

COMMISSION STATEMENT**December 31, 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
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BROKER TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

12/12/2017	75500813	MORGENTHAU, MEREDITH	CYTRX CORPORATION COMMON STOCK	S	646.89	35.00	0.00	35.00	50.0	17.50
12/12/2017	75500813	MORGENTHAU, MEREDITH	QUATERRA RESOURCES INC	S	40.80	0.00	0.00	0.00	50.0	0.00
12/12/2017	75500813	MORGENTHAU, MEREDITH	SEADRILL LIMITED SHS	S	158.16	35.00	0.00	35.00	50.0	17.50
12/12/2017	75500813	MORGENTHAU, MEREDITH	USA TECHNOLOGIES INC	S	115.70	35.00	0.00	35.00	50.0	17.50
11/29/2017	75500895	MORGENTHAU, WARD	GENERAL ELECTRIC CO	B	18,410.00	35.00	0.00	35.00	50.0	17.50
12/06/2017	75500895	MORGENTHAU, WARD	HARTFORD FINANCIAL SERVICES GROUP I B	B	27,174.95	35.00	0.00	35.00	50.0	17.50
12/12/2017	75500895	MORGENTHAU, WARD	HARTFORD FINANCIAL SERVICES GROUP I S	S	27,930.00	35.00	0.00	35.00	50.0	17.50
12/12/2017	75500895	MORGENTHAU, WARD	IRON MOUNTAIN INCORPORATED REIT NEW B	B	18,863.85	35.00	0.00	35.00	50.0	17.50
12/13/2017	75500895	MORGENTHAU, WARD	STERIS PLC COM	B	8,860.00	35.00	0.00	35.00	50.0	17.50
12/26/2017	75500895	MORGENTHAU, WARD	HAIN CELESTIAL GROUP INC	B	8,397.80	35.00	0.00	35.00	50.0	17.50
12/08/2017	75500901	LIPSON, SANDRA	PROSPECT CAPITAL CORPORATION	B	2,867.31	70.00	0.00	70.00	50.0	35.00
11/30/2017	75500924	MORGENTHAU, JONATHAN	MOTORCAR PARTS OF AMERICA INC	S	13,050.00	35.00	0.00	35.00	50.0	17.50
12/14/2017	75500924	MORGENTHAU, JONATHAN	ALIBABA GROUP HOLDING LTD SPONSORED B	B	17,161.26	35.00	0.00	35.00	50.0	17.50
12/18/2017	75500924	MORGENTHAU, JONATHAN	HEALTH INS INNOVATIONS INC COM CL A B	B	12,800.00	35.00	0.00	35.00	50.0	17.50
12/21/2017	75500924	MORGENTHAU, JONATHAN	CARS COM INC COM	B	5,960.00	35.00	0.00	35.00	50.0	17.50
12/04/2017	75500944	MORGENTHAU, ADAM	GENERAL ELECTRIC CO	S	46,800.00	35.00	0.00	35.00	50.0	17.50
12/04/2017	75500949	MORGENTHAU, JOEL	GENERAL ELECTRIC CO	S	68,400.00	35.00	0.00	35.00	50.0	17.50
12/04/2017	75500985	MORGENTHAU, DAVID	GENERAL ELECTRIC CO	S	52,200.00	35.00	0.00	35.00	50.0	17.50
12/04/2017	75501010	GREGORIO HUMBERTO	GENERAL ELECTRIC CO	S	10,800.00	100.00	0.00	100.00	50.0	50.00
12/26/2017	75501010	GREGORIO HUMBERTO	ENERGY TRANSFER PARTNERS L P	S	1,611.23	50.00	0.00	50.00	50.0	25.00
12/26/2017	75501010	GREGORIO HUMBERTO	FORD MOTOR CO PAR \$0.01	S	12,623.90	200.00	0.00	200.00	50.0	100.00
12/14/2017	75501028	MORGENTHAU, NICOLE	ALIBABA GROUP HOLDING LTD SPONSORED B	B	17,172.64	35.00	0.00	35.00	50.0	17.50
12/14/2017	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A S	S	13,775.00	35.00	0.00	35.00	50.0	17.50
12/15/2017	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A B	B	12,800.00	35.00	0.00	35.00	50.0	17.50
12/15/2017	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A S	S	13,400.00	0.00	0.00	0.00	50.0	0.00
12/15/2017	75501028	MORGENTHAU, NICOLE	MOTORCAR PARTS OF AMERICA INC	B	12,577.50	35.00	0.00	35.00	50.0	17.50
12/04/2017	75501105	MORGENTHAU, LAURA	GENERAL ELECTRIC CO	S	3,600.00	35.00	0.00	35.00	50.0	17.50
12/04/2017	75501120	JOEL L & WARD	GENERAL ELECTRIC CO	S	10,800.00	35.00	0.00	35.00	50.0	17.50
11/29/2017	75501179	MORGENTHAU, WARD	MOMO INC ADR	B	5,170.60	35.00	0.00	35.00	50.0	17.50
11/30/2017	75501179	MORGENTHAU, WARD	SOTHEBYS	S	10,192.00	35.00	0.00	35.00	50.0	17.50
11/30/2017	75501179	MORGENTHAU, WARD	TWITTER INC	B	10,365.00	35.00	0.00	35.00	50.0	17.50

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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

12/06/2017	75501179	MORGENTHAU, WARD		COTY INC COM CL A	S	8,795.05	35.00	0.00	35.00	50.0	17.50
12/11/2017	75501179	MORGENTHAU, WARD		TWITTER INC	S	11,027.51	35.00	0.00	35.00	50.0	17.50
12/20/2017	75501179	MORGENTHAU, WARD		GILEAD SCIENCES INC	B	11,088.99	35.00	0.00	35.00	50.0	17.50
				* STOCKS SUBTOTAL *		\$495,636.14	\$1,400.00	\$0.00	\$1,400.00		\$700.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/11/2017	75500783	RUDNITSKY, GARY		JOHN HANCOCK FDS II NEW OPPORTUNITI B		0.00	0.95	0.00	0.95	50.0	0.48
12/11/2017	75500785	RUDNITSKY, GARY		MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
12/11/2017	75500874	REUSCH, CHARLES		ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	6.70	0.00	6.70	50.0	3.35
12/11/2017	75500901	LIPSON, SANDRA		PUTNAM HIGH-YIELD FUND CLASS A	B	0.00	4.53	0.00	4.53	50.0	2.27
12/11/2017	75500901	LIPSON, SANDRA		PUTNAM NEW YORK TAX- EXEMPT INCOME B	B	0.00	5.95	0.00	5.95	50.0	2.98
12/11/2017	75501197	LIPSON, SANDRA		BLACKROCK HIGH YIELD BOND FUND CLAS B	B	0.00	14.50	0.00	14.50	50.0	7.25
12/11/2017	75501197	LIPSON, SANDRA		COLUMBIA SMALL CAP VALUE FUND I CLA B	B	0.00	11.91	0.00	11.91	50.0	5.96
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$44.69	\$0.00	\$44.69		\$22.37
				*** BROKER TRANSACTIONS TOTAL ***		\$495,636.14	\$1,444.69	\$0.00	\$1,444.69		\$722.37

ADJUSTMENTS

12/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
12/31/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
12/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
12/31/2017		OTHER: OTHER--STATE REGIST		0.00	0.00	0.00	0.00		-572.00
12/31/2017		OTHER: THOMSON		0.00	0.00	0.00	0.00		-79.63
				*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$-706.91

BROKER COMMISSION TOTALS

Broker Transactions	\$722.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-706.91
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.81
SIPC Assessment	\$-3.61

Check Amount	\$10.04
Year-to-date Earnings	\$1,741.57