

COMMISSION STATEMENT

June 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

06/05/2018	75500895	MORGENTHAU, WARD	ATLANTIC POWER CORPORATION	S	19,350.00	35.00	0.00	35.00	50.0	17.50
06/13/2018	75500895	MORGENTHAU, WARD	WHIRLPOOL CORP	S	15,203.00	35.00	0.00	35.00	50.0	17.50
06/14/2018	75500901	LIPSON, SANDRA	GLAXOSMITHKLINE PLC SPONSORED ADR(F S		4,227.50	50.00	0.00	50.00	50.0	25.00
05/30/2018	75500924	MORGENTHAU, JONATHAN	BRAEMAR HOTELS & RESORTS INC COM	B	4,455.80	35.00	0.00	35.00	50.0	17.50
05/30/2018	75500924	MORGENTHAU, JONATHAN	RANGE RES CORP COM	S	7,815.00	35.00	0.00	35.00	50.0	17.50
05/30/2018	75500924	MORGENTHAU, JONATHAN	URANIUM ENERGY CORP	S	1,905.48	14.07	0.00	14.07	50.0	7.04
06/05/2018	75500924	MORGENTHAU, JONATHAN	URANIUM ENERGY CORP	S	3,142.37	35.00	0.00	35.00	50.0	17.50
06/14/2018	75500924	MORGENTHAU, JONATHAN	ENDO INTERNATIONAL PLC	B	8,770.00	35.00	0.00	35.00	50.0	17.50
06/18/2018	75500924	MORGENTHAU, JONATHAN	GREENSKY INC CL A	B	12,210.20	35.00	0.00	35.00	50.0	17.50
06/20/2018	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A S		17,075.00	35.00	0.00	35.00	50.0	17.50
06/20/2018	75500924	MORGENTHAU, JONATHAN	OPKO HEALTH INC	S	9,528.00	35.00	0.00	35.00	50.0	17.50
06/20/2018	75500924	MORGENTHAU, JONATHAN	OPKO HEALTH INC	B	9,020.00	35.00	0.00	35.00	50.0	17.50
06/21/2018	75500924	MORGENTHAU, JONATHAN	INVIVO THERAPEUTICS HOLDINGS CORP C B		5,814.00	35.00	0.00	35.00	50.0	17.50
06/22/2018	75500924	MORGENTHAU, JONATHAN	PUXIN LIMITED AMERICAN DEPOSITARY S B		11,325.00	35.00	0.00	35.00	50.0	17.50
06/01/2018	75501028	MORGENTHAU, NICOLE	WHIRLPOOL CORP	S	14,403.70	35.00	0.00	35.00	50.0	17.50
06/04/2018	75501028	MORGENTHAU, NICOLE	ENDO INTERNATIONAL PLC	B	3,129.37	35.00	0.00	35.00	50.0	17.50
06/07/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A B		17,050.00	35.00	0.00	35.00	50.0	17.50
06/13/2018	75501028	MORGENTHAU, NICOLE	MAZOR ROBOTICS LTD SPONSORED ADS	S	12,170.27	35.01	0.00	35.01	50.0	17.51
06/18/2018	75501028	MORGENTHAU, NICOLE	GREENSKY INC CL A	B	12,175.00	35.00	0.00	35.00	50.0	17.50
06/21/2018	75501028	MORGENTHAU, NICOLE	INVIVO THERAPEUTICS HOLDINGS CORP C B		5,818.60	35.00	0.00	35.00	50.0	17.50
06/12/2018	75501178	MORGENTHAU, WARD	ROLLINS INC	S	17,693.69	35.00	0.00	35.00	50.0	17.50
05/30/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	B	7,690.45	35.00	0.00	35.00	50.0	17.50
05/30/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	18,000.00	35.00	0.00	35.00	50.0	17.50
05/30/2018	75501179	MORGENTHAU, WARD	RANGE RES CORP COM	S	15,600.00	35.00	0.00	35.00	50.0	17.50
05/30/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	B	14,965.00	35.00	0.00	35.00	50.0	17.50
05/31/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	S	14,661.65	35.00	0.00	35.00	50.0	17.50
06/04/2018	75501179	MORGENTHAU, WARD	AGILENT TECHNOLOGIES INC	B	31,452.45	35.00	0.00	35.00	50.0	17.50
06/05/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S		10,380.00	35.00	0.00	35.00	50.0	17.50
06/06/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	B	5,130.93	35.00	0.00	35.00	50.0	17.50
06/06/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S		17,575.00	35.00	0.00	35.00	50.0	17.50
06/06/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	17,564.82	35.00	0.00	35.00	50.0	17.50

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
06/07/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B	16,875.00	35.00	0.00	35.00	50.0	17.50
06/08/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B	16,350.00	35.00	0.00	35.00	50.0	17.50
06/08/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS S	17,889.00	35.00	0.00	35.00	50.0	17.50
06/12/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A S	17,450.00	35.00	0.00	35.00	50.0	17.50
06/12/2018	75501179	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC B	13,220.00	35.00	0.00	35.00	50.0	17.50
06/13/2018	75501179	MORGENTHAU, WARD	AGILENT TECHNOLOGIES INC S	33,180.00	35.00	0.00	35.00	50.0	17.50
06/13/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC B	13,268.69	35.00	0.00	35.00	50.0	17.50
06/15/2018	75501179	MORGENTHAU, WARD	PUXIN LIMITED AMERICAN DEPOSITARY S B	10,000.00	35.00	0.00	35.00	50.0	17.50
06/18/2018	75501179	MORGENTHAU, WARD	FLEX LTD ORDINARY SHARES B	7,213.50	35.00	0.00	35.00	50.0	17.50
06/18/2018	75501179	MORGENTHAU, WARD	PUXIN LIMITED AMERICAN DEPOSITARY S S	14,000.00	35.00	0.00	35.00	50.0	17.50
06/19/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC B	18,359.98	35.00	0.00	35.00	50.0	17.50
06/19/2018	75501179	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC S	13,517.50	35.00	0.00	35.00	50.0	17.50
06/20/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC S	19,120.00	35.00	0.00	35.00	50.0	17.50
06/20/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION S	5,472.00	35.00	0.00	35.00	50.0	17.50
06/20/2018	75501179	MORGENTHAU, WARD	PUXIN LIMITED AMERICAN DEPOSITARY S B	15,495.00	35.00	0.00	35.00	50.0	17.50
06/21/2018	75501179	MORGENTHAU, WARD	PUXIN LIMITED AMERICAN DEPOSITARY S B	12,241.55	35.00	0.00	35.00	50.0	17.50
06/21/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A B	15,213.60	35.00	0.00	35.00	50.0	17.50
06/27/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC B	13,695.00	35.00	0.00	35.00	50.0	17.50
06/27/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC S	14,385.00	35.00	0.00	35.00	50.0	17.50
06/01/2018	75501184	MORGENTHAU, JONATHAN	OCWEN FINANCIAL CORPORATION B	6,202.00	35.00	0.00	35.00	50.0	17.50
06/01/2018	75501184	MORGENTHAU, JONATHAN	RANGE RES CORP COM S	6,544.76	35.00	0.00	35.00	50.0	17.50
06/21/2018	75501184	MORGENTHAU, JONATHAN	ATLANTIC POWER CORPORATION S	1,540.00	35.00	0.00	35.00	50.0	17.50
06/25/2018	75501184	MORGENTHAU, JONATHAN	OCWEN FINANCIAL CORPORATION B	2,083.97	35.00	0.00	35.00	50.0	17.50
06/14/2018	75501197	LIPSON, SANDRA	MTGE INVESTMENT CORP COMMON STOCK B	4,267.75	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *				\$672,886.58	\$1,919.08	\$0.00	\$1,919.08		\$959.55
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
06/30/2018			FEE COUNT - 7	0.00	47.95	0.00	47.95	50.0	23.99
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$47.95	\$0.00	\$47.95		\$23.99
*** BROKER TRANSACTIONS TOTAL ***				\$672,886.58	\$1,967.03	\$0.00	\$1,967.03		\$983.54

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ADJUSTMENTS

06/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
06/30/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
06/30/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
06/30/2018		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	\$983.54
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	\$-2.46
SIPC Assessment	\$-4.92

Check Amount	\$841.25
Year-to-date Earnings	\$5,300.21