

## COMMISSION STATEMENT

October 31, 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

10/05/2017	75500895	MORGENTHAU, WARD		GREENBRIER COMPANIES INC	S	15,330.00	35.00	0.00	35.00	50.0	17.50
10/09/2017	75500895	MORGENTHAU, WARD		OCWEN FINANCIAL CORPORATION	B	10,943.10	35.00	0.00	35.00	50.0	17.50
10/10/2017	75500895	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A B		9,475.00	35.00	0.00	35.00	50.0	17.50
10/10/2017	75500895	MORGENTHAU, WARD		MOTORCAR PARTS OF AMERICA INC	S	14,815.00	35.00	0.00	35.00	50.0	17.50
10/16/2017	75500895	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A S		10,700.00	35.00	0.00	35.00	50.0	17.50
10/16/2017	75500895	MORGENTHAU, WARD		MOTIF BIO PLC SPONSORED ADR	B	5,667.30	35.00	0.00	35.00	50.0	17.50
10/17/2017	75500895	MORGENTHAU, WARD		OCWEN FINANCIAL CORPORATION	S	11,100.00	35.00	0.00	35.00	50.0	17.50
10/17/2017	75500895	MORGENTHAU, WARD		TRANSOCEAN LTD US LISTED	B	10,740.00	35.00	0.00	35.00	50.0	17.50
10/19/2017	75500895	MORGENTHAU, WARD		INTEL CORP	S	15,200.00	35.00	0.00	35.00	50.0	17.50
10/23/2017	75500895	MORGENTHAU, WARD		OCWEN FINANCIAL CORPORATION	B	11,400.00	35.00	0.00	35.00	50.0	17.50
10/25/2017	75500895	MORGENTHAU, WARD		HP INC COM	S	6,549.78	35.00	0.00	35.00	50.0	17.50
10/02/2017	75500924	MORGENTHAU, JONATHAN		GREENBRIER COMPANIES INC	S	9,795.00	35.00	0.00	35.00	50.0	17.50
10/02/2017	75500924	MORGENTHAU, JONATHAN		SYNCHRONOSS TECHNOLOGIES INC	B	5,270.50	35.00	0.00	35.00	50.0	17.50
10/10/2017	75500924	MORGENTHAU, JONATHAN		MOMO INC ADR	B	12,854.64	35.00	0.00	35.00	50.0	17.50
10/16/2017	75500924	MORGENTHAU, JONATHAN		OCWEN FINANCIAL CORPORATION	B	7,280.00	35.00	0.00	35.00	50.0	17.50
10/17/2017	75500924	MORGENTHAU, JONATHAN		MOMO INC ADR	S	14,072.00	35.00	0.00	35.00	50.0	17.50
10/17/2017	75500924	MORGENTHAU, JONATHAN		OCWEN FINANCIAL CORPORATION	S	7,500.00	35.00	0.00	35.00	50.0	17.50
10/19/2017	75500924	MORGENTHAU, JONATHAN		GREENBRIER COMPANIES INC	S	10,060.00	35.00	0.00	35.00	50.0	17.50
10/19/2017	75500924	MORGENTHAU, JONATHAN		MAZOR ROBOTICS LTD SPONSORED ADS	B	10,864.00	35.00	0.00	35.00	50.0	17.50
10/13/2017	75501028	MORGENTHAU, NICOLE		OCWEN FINANCIAL CORPORATION	S	14,800.00	35.00	0.00	35.00	50.0	17.50
10/20/2017	75501028	MORGENTHAU, NICOLE		OCWEN FINANCIAL CORPORATION	B	7,780.00	35.00	0.00	35.00	50.0	17.50
10/18/2017	75501179	MORGENTHAU, WARD		ARCOS DORADOS HOLDINGS INC	S	12,180.00	35.00	0.00	35.00	50.0	17.50
10/18/2017	75501179	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A B		6,855.00	35.00	0.00	35.00	50.0	17.50
10/18/2017	75501179	MORGENTHAU, WARD		PHIBRO ANIMAL HEALTH CORPORATION CL S		7,495.00	35.00	0.00	35.00	50.0	17.50
10/26/2017	75501179	MORGENTHAU, WARD		SOTHEBYS	B	10,134.00	35.00	0.00	35.00	50.0	17.50

* STOCKS SUBTOTAL *				\$258,860.32	\$875.00	\$0.00	\$875.00		\$437.50
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PRODUCT CATEGORY: OPTIONS

10/20/2017	75500895	MORGENTHAU, WARD		CALL INTC	10/20/17	38	B	2,290.00	35.00	0.00	35.00	50.0	17.50
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* OPTIONS SUBTOTAL *				\$2,290.00	\$35.00	\$0.00	\$35.00		\$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: MUTUAL FUND 12B1 TRAILS									
10/10/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI B	0.00	0.90	0.00	0.90	50.0	0.45
10/10/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A B	0.00	0.15	0.00	0.15	50.0	0.08
10/10/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A B	0.00	6.30	0.00	6.30	50.0	3.15
10/10/2017	75500901	LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A B	0.00	4.50	0.00	4.50	50.0	2.25
10/10/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME B	0.00	5.95	0.00	5.95	50.0	2.98
10/10/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B	0.00	14.39	0.00	14.39	50.0	7.20
10/10/2017	75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B	0.00	11.28	0.00	11.28	50.0	5.64
10/10/2017	75501197	LIPSON, SANDRA	PIMCO HIGH YIELD CLASS A B	0.00	42.39	0.00	42.39	50.0	21.20
10/10/2017	75501197	LIPSON, SANDRA	PIMCO LOW DURATION FUND-CL A B	0.00	0.03	0.00	0.03	50.0	0.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$85.89	\$0.00	\$85.89		\$42.97
*** BROKER TRANSACTIONS TOTAL ***				\$261,150.32	\$995.89	\$0.00	\$995.89		\$497.97

**ADJUSTMENTS**

10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
10/31/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
10/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
10/31/2017		OTHER: THOMSON		0.00	0.00	0.00	0.00		-79.63
<b>*** ADJUSTMENTS TOTAL ***</b>				<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-134.91</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$497.97
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	\$-1.24
SIPC Assessment	\$-2.49

<b>Check Amount</b>	<b>\$359.33</b>
<b>Year-to-date Earnings</b>	<b>\$1,260.45</b>