.77  SIPC Assessment \$-2.77  SIPC Assessment \$-5.55	11/30/2018	FEE COUNT - 113		0.00	403.59	0.00	403.59	50.0	189.88
ADJUSTMENTS  11/30/2018 MISCELLANEOUS: UNBUNDLED FEES 2/3 0.00 0.00 0.00 0.00 0.00 -151.54  *** ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  BROKER COMMISSION TOTALS  Broker Transactions \$1,090.26 Split Transactions \$0.00 Override Transactions \$0.00 Adjustments \$-151.54 Payroll Draw \$0.00 Base Salary \$0.00 Prior Period Balance \$0.00 FINRA Assessment \$-2.77 SIPC Assessment \$-5.55  Check Amount \$930.40		* MUTUAL FUND 12B1 TRAILS	SUBTOTAL *	\$0.00	\$403.59	\$0.00	\$403.59		\$189.88
### ADJUSTMENTS TOTAL *** \$0.00 0.00 0.00 0.00 \$0.00 \$-151.54  ### ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54  ### BROKER COMMISSION TOTALS  Broker Transactions \$1,090.26  \$plit Transactions \$0.00  Override Transactions \$0.00  Adjustments \$-151.54  Payroll Draw \$0.00  Base Salary \$0.00  Prior Period Balance \$0.00  FINRA Assessment \$-2.77  \$IPC Assessment \$-5.55  Check Amount \$930.40		*** BROKER TRANSACTIONS	TOTAL ***	\$175,360.87	\$2,219.29	\$0.00	\$2,219.29		\$1,090.26
### ADJUSTMENTS TOTAL *** \$0.00 \$0.00 \$0.00 \$0.00 \$-151.54    BROKER COMMISSION TOTALS			ADJUSTME	NTS					
## BROKER COMMISSION TOTALS    Broker Transactions	11/30/2018	MISCELLANEOUS: UNBUNDLED H	FEES 2/3	0.00	0.00	0.00	0.00		-151.54
Broker Transactions		*** ADJUSTMENTS	S TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-151.54
Split Transactions						E	ROKER COMMI	SSION	TOTALS
Override Transactions \$0.00  Adjustments \$-151.54  Payroll Draw \$0.00  Base Salary \$0.00  Prior Period Balance \$0.00  FINRA Assessment \$-2.77  SIPC Assessment \$-5.55						Broke:	r Transactions		\$1,090.26
Adjustments \$-151.54 Payroll Draw \$0.00 Base Salary \$0.00 Prior Period Balance \$0.00 FINRA Assessment \$-2.77 SIPC Assessment \$-5.55  Check Amount \$930.40						Split	t Transactions		\$0.00
Adjustments \$-151.54 Payroll Draw \$0.00 Base Salary \$0.00 Prior Period Balance \$0.00 FINRA Assessment \$-2.77 SIPC Assessment \$-5.55						Override	e Transactions		\$0.00
Payroll Draw \$0.00  Base Salary \$0.00  Prior Period Balance \$0.00  FINRA Assessment \$-2.77  SIPC Assessment \$-5.55  Check Amount \$930.40									\$-151.54
Base Salary \$0.00 Prior Period Balance \$0.00 FINRA Assessment \$-2.77 SIPC Assessment \$-5.55  Check Amount \$930.40							_		
Prior Period Balance \$0.00 FINRA Assessment \$-2.77 SIPC Assessment \$-5.55  Check Amount \$930.40							-		
FINRA Assessment \$-2.77 SIPC Assessment \$-5.55  Check Amount \$930.40						Prior 1			
SIPC Assessment \$-5.55  Check Amount \$930.40									
							Check Amount		\$930.40
						37			