

COMMISSION STATEMENT**January 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
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BROKER TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

01/12/2018	75500895	MORGENTHAU, WARD	CARS COM INC COM	B	15,062.19	35.00	0.00	35.00	50.0	17.50
01/12/2018	75500895	MORGENTHAU, WARD	STERIS PLC COM	S	9,113.00	35.00	0.00	35.00	50.0	17.50
01/24/2018	75500895	MORGENTHAU, WARD	CARS COM INC COM	S	15,180.00	35.00	0.00	35.00	50.0	17.50
01/03/2018	75500924	MORGENTHAU, JONATHAN	MAZOR ROBOTICS LTD SPONSORED ADS	S	11,206.00	35.00	0.00	35.00	50.0	17.50
01/03/2018	75500924	MORGENTHAU, JONATHAN	MOMO INC ADR	B	7,767.96	35.00	0.00	35.00	50.0	17.50
01/05/2018	75500924	MORGENTHAU, JONATHAN	GENERAL ELECTRIC CO	B	9,257.50	35.00	0.00	35.00	50.0	17.50
01/05/2018	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A S		13,450.00	35.00	0.00	35.00	50.0	17.50
01/08/2018	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B		12,675.00	35.00	0.00	35.00	50.0	17.50
01/16/2018	75500924	MORGENTHAU, JONATHAN	HAIN CELESTIAL GROUP INC	B	11,889.00	35.00	0.00	35.00	50.0	17.50
01/16/2018	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A S		12,950.00	35.00	0.00	35.00	50.0	17.50
01/17/2018	75500924	MORGENTHAU, JONATHAN	MOMO INC ADR	S	8,435.04	35.00	0.00	35.00	50.0	17.50
01/29/2018	75500924	MORGENTHAU, JONATHAN	OCWEN FINANCIAL CORPORATION	B	10,110.00	35.00	0.00	35.00	50.0	17.50
01/08/2018	75500944	MORGENTHAU, ADAM	GENERAL ELECTRIC CO	B	48,425.90	35.00	0.00	35.00	50.0	17.50
12/28/2017	75500949	MORGENTHAU, JOEL	FORD MOTOR CO PAR \$0.01	S	25,065.20	35.00	0.00	35.00	50.0	17.50
01/08/2018	75500949	MORGENTHAU, JOEL	GENERAL ELECTRIC CO	B	70,666.53	35.00	0.00	35.00	50.0	17.50
01/08/2018	75500985	MORGENTHAU, DAVID	GENERAL ELECTRIC CO	B	53,898.45	35.00	0.00	35.00	50.0	17.50
01/02/2018	75501028	MORGENTHAU, NICOLE	ENDO INTERNATIONAL PLC	B	4,039.95	35.00	0.00	35.00	50.0	17.50
01/02/2018	75501028	MORGENTHAU, NICOLE	GENERAL ELECTRIC CO	B	8,947.50	35.00	0.00	35.00	50.0	17.50
01/02/2018	75501028	MORGENTHAU, NICOLE	MOTORCAR PARTS OF AMERICA INC	S	12,965.00	35.00	0.00	35.00	50.0	17.50
01/25/2018	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	B	6,720.00	35.00	0.00	35.00	50.0	17.50
01/26/2018	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	B	6,720.00	35.00	0.00	35.00	50.0	17.50
01/08/2018	75501105	MORGENTHAU, LAURA	GENERAL ELECTRIC CO	B	3,725.10	35.00	0.00	35.00	50.0	17.50
01/08/2018	75501120	JOEL L & WARD	GENERAL ELECTRIC CO	B	11,153.40	35.00	0.00	35.00	50.0	17.50
01/09/2018	75501179	MORGENTHAU, WARD	GILEAD SCIENCES INC	S	11,468.52	35.00	0.00	35.00	50.0	17.50
01/09/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	11,546.00	35.00	0.00	35.00	50.0	17.50
01/22/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	12,592.00	35.00	0.00	35.00	50.0	17.50
01/22/2018	75501179	MORGENTHAU, WARD	MOMO INC ADR	B	11,412.00	35.00	0.00	35.00	50.0	17.50
01/24/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S		13,850.00	35.00	0.00	35.00	50.0	17.50
01/25/2018	75501179	MORGENTHAU, WARD	GILEAD SCIENCES INC	S	4,054.01	35.00	0.00	35.00	50.0	17.50
01/25/2018	75501179	MORGENTHAU, WARD	SPARK THERAPEUTICS INC COM	B	11,592.00	35.00	0.00	35.00	50.0	17.50
01/26/2018	75501179	MORGENTHAU, WARD	TRANSOCEAN LTD US LISTED	S	9,064.96	35.00	0.00	35.00	50.0	17.50

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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

01/29/2018	75501179	MORGENTHAU, WARD		MOMO INC ADR	S	9,429.00	35.00	0.00	35.00	50.0	17.50
01/29/2018	75501179	MORGENTHAU, WARD		PHIBRO ANIMAL HEALTH CORPORATION CL B		10,590.00	35.00	0.00	35.00	50.0	17.50
				* STOCKS SUBTOTAL *		\$495,021.21	\$1,155.00	\$0.00	\$1,155.00		\$577.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/10/2018	75500783	RUDNITSKY, GARY		JOHN HANCOCK FDS II NEW OPPORTUNITI B		0.00	1.01	0.00	1.01	50.0	0.51
01/10/2018	75500785	RUDNITSKY, GARY		MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
01/10/2018	75500874	REUSCH, CHARLES		ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	7.18	0.00	7.18	50.0	3.59
01/10/2018	75500901	LIPSON, SANDRA		PUTNAM HIGH-YIELD FUND CLASS A	B	0.00	4.70	0.00	4.70	50.0	2.35
01/10/2018	75500901	LIPSON, SANDRA		PUTNAM NEW YORK TAX- EXEMPT INCOME B		0.00	6.17	0.00	6.17	50.0	3.09
01/10/2018	75501197	LIPSON, SANDRA		BLACKROCK HIGH YIELD BOND FUND CLAS B		0.00	15.05	0.00	15.05	50.0	7.53
01/10/2018	75501197	LIPSON, SANDRA		COLUMBIA SMALL CAP VALUE FUND I CLA B		0.00	12.62	0.00	12.62	50.0	6.31
01/10/2018	75501197	LIPSON, SANDRA		PIMCO HIGH YIELD CLASS A	B	0.00	42.79	0.00	42.79	50.0	21.40
01/10/2018	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	\$89.70	\$0.00	\$89.70		\$44.88
				*** BROKER TRANSACTIONS TOTAL ***		\$495,021.21	\$1,244.70	\$0.00	\$1,244.70		\$622.38

ADJUSTMENTS

01/31/2018	: OPTIONS PRICES	0.00	0.00	0.00	0.00	-51.45
01/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
01/31/2018	OTHER: OTHER-EXCHANGE FEES	0.00	0.00	0.00	0.00	-27.28
01/31/2018	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
01/31/2018	OTHER: THOMSON	0.00	0.00	0.00	0.00	-79.63
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-186.36

BROKER COMMISSION TOTALS

Broker Transactions	\$622.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-186.36
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.56
SIPC Assessment	\$-3.11

Check Amount	\$431.35
Year-to-date Earnings	\$431.35