

COMMISSION STATEMENT

August 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	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
08/14/2017	75500874	REUSCH, CHARLES	FRONTIER COMMUNICATIONS CORPORATION	S	256.02	35.00	0.00	35.00	50.0	17.50
08/11/2017	75500895	MORGENTHAU, WARD	NEW AMERICA HIGH INCOME FUND INC (T	S	7,634.40	35.00	0.00	35.00	50.0	17.50
08/11/2017	75500895	MORGENTHAU, WARD	NEW MTN FIN CORP COM	B	11,460.00	35.00	0.00	35.00	50.0	17.50
08/17/2017	75500895	MORGENTHAU, WARD	ALIBABA GROUP HOLDING LTD SPONSORED	S	16,600.00	35.00	0.00	35.00	50.0	17.50
08/22/2017	75500895	MORGENTHAU, WARD	COHERUS BIOSCIENCES INC COM	B	13,450.00	35.00	0.00	35.00	50.0	17.50
08/24/2017	75500895	MORGENTHAU, WARD	COHERUS BIOSCIENCES INC COM	S	13,900.00	35.00	0.00	35.00	50.0	17.50
08/28/2017	75500895	MORGENTHAU, WARD	GENERAC HOLDINGS INC	B	38,860.00	35.00	0.00	35.00	50.0	17.50
08/01/2017	75501028	MORGENTHAU, NICOLE	OCWEN FINANCIAL CORPORATION	B	5,756.20	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *					\$107,916.62	\$280.00	\$0.00	\$280.00		\$140.00
PRODUCT CATEGORY: OPTIONS										
08/02/2017	75500895	MORGENTHAU, WARD	CALL BABA 08/18/17 145	B	960.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *					\$960.00	\$35.00	\$0.00	\$35.00		\$17.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75500783	RUDNITSKY, GARY	JOHN HANCOCK FDS II NEW OPPORTUNITI	B	0.00	0.94	0.00	0.94	50.0	0.47
08/09/2017	75500785	RUDNITSKY, GARY	MUTUAL SERIES SHARES CLASS A	B	0.00	0.15	0.00	0.15	50.0	0.08
08/09/2017	75500874	REUSCH, CHARLES	ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	6.38	0.00	6.38	50.0	3.19
08/09/2017	75500901	LIPSON, SANDRA	PUTNAM HIGH-YIELD FUND CLASS A	B	0.00	4.60	0.00	4.60	50.0	2.30
08/09/2017	75500901	LIPSON, SANDRA	PUTNAM NEW YORK TAX- EXEMPT INCOME	B	0.00	6.09	0.00	6.09	50.0	3.05
08/09/2017	75501197	LIPSON, SANDRA	BLACKROCK HIGH YIELD BOND FUND CLAS	B	0.00	14.71	0.00	14.71	50.0	7.36
08/09/2017	75501197	LIPSON, SANDRA	COLUMBIA SMALL CAP VALUE FUND I CLA	B	0.00	11.48	0.00	11.48	50.0	5.74
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$44.35	\$0.00	\$44.35		\$22.19
*** BROKER TRANSACTIONS TOTAL ***					\$108,876.62	\$359.35	\$0.00	\$359.35		\$179.69

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ADJUSTMENTS

08/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
08/31/2017		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
08/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
08/31/2017		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	\$179.69
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	\$-0.45
SIPC Assessment	\$-0.90

Check Amount	\$43.43
Year-to-date Earnings	\$597.30