

## COMMISSION STATEMENT

August 31, 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

08/07/2018	75500785	RUDNITSKY, GARY	STERLING CONSTRUCTION COMPANY INC	S	6,970.50	100.00	0.00	100.00	50.0	50.00
08/07/2018	75500785	RUDNITSKY, GARY	SYNACOR INC	B	7,350.00	100.00	0.00	100.00	50.0	50.00
08/06/2018	75500895	MORGENTHAU, WARD	STERLING CONSTRUCTION COMPANY INC	S	14,930.00	35.00	0.00	35.00	50.0	17.50
08/07/2018	75500895	MORGENTHAU, WARD	SYNACOR INC	B	9,800.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75500895	MORGENTHAU, WARD	GRAFTECH INTL LTD COM	B	19,770.00	35.00	0.00	35.00	50.0	17.50
08/27/2018	75500895	MORGENTHAU, WARD	EXPRESS SCRIPTS HOLDING COMPANY	S	17,007.01	35.00	0.00	35.00	50.0	17.50
08/27/2018	75500895	MORGENTHAU, WARD	PAPA JOHNS INTL INC	B	13,479.00	35.00	0.00	35.00	50.0	17.50
08/29/2018	75500895	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	B	14,061.00	35.00	0.00	35.00	50.0	17.50
08/29/2018	75500895	MORGENTHAU, WARD	PAPA JOHNS INTL INC	S	14,052.00	35.00	0.00	35.00	50.0	17.50
08/01/2018	75500901	LIPSON, SANDRA	HI-CRUSH PARTNERS LP COM UNIT PARTN B	S	7,650.00	120.00	0.00	120.00	50.0	60.00
08/16/2018	75500901	LIPSON, SANDRA	HAIR CELESTIAL GROUP INC	S	5,771.00	50.00	0.00	50.00	50.0	25.00
08/17/2018	75500901	LIPSON, SANDRA	NEW MTN FIN CORP COM	B	5,580.00	75.00	0.00	75.00	50.0	37.50
08/02/2018	75500924	MORGENTHAU, JONATHAN	PUXIN LIMITED AMERICAN DEPOSITARY S S	S	8,215.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75500924	MORGENTHAU, JONATHAN	GRAFTECH INTL LTD COM	B	9,991.10	35.00	0.00	35.00	50.0	17.50
08/13/2018	75500924	MORGENTHAU, JONATHAN	HYRECAR INC COM	S	1,435.30	35.00	0.00	35.00	50.0	17.50
08/20/2018	75500924	MORGENTHAU, JONATHAN	PACCAR INC	B	13,630.96	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A B	B	6,460.00	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501028	MORGENTHAU, NICOLE	SQUARE INC CLASS A COM	S	13,118.02	35.00	0.00	35.00	50.0	17.50
08/01/2018	75501028	MORGENTHAU, NICOLE	HEALTH INS INNOVATIONS INC COM CL A S	S	18,450.00	35.00	0.00	35.00	50.0	17.50
08/01/2018	75501028	MORGENTHAU, NICOLE	TELADOC INC COM	B	12,100.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501028	MORGENTHAU, NICOLE	TELADOC INC COM	S	13,000.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501028	MORGENTHAU, NICOLE	THERAPEUTICSMD INC	B	10,497.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75501028	MORGENTHAU, NICOLE	ALTABA INC COM	B	14,143.44	35.00	0.00	35.00	50.0	17.50
08/10/2018	75501028	MORGENTHAU, NICOLE	GRAFTECH INTL LTD COM	B	9,829.35	35.00	0.00	35.00	50.0	17.50
08/17/2018	75501028	MORGENTHAU, NICOLE	MAZOR ROBOTICS LTD SPONSORED ADS	B	8,943.34	35.00	0.00	35.00	50.0	17.50
08/22/2018	75501028	MORGENTHAU, NICOLE	ENDO INTERNATIONAL PLC	S	8,015.00	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	S	24,270.30	35.00	0.00	35.00	50.0	17.50
07/30/2018	75501179	MORGENTHAU, WARD	SKECHERS USA INC CL A	B	14,204.00	35.00	0.00	35.00	50.0	17.50
08/02/2018	75501179	MORGENTHAU, WARD	THERAPEUTICSMD INC	B	10,497.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	B	8,160.00	35.00	0.00	35.00	50.0	17.50
08/09/2018	75501179	MORGENTHAU, WARD	OCWEN FINANCIAL CORPORATION	S	8,360.00	35.00	0.00	35.00	50.0	17.50

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
08/09/2018	75501179	MORGENTHAU, WARD		SYNCHRONOSS TECHNOLOGIES INC	S	2,025.00	35.00	0.00	35.00	50.0	17.50
08/10/2018	75501179	MORGENTHAU, WARD		SYNACOR INC	B	4,813.00	35.01	0.00	35.01	50.0	17.51
08/13/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	B	6,099.68	35.00	0.00	35.00	50.0	17.50
08/14/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	S	8,025.00	35.00	0.00	35.00	50.0	17.50
08/14/2018	75501179	MORGENTHAU, WARD		MOMO INC ADR	B	7,511.62	35.00	0.00	35.00	50.0	17.50
08/22/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	S	6,400.00	35.00	0.00	35.00	50.0	17.50
08/22/2018	75501179	MORGENTHAU, WARD		MAZOR ROBOTICS LTD SPONSORED ADS	B	8,857.54	35.00	0.00	35.00	50.0	17.50
08/22/2018	75501179	MORGENTHAU, WARD		MOMO INC ADR	S	8,598.00	35.00	0.00	35.00	50.0	17.50
08/23/2018	75501179	MORGENTHAU, WARD		WESTERN ASSET MORTGAGE CAPITAL CORP	S	2,162.10	35.00	0.00	35.00	50.0	17.50
08/27/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	B	7,785.00	35.00	0.00	35.00	50.0	17.50
08/28/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	S	8,250.00	35.00	0.00	35.00	50.0	17.50
08/28/2018	75501179	MORGENTHAU, WARD		TOWER SEMICONDUCTOR LTD SHS	B	8,671.60	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *						\$428,938.86	\$1,775.01	\$0.00	\$1,775.01		\$887.51
PRODUCT CATEGORY: OPTIONS											
08/02/2018	75500895	MORGENTHAU, WARD		CALL TDOC 08/17/18 65	S	1,000.00	35.00	0.00	35.00	50.0	17.50
08/06/2018	75500895	MORGENTHAU, WARD		CALL TDOC 08/17/18 65	S	950.00	35.00	0.00	35.00	50.0	17.50
08/08/2018	75500895	MORGENTHAU, WARD		CALL TDOC 08/17/18 65	B	4,600.00	35.00	0.00	35.00	50.0	17.50
08/17/2018	75500895	MORGENTHAU, WARD		CALL IRM 09/21/18 37.50	S	125.00	35.00	0.00	35.00	50.0	17.50
08/21/2018	75501028	MORGENTHAU, NICOLE		CALL MZOR 09/21/18 45	S	420.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *						\$7,095.00	\$175.00	\$0.00	\$175.00		\$87.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
08/31/2018				FEE COUNT - 7		0.00	49.11	0.00	49.11	50.0	24.57
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$49.11	\$0.00	\$49.11		\$24.57
*** BROKER TRANSACTIONS TOTAL ***						\$436,033.86	\$1,999.12	\$0.00	\$1,999.12		\$999.58
ADJUSTMENTS											
08/31/2018				OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
08/31/2018				OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
08/31/2018				OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
08/31/2018				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	\$999.58
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	\$-2.50
SIPC Assessment	\$-5.00

Check Amount	\$857.17
Year-to-date Earnings	\$4,806.99