

COMMISSION STATEMENT

April 03, 2017

WARD MORGENTHAU

19 ROSS RD

LIVINGSTON, NJ 07039

BROKER #:

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

02/28/2017	75500901	LIPSON, SANDRA	MTGE INVESTMENT CORP COMMON STOCK	B	8,225.00	100.00	7.00	93.00	50.0	46.50
02/28/2017	75500901	LIPSON, SANDRA	SILVER BAY RLTY TR CORP COM	S	8,581.36	100.00	7.00	93.00	50.0	46.50
03/21/2017	75500924	MORGENTHAU, JONATHAN	ARCOS DORADOS HOLDINGS INC	B	6,480.00	35.00	7.00	28.00	50.0	14.00
03/10/2017	75500949	MORGENTHAU, JOEL	J P MORGAN CHASE & CO	B	18,193.32	35.00	7.00	28.00	50.0	14.00
03/10/2017	75500950	MORGENTHAU, JOEL	J P MORGAN CHASE & CO	B	18,197.32	35.00	7.00	28.00	50.0	14.00
03/21/2017	75500985	MORGENTHAU, DAVID	ARRIS INTERNATIONAL PLC SHS	S	2,592.28	35.00	7.00	28.00	50.0	14.00
03/13/2017	75501010	GREGORIO HUMBERTO	J P MORGAN CHASE & CO	B	18,297.32	125.00	7.00	118.00	50.0	59.00
03/10/2017	75501120	JOEL L & WARD	J P MORGAN CHASE & CO	B	18,195.32	35.00	7.00	28.00	50.0	14.00
02/24/2017	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	B	5,231.44	35.00	7.00	28.00	50.0	14.00
02/27/2017	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	S	5,412.00	35.00	7.00	28.00	50.0	14.00
02/28/2017	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	S	5,501.08	10.00	7.00	3.00	50.0	1.50
02/28/2017	75501179	MORGENTHAU, WARD	TRANSOCEAN LTD US LISTED	B	6,995.00	35.00	7.00	28.00	50.0	14.00
03/02/2017	75501179	MORGENTHAU, WARD	ABERCROMBIE & FITCH CO-CL A	S	6,410.90	35.00	7.00	28.00	50.0	14.00
03/09/2017	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		10,850.00	35.00	7.00	28.00	50.0	14.00
* STOCKS SUBTOTAL *					\$139,162.34	\$685.00	\$98.00	\$587.00		\$293.50

PRODUCT CATEGORY: OPTIONS

03/17/2017	75500895	MORGENTHAU, WARD	CALL BABA	05/19/17	110	S	290.00	35.00	7.00	28.00	50.0	14.00
03/17/2017	75500895	MORGENTHAU, WARD	CALL BABA	03/17/17	105	B	110.00	35.00	7.00	28.00	50.0	14.00
03/17/2017	75500895	MORGENTHAU, WARD	CALL BABA	05/19/17	110	S	290.00	35.00	7.00	28.00	50.0	14.00
03/17/2017	75500895	MORGENTHAU, WARD	CALL BABA	05/19/17	110	B	-290.00	-35.00	-7.00	-28.00	50.0	-14.00 C
03/21/2017	75500895	MORGENTHAU, WARD	CALL QCOM	04/13/17	58.50	S	300.00	35.00	7.00	28.00	50.0	14.00
03/23/2017	75501179	MORGENTHAU, WARD	CALL MZOR	04/21/17	25	S	460.00	35.00	7.00	28.00	50.0	14.00
* OPTIONS SUBTOTAL *							\$1,160.00	\$140.00	\$28.00	\$112.00		\$56.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/10/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI	B	0.00	0.83	0.00	0.83	50.0	0.42
03/10/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A	B	0.00	0.13	0.00	0.13	50.0	0.07
03/10/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	5.29	0.00	5.29	50.0	2.65
03/10/2017	75500901	LIPSON, SANDRA	PUTNAM 746782101	B	0.00	4.05	0.00	4.05	50.0	2.03
03/10/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME	B	0.00	5.36	0.00	5.36	50.0	2.68
03/10/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B		0.00	12.89	0.00	12.89	50.0	6.45

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/10/2017	75501197 LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B		0.00	10.19	0.00	10.19	50.0	5.10
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$38.74	\$0.00	\$38.74		\$19.40
		*** BROKER TRANSACTIONS TOTAL ***		\$140,322.34	\$863.74	\$126.00	\$737.74		\$368.90

ADJUSTMENTS

04/03/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/03/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		0.00
04/03/2017		OTHER: THOMSON		0.00	0.00	0.00	0.00		0.00
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$368.90
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.08
SIPC Assessment	\$-16.20

Check Amount	\$331.62
Year-to-date Earnings	\$993.55