

## COMMISSION STATEMENT

April 30, 2018

WARD MORGENTHAU

19 ROSS RD

LIVINGSTON, NJ 07039

BROKER #: W01

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										
04/06/2018	75500924	MORGENTHAU, JONATHAN	CARS COM INC COM	S	5,717.00	35.00	0.00	35.00	50.0	17.50
04/06/2018	75500924	MORGENTHAU, JONATHAN	SYMANTEC CORPORATION	B	5,203.32	35.00	0.00	35.00	50.0	17.50
04/12/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A B		5,620.00	35.00	0.00	35.00	50.0	17.50
04/17/2018	75501178	MORGENTHAU, WARD	THIRD POINT REINSURANCE LTD USD0.1	S	6,700.00	35.00	0.00	35.00	50.0	17.50
04/05/2018	75501179	MORGENTHAU, WARD	ALTABA INC COM	B	21,181.56	35.00	0.00	35.00	50.0	17.50
04/05/2018	75501179	MORGENTHAU, WARD	FACEBOOK INC CL A	S	32,254.00	35.00	0.00	35.00	50.0	17.50
04/09/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	11,757.00	35.00	0.00	35.00	50.0	17.50
04/12/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		11,400.00	35.00	0.00	35.00	50.0	17.50
04/12/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	12,312.00	35.00	0.00	35.00	50.0	17.50
04/19/2018	75501184	MORGENTHAU, JONATHAN	PHIBRO ANIMAL HEALTH CORPORATION CL S	S	5,481.25	35.00	0.00	35.00	50.0	17.50
04/20/2018	75501184	MORGENTHAU, JONATHAN	MOMO INC ADR	B	5,389.35	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *					\$123,015.48	\$385.00	\$0.00	\$385.00		\$192.50
PRODUCT CATEGORY: OPTIONS										
04/09/2018	75500895	MORGENTHAU, WARD	CALL MOMO 04/13/18 38	S	360.00	35.00	0.00	35.00	50.0	17.50
04/05/2018	75500924	MORGENTHAU, JONATHAN	CALL MOMO 04/20/18 38	S	500.00	35.00	0.00	35.00	50.0	17.50
04/10/2018	75501179	MORGENTHAU, WARD	PUT AABA 04/20/18 75.50	S	225.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *					\$1,085.00	\$105.00	\$0.00	\$105.00		\$52.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/30/2018		FEE COUNT - 9			0.00	88.86	0.00	88.86	50.0	44.45
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$88.86	\$0.00	\$88.86		\$44.45
*** BROKER TRANSACTIONS TOTAL ***					\$124,100.48	\$578.86	\$0.00	\$578.86		\$289.45

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ADJUSTMENTS

04/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/30/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
04/30/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
04/30/2018		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	\$289.45
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	\$-0.72
SIPC Assessment	\$-1.45

Check Amount	\$152.37
Year-to-date Earnings	\$943.32