

COMMISSION STATEMENT

July 31, 2017

WARD MORGENTHAU

19 ROSS RD

LIVINGSTON, NJ 07039

BROKER #: 71

BRANCH: HOME OFFICE

COMMISSION STATEMENT for WARD MORGENTHAU

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
06/29/2017	75500895	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B	12,050.00	35.00	0.00	35.00	50.0	17.50
06/29/2017	75500895	MORGENTHAU, WARD	PHIBRO ANIMAL HEALTH CORPORATION CL S	14,860.00	35.00	0.00	35.00	50.0	17.50
07/17/2017	75500895	MORGENTHAU, WARD	ALIBABA GROUP HOLDING LTD SPONSORED B	15,234.00	35.00	0.00	35.00	50.0	17.50
07/17/2017	75500895	MORGENTHAU, WARD	COSTCO WHOLESALE CORP-NEW S	15,304.75	35.00	0.00	35.00	50.0	17.50
06/30/2017	75500901	LIPSON, SANDRA	GOVERNMENT PROPERTIES INCOME TRUST B	5,500.98	85.00	0.00	85.00	50.0	42.50
07/14/2017	75500901	LIPSON, SANDRA	NEW MTN FIN CORP COM B	4,320.00	80.00	0.00	80.00	50.0	40.00
07/20/2017	75500901	LIPSON, SANDRA	HEALTH INS INNOVATIONS INC COM CL A B	5,650.00	80.00	0.00	80.00	50.0	40.00
06/27/2017	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B	4,356.75	12.95	0.00	12.95	50.0	6.48
06/29/2017	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A S	12,650.00	35.00	0.00	35.00	50.0	17.50
06/29/2017	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B	12,275.00	35.00	0.00	35.00	50.0	17.50
07/14/2017	75500924	MORGENTHAU, JONATHAN	ARCOS DORADOS HOLDINGS INC S	4,150.00	35.00	0.00	35.00	50.0	17.50
07/20/2017	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B	3,609.05	13.10	0.00	13.10	50.0	6.55
07/25/2017	75500924	MORGENTHAU, JONATHAN	GREENBRIER COMPANIES INC B	9,020.00	35.00	0.00	35.00	50.0	17.50
07/25/2017	75501028	MORGENTHAU, NICOLE	GILEAD SCIENCES INC B	7,507.66	35.00	0.00	35.00	50.0	17.50
07/07/2017	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B	10,620.00	35.00	0.00	35.00	50.0	17.50
06/27/2017	75501184	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A S	-4,356.75	-12.95	0.00	-12.95	50.0	-6.48 C
* STOCKS SUBTOTAL *				\$132,751.44	\$608.10	\$0.00	\$608.10		\$304.05

PRODUCT CATEGORY: OPTIONS

07/06/2017	75500895	MORGENTHAU, WARD	CALL BABA 07/21/17 140	B	505.00	35.00	0.00	35.00	50.0	17.50
07/06/2017	75500895	MORGENTHAU, WARD	CALL BABA 08/18/17 145	S	576.00	35.00	0.00	35.00	50.0	17.50
07/10/2017	75500895	MORGENTHAU, WARD	CALL QCOM 07/21/17 59	B	145.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *					\$1,226.00	\$105.00	\$0.00	\$105.00		\$52.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/12/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI B		0.00	0.89	0.00	0.89	50.0	0.45
07/12/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
07/12/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	6.12	0.00	6.12	50.0	3.06
07/12/2017	75500901	LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A	B	0.00	4.43	0.00	4.43	50.0	2.22
07/12/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME B		0.00	5.90	0.00	5.90	50.0	2.95
07/12/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B		0.00	14.16	0.00	14.16	50.0	7.08
07/12/2017	75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B		0.00	10.89	0.00	10.89	50.0	5.45

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/12/2017	75501197	LIPSON, SANDRA	PIMCO HIGH YIELD CLASS A	B	0.00	41.21	0.00	41.21	50.0	20.61
07/12/2017	75501197	LIPSON, SANDRA	PIMCO LOW DURATION FUND-CL A	B	0.00	0.03	0.00	0.03	50.0	0.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$83.78	\$0.00	\$83.78		\$41.92
*** BROKER TRANSACTIONS TOTAL ***					\$133,977.44	\$796.88	\$0.00	\$796.88		\$398.47

ADJUSTMENTS

07/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00			-20.00
07/31/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00			-27.28
07/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00			-8.00
07/31/2017		OTHER: THOMSON		0.00	0.00	0.00	0.00			-79.63
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$-134.91

BROKER COMMISSION TOTALS

Broker Transactions	\$398.47
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-134.91
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.00
SIPC Assessment	\$-1.99

Check Amount	\$260.57
Year-to-date Earnings	\$553.87