

COMMISSION STATEMENT

October 31, 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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/03/2018	75599824 RF LAFFERTY & CO	KALA PHARMACEUTICALS INC COM	S	3,300.00	0.00	0.00	0.00	80.0	0.00
10/03/2018	75599824 RF LAFFERTY & CO	KALA PHARMACEUTICALS INC COM	B	3,240.60	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	111,150.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	30,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	22,500.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-15,000.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	30,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	22,500.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-22,500.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-15,000.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-30,000.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-15,000.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	B	-15,000.00	0.00	0.00	0.00	80.0	0.00 C
10/04/2018	75599824 RF LAFFERTY & CO	MONMOUTH REAL ESTATE INVT CORP COM	S	15,000.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	8,500.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	17,000.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	-50,235.00	0.00	0.00	0.00	80.0	0.00 C
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	B	0.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	0.00	0.00	0.00	0.00	80.0	0.00 C
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	B	50,235.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	17,000.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	S	8,500.00	0.00	0.00	0.00	80.0	0.00
10/11/2018	75599824 RF LAFFERTY & CO	LIVENT CORPORATION COMMON STOCK	B	50,235.00	0.00	0.00	0.00	80.0	0.00
10/19/2018	75599824 RF LAFFERTY & CO	SOLARWINDS CORPORATION COMMON STOCK	B	2,957.25	0.00	0.00	0.00	80.0	0.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/19/2018	75599824 RF LAFFERTY & CO	SOLARWINDS CORPORATION COMMON STOCK	S	3,000.00	0.00	0.00	0.00	80.0	0.00
09/27/2018	QGV890908 RF LAFFERTY & CO	ALNYLAM PHARMACEUTICALS INC	S	-8,859.83	100.00	0.00	100.00	80.0	80.00
09/27/2018	QGV890908 RF LAFFERTY & CO	ALNYLAM PHARMACEUTICALS INC	S	8,859.83	-100.00	0.00	-100.00	80.0	-80.00 C
10/23/2018	QGV891179 RF LAFFERTY & CO	CHARLOTTES WEB HOLDINGS INC COM ISI	B	59,285.00	250.00	0.00	250.00	80.0	200.00
10/23/2018	QGV891179 RF LAFFERTY & CO	CHARLOTTES WEB HOLDINGS INC COM ISI	S	-59,285.00	250.00	0.00	250.00	80.0	200.00
10/23/2018	QGV891179 RF LAFFERTY & CO	CHARLOTTES WEB HOLDINGS INC COM ISI	B	-59,285.00	-250.00	0.00	-250.00	80.0	-200.00 C
10/24/2018	QGW030272 CHERNOFF, GLENN	CACTUS INC CL A	S	-23,438.94	20.00	0.00	20.00	80.0	16.00
* STOCKS SUBTOTAL *				\$254,658.91	\$270.00	\$0.00	\$270.00		\$216.00
<u>PRODUCT CATEGORY: BONDS</u>									
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	-157,123.00	0.00	0.00	0.00	80.0	0.00 C
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	157,123.05	0.00	0.00	0.00	80.0	0.00
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	79,055.62	0.00	0.00	0.00	80.0	0.00
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	B	490,144.86	0.00	0.00	0.00	80.0	0.00
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	92,890.36	0.00	0.00	0.00	80.0	0.00
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	161,075.83	0.00	0.00	0.00	80.0	0.00
10/01/2018	75599900 RF LAFFERTY & CO	UNITED STATES TREASURY BILL	S	157,123.05	0.00	0.00	0.00	80.0	0.00
* BONDS SUBTOTAL *				\$980,289.77	\$0.00	\$0.00	\$0.00		\$0.00
*** BROKER TRANSACTIONS TOTAL ***				\$1,234,948.68	\$270.00	\$0.00	\$270.00		\$216.00

ADJUSTMENTS

10/31/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBI			0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		-\$2.00

BROKER COMMISSION TOTALS

Broker Transactions	\$216.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-22,512.49
FINRA Assessment	\$-0.34
SIPC Assessment	\$-0.68

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

Balance Forward	\$-22,299.51
Year-to-date Earnings	\$-22,299.51