

COMMISSION STATEMENT

February 28, 2018

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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

01/31/2018 75500895	MORGENTHAU, WARD	ALIBABA GROUP HOLDING LTD SPONSORED S		20,413.04	35.00	0.00	35.00	50.0	17.50
02/01/2018 75500895	MORGENTHAU, WARD	ALIBABA GROUP HOLDING LTD SPONSORED B		19,712.94	35.00	0.00	35.00	50.0	17.50
02/01/2018 75500895	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC B		13,950.00	35.00	0.00	35.00	50.0	17.50
02/15/2018 75500901	LIPSON, SANDRA	HEALTH INS INNOVATIONS INC COM CL A S		6,000.00	75.00	0.00	75.00	50.0	37.50
02/15/2018 75500901	LIPSON, SANDRA	MAZOR ROBOTICS LTD SPONSORED ADS B		5,996.00	75.00	0.00	75.00	50.0	37.50
02/23/2018 75500901	LIPSON, SANDRA	MTGE INVESTMENT CORP COMMON STOCK B		4,412.50	75.00	0.00	75.00	50.0	37.50
02/07/2018 75500924	MORGENTHAU, JONATHAN	OCWEN FINANCIAL CORPORATION S		10,290.00	35.00	0.00	35.00	50.0	17.50
02/14/2018 75500924	MORGENTHAU, JONATHAN	BUNGE LTD B		11,591.46	35.00	0.00	35.00	50.0	17.50
02/13/2018 75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION S		10,590.00	35.00	0.00	35.00	50.0	17.50
02/14/2018 75501028	MORGENTHAU, NICOLE	BUNGE LTD B		11,591.46	35.00	0.00	35.00	50.0	17.50
01/30/2018 75501179	MORGENTHAU, WARD	BUNGE LTD B		15,977.52	35.00	0.00	35.00	50.0	17.50
02/06/2018 75501179	MORGENTHAU, WARD	PHIBRO ANIMAL HEALTH CORPORATION CL S		10,905.00	35.00	0.00	35.00	50.0	17.50
02/07/2018 75501179	MORGENTHAU, WARD	WELLS FARGO & CO B		8,703.75	35.00	0.00	35.00	50.0	17.50
02/26/2018 75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		6,090.00	35.00	0.00	35.00	50.0	17.50
02/26/2018 75501179	MORGENTHAU, WARD	MOMO INC ADR S		7,051.36	35.00	0.00	35.00	50.0	17.50
02/26/2018 75501179	MORGENTHAU, WARD	SPARK THERAPEUTICS INC COM S		11,920.00	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *				\$175,195.03	\$680.00	\$0.00	\$680.00		\$340.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/09/2018 75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI B		0.00	1.06	0.00	1.06	50.0	0.53
02/09/2018 75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A B		0.00	0.16	0.00	0.16	50.0	0.08
02/09/2018 75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A B		0.00	7.59	0.00	7.59	50.0	3.80
02/09/2018 75500901	LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A B		0.00	4.75	0.00	4.75	50.0	2.38
02/09/2018 75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME B		0.00	6.16	0.00	6.16	50.0	3.08
02/09/2018 75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B		0.00	15.20	0.00	15.20	50.0	7.60
02/09/2018 75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B		0.00	12.97	0.00	12.97	50.0	6.49
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$47.89	\$0.00	\$47.89		\$23.96
*** BROKER TRANSACTIONS TOTAL ***				\$175,195.03	\$727.89	\$0.00	\$727.89		\$363.96

COMMISSION STATEMENT for WARD MORGENTHAU

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

ADJUSTMENTS

02/28/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
02/28/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
02/28/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
02/28/2018		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	\$363.96
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	\$-0.91
SIPC Assessment	\$-1.82

Check Amount	\$226.32
Year-to-date Earnings	\$657.67