

## COMMISSION STATEMENT

May 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

05/04/2018	75500785	RUDNITSKY, GARY	COHERUS BIOSCIENCES INC COM	S	6,687.50	100.00	0.00	100.00	50.0	50.00
05/04/2018	75500785	RUDNITSKY, GARY	HEALTH INS INNOVATIONS INC COM CL A B		6,757.50	95.00	0.00	95.00	50.0	47.50
05/09/2018	75500785	RUDNITSKY, GARY	HEALTH INS INNOVATIONS INC COM CL A S		7,337.00	75.00	0.00	75.00	50.0	37.50
05/09/2018	75500785	RUDNITSKY, GARY	STERLING CONSTRUCTION COMPANY INC	B	5,704.65	75.00	0.00	75.00	50.0	37.50
05/10/2018	75500895	MORGENTHAU, WARD	MOMO INC ADR	S	23,058.00	35.00	0.00	35.00	50.0	17.50
05/25/2018	75500895	MORGENTHAU, WARD	WHIRLPOOL CORP	B	15,128.91	35.00	0.00	35.00	50.0	17.50
05/02/2018	75500924	MORGENTHAU, JONATHAN	WHIRLPOOL CORP	B	15,383.61	35.00	0.00	35.00	50.0	17.50
05/07/2018	75500924	MORGENTHAU, JONATHAN	MOMO INC ADR	S	15,213.36	35.00	0.00	35.00	50.0	17.50
05/08/2018	75500924	MORGENTHAU, JONATHAN	SKECHERS USA INC CL A	B	14,714.50	35.00	0.00	35.00	50.0	17.50
05/11/2018	75500924	MORGENTHAU, JONATHAN	ALIBABA GROUP HOLDING LTD SPONSORED S		19,596.00	35.00	0.00	35.00	50.0	17.50
05/11/2018	75500924	MORGENTHAU, JONATHAN	PROPETRO HLDG CORP COM	B	19,250.00	35.00	0.00	35.00	50.0	17.50
05/17/2018	75500924	MORGENTHAU, JONATHAN	PROPETRO HLDG CORP COM	S	20,230.00	35.00	0.00	35.00	50.0	17.50
05/23/2018	75500924	MORGENTHAU, JONATHAN	RANGE RES CORP COM	B	7,580.00	35.00	0.00	35.00	50.0	17.50
05/23/2018	75500924	MORGENTHAU, JONATHAN	SKECHERS USA INC CL A	S	15,275.00	35.00	0.00	35.00	50.0	17.50
05/15/2018	75500944	MORGENTHAU, ADAM	ALTRIA GROUP INC	S	21,852.00	35.00	0.00	35.00	50.0	17.50
05/15/2018	75500944	MORGENTHAU, ADAM	PHILIP MORRIS INTERNATIONAL INC	S	32,000.00	35.00	0.00	35.00	50.0	17.50
05/16/2018	75500944	MORGENTHAU, ADAM	3M COMPANY	B	19,937.62	35.00	0.00	35.00	50.0	17.50
05/16/2018	75500944	MORGENTHAU, ADAM	HOME DEPOT INC	B	18,644.00	35.00	0.00	35.00	50.0	17.50
05/16/2018	75500944	MORGENTHAU, ADAM	INTEL CORP	B	5,396.66	35.00	0.00	35.00	50.0	17.50
05/16/2018	75500944	MORGENTHAU, ADAM	KIMBERLY CLARK CORP	B	10,425.98	35.00	0.00	35.00	50.0	17.50
05/16/2018	75500944	MORGENTHAU, ADAM	WALGREEN BOOTS ALLIANCE INC COM	B	6,534.32	35.00	0.00	35.00	50.0	17.50
05/25/2018	75501010	GREGORIO HUMBERTO	WHIRLPOOL CORP	B	30,556.52	150.00	0.00	150.00	50.0	75.00
05/02/2018	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	S	6,675.00	35.00	0.00	35.00	50.0	17.50
05/02/2018	75501028	MORGENTHAU, NICOLE	WHIRLPOOL CORP	B	15,357.87	35.00	0.00	35.00	50.0	17.50
05/09/2018	75501028	MORGENTHAU, NICOLE	ALIBABA GROUP HOLDING LTD SPONSORED S		19,646.02	35.00	0.00	35.00	50.0	17.50
05/09/2018	75501028	MORGENTHAU, NICOLE	RANGE RES CORP COM	B	7,419.40	35.00	0.00	35.00	50.0	17.50
05/16/2018	75501028	MORGENTHAU, NICOLE	ENDO INTERNATIONAL PLC	B	3,114.95	35.00	0.00	35.00	50.0	17.50
05/21/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A S		6,040.00	35.00	0.00	35.00	50.0	17.50
05/21/2018	75501028	MORGENTHAU, NICOLE	MAZOR ROBOTICS LTD SPONSORED ADS	B	11,444.52	35.00	0.00	35.00	50.0	17.50
05/23/2018	75501028	MORGENTHAU, NICOLE	RANGE RES CORP COM	S	7,800.00	35.00	0.00	35.00	50.0	17.50
05/25/2018	75501028	MORGENTHAU, NICOLE	WHIRLPOOL CORP	B	15,125.64	35.00	0.00	35.00	50.0	17.50

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
05/03/2018	75501179	MORGENTHAU, WARD	COHERUS BIOSCIENCES INC COM	S	13,750.00	35.00	0.00	35.00	50.0	17.50
05/03/2018	75501179	MORGENTHAU, WARD	WHIRLPOOL CORP	B	15,013.35	35.00	0.00	35.00	50.0	17.50
05/04/2018	75501179	MORGENTHAU, WARD	ALTABA INC COM	S	21,888.00	35.00	0.00	35.00	50.0	17.50
05/04/2018	75501179	MORGENTHAU, WARD	COHERUS BIOSCIENCES INC COM	S	7,475.00	35.00	0.00	35.00	50.0	17.50
05/04/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	7,020.00	35.00	0.00	35.00	50.0	17.50
05/09/2018	75501179	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC	B	12,760.00	35.00	0.00	35.00	50.0	17.50
05/10/2018	75501179	MORGENTHAU, WARD	PROPETRO HLDG CORP COM	B	19,590.00	35.00	0.00	35.00	50.0	17.50
05/10/2018	75501179	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC	S	13,060.00	35.00	0.00	35.00	50.0	17.50
05/14/2018	75501179	MORGENTHAU, WARD	MOMO INC ADR	B	19,025.00	35.00	0.00	35.00	50.0	17.50
05/16/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	17,877.00	35.00	0.00	35.00	50.0	17.50
05/16/2018	75501179	MORGENTHAU, WARD	PROPETRO HLDG CORP COM	S	19,690.00	35.00	0.00	35.00	50.0	17.50
05/17/2018	75501179	MORGENTHAU, WARD	MOMO INC ADR	S	19,515.00	35.00	0.00	35.00	50.0	17.50
05/17/2018	75501179	MORGENTHAU, WARD	RANGE RES CORP COM	B	15,535.00	35.00	0.00	35.00	50.0	17.50
05/22/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S		16,200.00	35.00	0.00	35.00	50.0	17.50
05/22/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	17,079.00	35.00	0.00	35.00	50.0	17.50
05/22/2018	75501179	MORGENTHAU, WARD	RANGE RES CORP COM	S	16,330.00	35.00	0.00	35.00	50.0	17.50
05/23/2018	75501179	MORGENTHAU, WARD	RANGE RES CORP COM	B	15,230.00	35.00	0.00	35.00	50.0	17.50
05/24/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	B	5,316.00	35.00	0.00	35.00	50.0	17.50
05/25/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		9,225.00	35.00	0.00	35.00	50.0	17.50
05/25/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	17,397.00	35.00	0.00	35.00	50.0	17.50
05/18/2018	75501184	MORGENTHAU, JONATHAN	MOMO INC ADR	S	6,129.54	35.00	0.00	35.00	50.0	17.50
05/18/2018	75501184	MORGENTHAU, JONATHAN	RANGE RES CORP COM	B	6,183.28	35.00	0.00	35.00	50.0	17.50
05/22/2018	75501794	WITMAN, RUSSELL	PARKER HANNIFIN CORP	S	6,283.20	50.00	0.00	50.00	50.0	25.00
* STOCKS SUBTOTAL *					\$747,457.90	\$2,225.00	\$0.00	\$2,225.00		\$1,112.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/31/2018		FEE COUNT - 7			0.00	45.58	0.00	45.58	50.0	22.82
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$45.58	\$0.00	\$45.58		\$22.82
*** BROKER TRANSACTIONS TOTAL ***					\$747,457.90	\$2,270.58	\$0.00	\$2,270.58		\$1,135.32

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ADJUSTMENTS

05/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
05/31/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
05/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
05/31/2018		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	\$1,135.32
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	\$-2.84
SIPC Assessment	\$-5.68

Check Amount	\$991.89
Year-to-date Earnings	\$1,935.21