

COMMISSION STATEMENT**March 31, 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 TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

02/28/2018	75500895	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	10,830.00	35.00	0.00	35.00	50.0	17.50
03/27/2018	75500895	MORGENTHAU, WARD	MOTIF BIO PLC SPONSORED ADR	S	1,247.00	8.12	0.00	8.12	50.0	4.06
03/13/2018	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B		16,250.00	35.00	0.00	35.00	50.0	17.50
02/28/2018	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	S	9,125.00	35.00	0.00	35.00	50.0	17.50
03/05/2018	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	S	3,915.83	35.00	0.00	35.00	50.0	17.50
02/27/2018	75501179	MORGENTHAU, WARD	COHERUS BIOSCIENCES INC COM	B	5,450.00	35.00	0.00	35.00	50.0	17.50
03/01/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S		7,065.00	35.00	0.00	35.00	50.0	17.50
03/01/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		6,570.00	35.00	0.00	35.00	50.0	17.50
03/05/2018	75501179	MORGENTHAU, WARD	PHIBRO ANIMAL HEALTH CORPORATION CL S		7,990.00	35.00	0.00	35.00	50.0	17.50
03/05/2018	75501179	MORGENTHAU, WARD	SOTHEBYS	B	10,166.00	35.00	0.00	35.00	50.0	17.50
03/12/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	B	6,492.60	35.00	0.00	35.00	50.0	17.50
03/15/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		12,120.00	35.00	0.00	35.00	50.0	17.50
03/15/2018	75501179	MORGENTHAU, WARD	SOTHEBYS	S	10,678.00	35.00	0.00	35.00	50.0	17.50
03/20/2018	75501179	MORGENTHAU, WARD	FACEBOOK INC CL A	B	16,970.32	35.00	0.00	35.00	50.0	17.50
03/20/2018	75501179	MORGENTHAU, WARD	MOMO INC ADR	S	18,664.50	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *					\$143,534.25	\$498.12	\$0.00	\$498.12		\$249.06

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/31/2018		FEE COUNT - 7			0.00	42.29	0.00	42.29	50.0	21.16
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$42.29	\$0.00	\$42.29		\$21.16
*** BROKER TRANSACTIONS TOTAL ***					\$143,534.25	\$540.41	\$0.00	\$540.41		\$270.22

COMMISSION STATEMENT for WARD MORGENTHAU

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

ADJUSTMENTS

03/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
03/31/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
03/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
03/31/2018		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	\$270.22
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	\$-0.68
SIPC Assessment	\$-1.35

Check Amount	\$133.28
Year-to-date Earnings	\$790.95