

COMMISSION STATEMENT

July 31, 2018

WARD MORGENTHAU

19 ROSS RD

LIVINGSTON, NJ 07039

BROKER #: W01

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

08/07/2018	75500785	RUDNITSKY, GARY	STERLING CONSTRUCTION COMPANY INC	S	6,970.50	100.00	0.00	100.00	50.0	50.00
08/07/2018	75500785	RUDNITSKY, GARY	SYNACOR INC	B	7,350.00	100.00	0.00	100.00	50.0	50.00
06/29/2018	75500895	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	B	19,180.00	35.00	0.00	35.00	50.0	17.50
07/02/2018	75500895	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	S	19,460.00	35.00	0.00	35.00	50.0	17.50
07/24/2018	75500895	MORGENTHAU, WARD	TELADOC INC COM	B	33,900.00	35.00	0.00	35.00	50.0	17.50
07/26/2018	75500895	MORGENTHAU, WARD	FACEBOOK INC CL A	B	17,797.00	35.00	0.00	35.00	50.0	17.50
07/26/2018	75500895	MORGENTHAU, WARD	FRANKLIN CREDIT MGMT CORP NEW COM	B	2,911.95	22.65	0.00	22.65	50.0	11.33
08/06/2018	75500895	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC	S	14,930.00	35.00	0.00	35.00	50.0	17.50
08/07/2018	75500895	MORGENTHAU, WARD	SYNACOR INC	B	9,800.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75500895	MORGENTHAU, WARD	GRAFTECH INTL LTD COM	B	19,770.00	35.00	0.00	35.00	50.0	17.50
08/01/2018	75500901	LIPSON, SANDRA	HI-CRUSH PARTNERS LP COM UNIT PARTN	B	7,650.00	120.00	0.00	120.00	50.0	60.00
06/28/2018	75500924	MORGENTHAU, JONATHAN	AL TABA INC COM	B	7,294.20	35.00	0.00	35.00	50.0	17.50
06/28/2018	75500924	MORGENTHAU, JONATHAN	ENDO INTERNATIONAL PLC	S	9,630.00	35.00	0.00	35.00	50.0	17.50
06/28/2018	75500924	MORGENTHAU, JONATHAN	INVIVO THERAPEUTICS HOLDINGS CORP C	S	5,255.15	35.00	0.00	35.00	50.0	17.50
07/12/2018	75500924	MORGENTHAU, JONATHAN	HAIN CELESTIAL GROUP INC	S	9,009.00	35.00	0.00	35.00	50.0	17.50
07/12/2018	75500924	MORGENTHAU, JONATHAN	HYRECAR INC COM	B	4,950.00	35.00	0.00	35.00	50.0	17.50
07/17/2018	75500924	MORGENTHAU, JONATHAN	SKECHERS USA INC CL A	B	15,859.40	35.00	0.00	35.00	50.0	17.50
07/19/2018	75500924	MORGENTHAU, JONATHAN	OPKO HEALTH INC	B	6,050.00	35.00	0.00	35.00	50.0	17.50
07/19/2018	75500924	MORGENTHAU, JONATHAN	SKECHERS USA INC CL A	S	16,580.00	35.00	0.00	35.00	50.0	17.50
07/20/2018	75500924	MORGENTHAU, JONATHAN	HYRECAR INC COM	S	2,375.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75500924	MORGENTHAU, JONATHAN	PUXIN LIMITED AMERICAN DEPOSITARY S	S	8,215.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75500924	MORGENTHAU, JONATHAN	GRAFTECH INTL LTD COM	B	9,991.10	35.00	0.00	35.00	50.0	17.50
07/27/2018	75501010	GREGORIO HUMBERTO	FACEBOOK INC CL A	B	35,980.00	195.00	0.00	195.00	50.0	97.50
06/29/2018	75501028	MORGENTHAU, NICOLE	INVIVO THERAPEUTICS HOLDINGS CORP C	S	5,190.00	35.00	0.00	35.00	50.0	17.50
07/09/2018	75501028	MORGENTHAU, NICOLE	SIRIUS XM HOLDINGS INC COM	B	7,006.00	35.00	0.00	35.00	50.0	17.50
07/17/2018	75501028	MORGENTHAU, NICOLE	SIRIUS XM HOLDINGS INC COM	S	7,070.00	35.00	0.00	35.00	50.0	17.50
07/20/2018	75501028	MORGENTHAU, NICOLE	SKECHERS USA INC CL A	B	12,215.00	35.00	0.00	35.00	50.0	17.50
07/20/2018	75501028	MORGENTHAU, NICOLE	SKECHERS USA INC CL A	S	12,955.65	35.00	0.00	35.00	50.0	17.50
07/25/2018	75501028	MORGENTHAU, NICOLE	STMICROELECTRONICS NV SHS N Y REGIS	B	11,015.00	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A	B	6,460.00	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501028	MORGENTHAU, NICOLE	SQUARE INC CLASS A COM	S	13,118.02	35.00	0.00	35.00	50.0	17.50

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
08/01/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A S	18,450.00	35.00	0.00	35.00	50.0	17.50	
08/01/2018	75501028	MORGENTHAU, NICOLE	TELADOC INC COM	B	12,100.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501028	MORGENTHAU, NICOLE	TELADOC INC COM	S	13,000.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501028	MORGENTHAU, NICOLE	THERAPEUTICSMD INC	B	10,497.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75501028	MORGENTHAU, NICOLE	ALTABA INC COM	B	14,143.44	35.00	0.00	35.00	50.0	17.50
08/10/2018	75501028	MORGENTHAU, NICOLE	GRAFTECH INTL LTD COM	B	9,829.35	35.00	0.00	35.00	50.0	17.50
07/27/2018	75501120	JOEL L & WARD	FACEBOOK INC CL A	B	35,980.00	35.00	0.00	35.00	50.0	17.50
06/28/2018	75501179	MORGENTHAU, WARD	ALTABA INC COM	B	14,638.00	35.00	0.00	35.00	50.0	17.50
06/28/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	S	14,865.55	35.00	0.00	35.00	50.0	17.50
07/05/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	B	6,103.05	35.00	0.00	35.00	50.0	17.50
07/09/2018	75501179	MORGENTHAU, WARD	FLEX LTD ORDINARY SHARES	S	7,301.50	35.00	0.00	35.00	50.0	17.50
07/09/2018	75501179	MORGENTHAU, WARD	HYRECAR INC COM	B	4,631.60	35.00	0.00	35.00	50.0	17.50
07/11/2018	75501179	MORGENTHAU, WARD	HYRECAR INC COM	S	4,850.00	35.00	0.00	35.00	50.0	17.50
07/11/2018	75501179	MORGENTHAU, WARD	OPKO HEALTH INC	B	5,977.80	35.00	0.00	35.00	50.0	17.50
07/12/2018	75501179	MORGENTHAU, WARD	OPKO HEALTH INC	B	3,044.50	35.00	0.00	35.00	50.0	17.50
07/18/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S	16,650.00	35.00	0.00	35.00	50.0	17.50	
07/18/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	2,125.60	35.00	0.00	35.00	50.0	17.50
07/19/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	B	16,069.00	35.00	0.00	35.00	50.0	17.50
07/24/2018	75501179	MORGENTHAU, WARD	SYNCHRONOSS TECHNOLOGIES INC	S	2,780.00	35.00	0.00	35.00	50.0	17.50
07/25/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	4,400.00	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	S	24,270.30	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	B	14,204.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501179	MORGENTHAU, WARD	THERAPEUTICSMD INC	B	10,497.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	B	8,160.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	8,360.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75501179	MORGENTHAU, WARD	SYNCHRONOSS TECHNOLOGIES INC	S	2,025.00	35.00	0.00	35.00	50.0	17.50
08/10/2018	75501179	MORGENTHAU, WARD	SYNACOR INC	B	4,813.00	35.01	0.00	35.01	50.0	17.51
* STOCKS SUBTOTAL *				\$655,703.66	\$2,392.66	\$0.00	\$2,392.66		\$1,196.34	
PRODUCT CATEGORY: OPTIONS										
08/02/2018	75500895	MORGENTHAU, WARD	CALL TDOC 08/17/18 65	S	1,000.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75500895	MORGENTHAU, WARD	CALL TDOC 08/17/18 65	S	950.00	35.00	0.00	35.00	50.0	17.50
08/08/2018	75500895	MORGENTHAU, WARD	CALL TDOC 08/17/18 65	B	4,600.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *				\$6,550.00	\$105.00	\$0.00	\$105.00		\$52.50	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/31/2018			FEE COUNT - 16		0.00	138.58	0.00	138.58	50.0	69.32
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$138.58	\$0.00	\$138.58		\$69.32	
*** BROKER TRANSACTIONS TOTAL ***				\$662,253.66	\$2,636.24	\$0.00	\$2,636.24		\$1,318.11	

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ADJUSTMENTS

07/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
07/31/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
07/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
07/31/2018		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	\$1,318.16
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	\$-3.30
SIPC Assessment	\$-6.59

Check Amount	\$1,173.36
Year-to-date Earnings	\$8,156.07