

**COMMISSION STATEMENT****November 30, 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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

**BROKER TRANSACTIONS****PRODUCT CATEGORY: STOCKS**

11/02/2017	75500895	MORGENTHAU, WARD	TRANSOCEAN LTD US LISTED	S	10,860.00	35.00	0.00	35.00	50.0	17.50
11/03/2017	75500895	MORGENTHAU, WARD	FLOOR & DECOR HLDGS INC COM CL A	B	21,000.00	35.00	0.00	35.00	50.0	17.50
11/03/2017	75500895	MORGENTHAU, WARD	FLOOR & DECOR HLDGS INC COM CL A	S	20,481.04	35.00	0.00	35.00	50.0	17.50
11/06/2017	75500895	MORGENTHAU, WARD	GRANITE PT MTG TR INC COM	S	2,506.66	35.00	0.00	35.00	50.0	17.50
11/06/2017	75500895	MORGENTHAU, WARD	QUALCOMM INC	S	32,189.00	35.00	0.00	35.00	50.0	17.50
11/08/2017	75500895	MORGENTHAU, WARD	TWITTER INC	B	19,790.00	35.00	0.00	35.00	50.0	17.50
11/09/2017	75500895	MORGENTHAU, WARD	CBS CORP CLASS B	B	5,776.40	35.00	0.00	35.00	50.0	17.50
11/13/2017	75500895	MORGENTHAU, WARD	TWITTER INC	S	20,190.00	35.00	0.00	35.00	50.0	17.50
11/15/2017	75500895	MORGENTHAU, WARD	TWITTER INC	B	19,760.00	35.00	0.00	35.00	50.0	17.50
11/16/2017	75500895	MORGENTHAU, WARD	TWITTER INC	S	20,290.00	35.00	0.00	35.00	50.0	17.50
11/17/2017	75500895	MORGENTHAU, WARD	TWITTER INC	B	20,650.00	35.00	0.00	35.00	50.0	17.50
11/27/2017	75500895	MORGENTHAU, WARD	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,687.80	35.00	0.00	35.00	50.0	17.50
11/28/2017	75500895	MORGENTHAU, WARD	TWITTER INC	S	21,890.00	35.00	0.00	35.00	50.0	17.50
11/09/2017	75500901	LIPSON, SANDRA	CBS CORP CLASS B	B	5,782.34	35.00	0.00	35.00	50.0	17.50
11/22/2017	75500901	LIPSON, SANDRA	AT&T INC	B	3,478.68	70.00	0.00	70.00	50.0	35.00
11/27/2017	75500901	LIPSON, SANDRA	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,687.80	35.00	0.00	35.00	50.0	17.50
11/28/2017	75500901	LIPSON, SANDRA	GENERAL ELECTRIC CO	B	5,497.50	90.00	0.00	90.00	50.0	45.00
11/09/2017	75500924	MORGENTHAU, JONATHAN	CBS CORP CLASS B	B	5,784.32	35.00	0.00	35.00	50.0	17.50
11/27/2017	75500924	MORGENTHAU, JONATHAN	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,687.80	35.00	0.00	35.00	50.0	17.50
11/27/2017	75500924	MORGENTHAU, JONATHAN	MGC DIAGNOSTICS CORPORATION	S	12,034.05	35.00	0.00	35.00	50.0	17.50
11/27/2017	75500924	MORGENTHAU, JONATHAN	MOTORCAR PARTS OF AMERICA INC	B	12,524.25	35.00	0.00	35.00	50.0	17.50
11/09/2017	75501028	MORGENTHAU, NICOLE	CBS CORP CLASS B	B	5,784.32	35.00	0.00	35.00	50.0	17.50
11/16/2017	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	B	6,460.00	35.00	0.00	35.00	50.0	17.50
11/21/2017	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A B		12,200.00	35.00	0.00	35.00	50.0	17.50
11/27/2017	75501028	MORGENTHAU, NICOLE	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,687.80	35.00	0.00	35.00	50.0	17.50
10/30/2017	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B		4,370.00	35.00	0.00	35.00	50.0	17.50
11/03/2017	75501179	MORGENTHAU, WARD	SOTHEBYS	B	9,792.00	35.00	0.00	35.00	50.0	17.50
11/03/2017	75501179	MORGENTHAU, WARD	SOTHEBYS	S	10,660.00	35.00	0.00	35.00	50.0	17.50
11/06/2017	75501179	MORGENTHAU, WARD	GRANITE PT MTG TR INC COM	S	3,830.16	35.00	0.00	35.00	50.0	17.50
11/09/2017	75501179	MORGENTHAU, WARD	CBS CORP CLASS B	B	5,776.40	35.00	0.00	35.00	50.0	17.50
11/15/2017	75501179	MORGENTHAU, WARD	AT&T INC	S	270.48	0.00	0.00	0.00	50.0	0.00

COMMISSION STATEMENT for WARD MORGENTHAU

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

11/27/2017	75501179	MORGENTHAU, WARD	ENTERCOM COMMUNICATIONS CORP CLASS S	6,687.80	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *				\$353,066.60	\$1,175.00	\$0.00	\$1,175.00		\$587.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/09/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI B	0.00	0.98	0.00	0.98	50.0	0.49
11/09/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A	0.00	0.15	0.00	0.15	50.0	0.08
11/09/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A	0.00	6.75	0.00	6.75	50.0	3.38
11/09/2017	75500901	LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A	0.00	4.68	0.00	4.68	50.0	2.34
11/09/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME B	0.00	6.15	0.00	6.15	50.0	3.08
11/09/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS B	0.00	15.01	0.00	15.01	50.0	7.51
11/09/2017	75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA B	0.00	12.38	0.00	12.38	50.0	6.19
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$46.10	\$0.00	\$46.10		\$23.07
*** BROKER TRANSACTIONS TOTAL ***				\$353,066.60	\$1,221.10	\$0.00	\$1,221.10		\$610.57

ADJUSTMENTS

11/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00		-20.00
11/30/2017		OTHER: OTHER-EXCHANGE FEES	0.00	0.00	0.00	0.00		-27.28
11/30/2017		OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00		-8.00
11/30/2017		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	\$610.57
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	\$-1.53
SIPC Assessment	\$-3.05

Check Amount	\$471.08
Year-to-date Earnings	\$1,731.53