

COMMISSION STATEMENT

September 29, 2017

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

08/30/2017	75500895	MORGENTHAU, WARD		GENERAC HOLDINGS INC	S	39,300.00	35.00	0.00	35.00	50.0	17.50
09/05/2017	75500895	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A B		15,763.00	35.00	0.00	35.00	50.0	17.50
09/06/2017	75500895	MORGENTHAU, WARD		HD SUPPLY HOLDINGS INC COM	B	16,708.35	35.00	0.00	35.00	50.0	17.50
09/11/2017	75500895	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A S		21,405.00	35.00	0.00	35.00	50.0	17.50
09/12/2017	75500895	MORGENTHAU, WARD		MOMO INC ADR	B	22,808.40	35.00	0.00	35.00	50.0	17.50
09/26/2017	75500895	MORGENTHAU, WARD		HD SUPPLY HOLDINGS INC COM	S	17,770.00	35.00	0.00	35.00	50.0	17.50
09/27/2017	75500895	MORGENTHAU, WARD		MOTORCAR PARTS OF AMERICA INC	B	14,296.70	35.00	0.00	35.00	50.0	17.50
09/06/2017	75500901	LIPSON, SANDRA		FLAHERTY & CRUMRINE TOTAL RETURN FU B		4,308.20	70.00	0.00	70.00	50.0	35.00
08/31/2017	75500924	MORGENTHAU, JONATHAN		MOMO INC ADR	B	7,478.64	35.00	0.00	35.00	50.0	17.50
08/31/2017	75500924	MORGENTHAU, JONATHAN		PHIBRO ANIMAL HEALTH CORPORATION CL S		7,570.00	35.00	0.00	35.00	50.0	17.50
09/06/2017	75500924	MORGENTHAU, JONATHAN		ENDEAVOUR SILVER CORP	B	2,617.00	35.00	0.00	35.00	50.0	17.50
09/11/2017	75500924	MORGENTHAU, JONATHAN		HEALTH INS INNOVATIONS INC COM CL A S		20,277.60	35.00	0.00	35.00	50.0	17.50
09/26/2017	75500924	MORGENTHAU, JONATHAN		MOMO INC ADR	B	6,770.00	35.00	0.00	35.00	50.0	17.50
09/19/2017	75501028	MORGENTHAU, NICOLE		HEALTH INS INNOVATIONS INC COM CL A S		6,900.00	35.00	0.00	35.00	50.0	17.50
09/27/2017	75501028	MORGENTHAU, NICOLE		OCWEN FINANCIAL CORPORATION	B	6,556.20	35.00	0.00	35.00	50.0	17.50
09/06/2017	75501179	MORGENTHAU, WARD		GARDNER DENVER HLDGS INC COM	S	11,600.00	35.00	0.00	35.00	50.0	17.50
09/06/2017	75501179	MORGENTHAU, WARD		TRANSOCEAN LTD US LISTED	B	2,675.10	35.00	0.00	35.00	50.0	17.50
09/08/2017	75501179	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A B		10,605.00	35.00	0.00	35.00	50.0	17.50
09/11/2017	75501179	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A S		29,860.00	35.00	0.00	35.00	50.0	17.50
09/14/2017	75501179	MORGENTHAU, WARD		ARROWHEAD PHARMACEUTICALS INC COM	S	3,421.50	35.00	0.00	35.00	50.0	17.50
09/14/2017	75501179	MORGENTHAU, WARD		PHIBRO ANIMAL HEALTH CORPORATION CL B		18,025.00	35.00	0.00	35.00	50.0	17.50
09/18/2017	75501179	MORGENTHAU, WARD		MOMO INC ADR	B	14,715.92	35.00	0.00	35.00	50.0	17.50

* STOCKS SUBTOTAL *				\$301,431.61	\$805.00	\$0.00	\$805.00		\$402.50
---------------------	--	--	--	--------------	----------	--------	----------	--	----------

PRODUCT CATEGORY: OPTIONS

09/19/2017	75500895	MORGENTHAU, WARD	CALL INTC	10/20/17	38	S	434.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *							\$434.00	\$35.00	\$0.00	\$35.00		\$17.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75500783	RUDNITSKY, GARY		JOHN HANCOCK FDS II NEW OPPORTUNITI B		0.00	0.91	0.00	0.91	50.0	0.46
09/12/2017	75500785	RUDNITSKY, GARY		MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
09/12/2017	75500874	REUSCH, CHARLES		ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	6.30	0.00	6.30	50.0	3.15

COMMISSION STATEMENT for WARD MORGENTHAU

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/12/2017	75500901 LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A	B	0.00	4.61	0.00	4.61	50.0	2.31
09/12/2017	75500901 LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME	B	0.00	6.13	0.00	6.13	50.0	3.07
09/12/2017	75501197 LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B		0.00	14.77	0.00	14.77	50.0	7.39
09/12/2017	75501197 LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B		0.00	11.17	0.00	11.17	50.0	5.59
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$44.04	\$0.00	\$44.04		\$22.05
*** BROKER TRANSACTIONS TOTAL ***				\$301,865.61	\$884.04	\$0.00	\$884.04		\$442.05

ADJUSTMENTS

09/29/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
09/29/2017	OTHER: OTHER-EXCHANGE FEES	0.00	0.00	0.00	0.00	-27.28
09/29/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
09/29/2017	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	\$442.05
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	\$-1.11
SIPC Assessment	\$-2.21

Check Amount	\$303.82
Year-to-date Earnings	\$901.12