

COMMISSION STATEMENT

October 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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

10/02/2018	75500895	MORGENTHAU, WARD		ALTRA INDL MOTION CORP COM	S	9,047.00	35.00	0.00	35.00	50.0	17.50
10/19/2018	75500895	MORGENTHAU, WARD		BARRICK GOLD CORP	B	13,259.00	35.00	0.00	35.00	50.0	17.50
09/28/2018	75500924	MORGENTHAU, JONATHAN		GREENSKY INC CL A	S	3,686.00	35.00	0.00	35.00	50.0	17.50
10/02/2018	75500924	MORGENTHAU, JONATHAN		ALTRA INDL MOTION CORP COM	S	9,051.53	35.00	0.00	35.00	50.0	17.50
09/28/2018	75501028	MORGENTHAU, NICOLE		ELANCO ANIMAL HEALTH INC COM	B	7,182.88	35.00	0.00	35.00	50.0	17.50
09/28/2018	75501028	MORGENTHAU, NICOLE		GILEAD SCIENCES INC	S	7,647.60	35.00	0.00	35.00	50.0	17.50
10/02/2018	75501028	MORGENTHAU, NICOLE		ALTRA INDL MOTION CORP COM	S	9,049.96	35.00	0.00	35.00	50.0	17.50
10/02/2018	75501028	MORGENTHAU, NICOLE		TELADOC INC COM	B	8,329.96	35.00	0.00	35.00	50.0	17.50
10/03/2018	75501028	MORGENTHAU, NICOLE		HEALTH INS INNOVATIONS INC COM CL A S		10,836.50	35.00	0.00	35.00	50.0	17.50
10/03/2018	75501028	MORGENTHAU, NICOLE		PHIBRO ANIMAL HEALTH CORPORATION CL B		8,675.50	35.00	0.00	35.00	50.0	17.50
10/04/2018	75501028	MORGENTHAU, NICOLE		ARROWHEAD PHARMACEUTICALS INC COM	B	8,459.10	35.00	0.00	35.00	50.0	17.50
09/27/2018	75501179	MORGENTHAU, WARD		BUNGE LTD	B	13,758.00	35.00	0.00	35.00	50.0	17.50
09/27/2018	75501179	MORGENTHAU, WARD		HEALTH INS INNOVATIONS INC COM CL A S		11,400.00	35.00	0.00	35.00	50.0	17.50
09/28/2018	75501179	MORGENTHAU, WARD		ELANCO ANIMAL HEALTH INC COM	B	7,191.30	35.00	0.00	35.00	50.0	17.50
09/28/2018	75501179	MORGENTHAU, WARD		GILEAD SCIENCES INC	S	7,615.45	35.00	0.00	35.00	50.0	17.50
10/02/2018	75501179	MORGENTHAU, WARD		ALTRA INDL MOTION CORP COM	S	9,053.13	35.00	0.00	35.00	50.0	17.50
10/04/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	B	8,564.25	35.00	0.00	35.00	50.0	17.50
10/05/2018	75501179	MORGENTHAU, WARD		BLUE BIRD CORPORATION COM	B	2,482.91	35.00	0.00	35.00	50.0	17.50
10/08/2018	75501179	MORGENTHAU, WARD		BLUE BIRD CORPORATION COM	S	2,389.37	35.00	0.00	35.00	50.0	17.50
10/09/2018	75501179	MORGENTHAU, WARD		STERLING CONSTRUCTION COMPANY INC	B	3,930.00	35.00	0.00	35.00	50.0	17.50
10/11/2018	75501179	MORGENTHAU, WARD		ARROWHEAD PHARMACEUTICALS INC COM	B	6,618.40	35.00	0.00	35.00	50.0	17.50
10/11/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	S	8,595.00	35.00	0.00	35.00	50.0	17.50
10/16/2018	75501179	MORGENTHAU, WARD		ENDO INTERNATIONAL PLC	B	9,069.35	35.00	0.00	35.00	50.0	17.50
10/16/2018	75501179	MORGENTHAU, WARD		SKECHERS USA INC CL A	S	10,544.20	35.00	0.00	35.00	50.0	17.50
10/19/2018	75501179	MORGENTHAU, WARD		SKECHERS USA INC CL A	S	19,056.18	35.00	0.00	35.00	50.0	17.50
10/22/2018	75501179	MORGENTHAU, WARD		BLUE BIRD CORPORATION COM	B	9,729.25	35.00	0.00	35.00	50.0	17.50
10/25/2018	75501179	MORGENTHAU, WARD		ARROWHEAD PHARMACEUTICALS INC COM	B	6,333.15	35.00	0.00	35.00	50.0	17.50

* STOCKS SUBTOTAL *

\$231,554.97

\$945.00

\$0.00

\$945.00

\$472.50

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: MUTUAL FUND 12B1 TRAILS

10/31/2018		FEE COUNT - 9		0.00	91.24	0.00	91.24	50.0	45.65
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		<u>\$0.00</u>	<u>\$91.24</u>	<u>\$0.00</u>	<u>\$91.24</u>		<u>\$45.65</u>
		*** BROKER TRANSACTIONS TOTAL ***		<u>\$231,554.97</u>	<u>\$1,036.24</u>	<u>\$0.00</u>	<u>\$1,036.24</u>		<u>\$518.15</u>

ADJUSTMENTS

10/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
10/31/2018		OTHER: OTHER-EXCHANGE FEES		0.00	0.00	0.00	0.00		-27.28
10/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
10/31/2018		OTHER: THOMSON		0.00	0.00	0.00	0.00		-79.63
		*** ADJUSTMENTS TOTAL ***		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-134.91</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$518.15
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	\$-1.30
SIPC Assessment	\$-2.59

Check Amount	\$379.35
Year-to-date Earnings	\$5,783.13