

COMMISSION STATEMENT

April 30, 2017

WARD MORGENTHAU

19 ROSS RD

LIVINGSTON, NJ 07039

BROKER #:

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										
04/19/2017	75500785	RUDNITSKY, GARY	INTELLICHECK MOBILISA INC COM NEW	S	6,320.00	85.00	0.00	85.00	50.0	42.50
04/20/2017	75500785	RUDNITSKY, GARY	HEALTH INS INNOVATIONS INC COM CL A B		4,710.00	85.00	0.00	85.00	50.0	42.50
04/21/2017	75500895	MORGENTHAU, WARD	COTY INC COM CL A	S	5,166.18	35.00	0.00	35.00	50.0	17.50
04/21/2017	75500895	MORGENTHAU, WARD	HP INC COM	B	5,501.28	35.00	0.00	35.00	50.0	17.50
03/29/2017	75500901	LIPSON, SANDRA	APOLLO COMMERCIAL REAL ESTATE FINAN B		5,621.31	100.00	0.00	100.00	50.0	50.00
04/20/2017	75500901	LIPSON, SANDRA	WHITESTONE REIT CL B SHS BEN INT IS B		3,902.30	75.00	0.00	75.00	50.0	37.50
04/19/2017	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	9,856.00	35.00	0.00	35.00	50.0	17.50
04/21/2017	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	10,000.00	227.65	0.00	227.65	50.0	113.83
04/25/2017	75501179	MORGENTHAU, WARD	EXPRESS SCRIPTS HOLDING COMPANY	B	11,997.32	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *					\$63,074.39	\$712.65	\$0.00	\$712.65		\$356.33
PRODUCT CATEGORY: OPTIONS										
04/06/2017	75500895	MORGENTHAU, WARD	CALL GBX 05/19/17 50	S	375.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *					\$375.00	\$35.00	\$0.00	\$35.00		\$17.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/11/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI	B	0.00	0.90	0.00	0.90	50.0	0.45
04/11/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
04/11/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	5.94	0.00	5.94	50.0	2.97
04/11/2017	75500901	LIPSON, SANDRA	PUTNAM 746782101	B	0.00	4.47	0.00	4.47	50.0	2.24
04/11/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME	B	0.00	5.93	0.00	5.93	50.0	2.97
04/11/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS	B	0.00	14.26	0.00	14.26	50.0	7.13
04/11/2017	75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA	B	0.00	11.04	0.00	11.04	50.0	5.52
04/11/2017	75501197	LIPSON, SANDRA	PIMCO HIGH YIELD CLASS A	B	0.00	39.86	0.00	39.86	50.0	19.93
04/11/2017	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	\$82.58	\$0.00	\$82.58		\$41.31
*** BROKER TRANSACTIONS TOTAL ***					\$63,449.39	\$830.23	\$0.00	\$830.23		\$415.14

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ADJUSTMENTS

04/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/30/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.55
04/30/2017		OTHER: OTHER-QUEST		0.00	0.00	0.00	0.00		-100.00
04/30/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-5.00
04/30/2017		OTHER: THOMSON		0.00	0.00	0.00	0.00		-159.25
04/30/2017		:		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-338.80

BROKER COMMISSION TOTALS

Broker Transactions	\$415.14
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-338.80
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.04
SIPC Assessment	\$-15.57

Check Amount	\$59.73
Year-to-date Earnings	\$1,053.28