

COMMISSION STATEMENT**September 30, 2018**WARD MORGENTHAU
19 ROSS RDBROKER #: W01
BRANCH: HOME OFFICE

LIVINGSTON, NJ 07039

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

08/30/2018	75500895	MORGENTHAU, WARD	GREENSKY INC CL A	B	9,968.15	35.00	0.00	35.00	50.0	17.50
08/30/2018	75500895	MORGENTHAU, WARD	TELADOC INC COM	S	38,100.00	35.00	0.00	35.00	50.0	17.50
09/13/2018	75500895	MORGENTHAU, WARD	NIO INC AMERICAN DEPOSITARY SHARES	S	9,705.20	35.00	0.00	35.00	50.0	17.50
09/13/2018	75500895	MORGENTHAU, WARD	NIO INC AMERICAN DEPOSITARY SHARES	B	7,789.73	35.00	0.00	35.00	50.0	17.50
09/14/2018	75500895	MORGENTHAU, WARD	FORTIVE CORPORATION COM	B	8,612.99	35.00	0.00	35.00	50.0	17.50
09/14/2018	75500895	MORGENTHAU, WARD	NIO INC AMERICAN DEPOSITARY SHARES	B	6,665.00	35.00	0.00	35.00	50.0	17.50
09/17/2018	75500895	MORGENTHAU, WARD	BLUE BIRD CORPORATION COM	B	2,554.20	35.00	0.00	35.00	50.0	17.50
09/21/2018	75500895	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	15,000.00	35.00	0.00	35.00	50.0	17.50
09/21/2018	75500895	MORGENTHAU, WARD	MOLECULAR TEMPLATES INC COM	B	8,680.95	35.00	0.00	35.00	50.0	17.50
09/04/2018	75500901	LIPSON, SANDRA	WESTERN ASSET MORTGAGE CAPITAL CORP	B	5,573.90	120.00	0.00	120.00	50.0	60.00
09/24/2018	75500901	LIPSON, SANDRA	MAZOR ROBOTICS LTD SPONSORED ADS	S	5,804.99	50.00	0.00	50.00	50.0	25.00
09/25/2018	75500901	LIPSON, SANDRA	WESTERN ASSET MORTGAGE CAPITAL CORP	B	5,255.00	100.00	0.00	100.00	50.0	50.00
09/04/2018	75500924	MORGENTHAU, JONATHAN	APPLIED OPTOELECTRONICS INC COM	B	10,859.16	35.00	0.00	35.00	50.0	17.50
09/05/2018	75500924	MORGENTHAU, JONATHAN	PACCAR INC	S	13,926.00	35.00	0.00	35.00	50.0	17.50
09/14/2018	75500924	MORGENTHAU, JONATHAN	FORTIVE CORPORATION COM	B	8,613.00	35.00	0.00	35.00	50.0	17.50
09/17/2018	75500924	MORGENTHAU, JONATHAN	BLUE BIRD CORPORATION COM	B	2,554.20	35.00	0.00	35.00	50.0	17.50
09/07/2018	75501028	MORGENTHAU, NICOLE	ADVAXIS INC COM NEW	B	5,385.50	35.00	0.00	35.00	50.0	17.50
09/07/2018	75501028	MORGENTHAU, NICOLE	THERAPEUTICSMD INC	S	12,308.30	35.00	0.00	35.00	50.0	17.50
09/14/2018	75501028	MORGENTHAU, NICOLE	FORTIVE CORPORATION COM	B	8,613.00	35.00	0.00	35.00	50.0	17.50
09/17/2018	75501028	MORGENTHAU, NICOLE	BLUE BIRD CORPORATION COM	B	2,554.20	35.00	0.00	35.00	50.0	17.50
09/20/2018	75501028	MORGENTHAU, NICOLE	MAZOR ROBOTICS LTD SPONSORED ADS	S	9,000.00	35.00	0.00	35.00	50.0	17.50
09/21/2018	75501028	MORGENTHAU, NICOLE	ALTABA INC COM	B	6,918.58	35.00	0.00	35.00	50.0	17.50
09/25/2018	75501028	MORGENTHAU, NICOLE	ADVAXIS INC COM NEW	B	4,593.50	35.00	0.00	35.00	50.0	17.50
09/06/2018	75501179	MORGENTHAU, WARD	ENDO INTERNATIONAL PLC	B	8,270.00	35.00	0.00	35.00	50.0	17.50
09/06/2018	75501179	MORGENTHAU, WARD	THERAPEUTICSMD INC	S	12,600.00	35.00	0.00	35.00	50.0	17.50
09/13/2018	75501179	MORGENTHAU, WARD	WELLS FARGO & CO	S	2,806.65	35.00	0.00	35.00	50.0	17.50
09/14/2018	75501179	MORGENTHAU, WARD	FORTIVE CORPORATION COM	B	8,612.99	35.00	0.00	35.00	50.0	17.50
09/14/2018	75501179	MORGENTHAU, WARD	TOWER SEMICONDUCTOR LTD SHS	S	8,525.60	35.00	0.00	35.00	50.0	17.50
09/21/2018	75501179	MORGENTHAU, WARD	MAZOR ROBOTICS LTD SPONSORED ADS	S	11,632.02	35.00	0.00	35.00	50.0	17.50
09/21/2018	75501179	MORGENTHAU, WARD	PHIBRO ANIMAL HEALTH CORPORATION CL	S	4,392.95	35.00	0.00	35.00	50.0	17.50
09/24/2018	75501179	MORGENTHAU, WARD	FREEPORT MCMORAN INC	B	7,232.50	35.00	0.00	35.00	50.0	17.50

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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

09/26/2018	75501179	MORGENTHAU, WARD	HEALTH INS INNOVATIONS INC COM CL A B	11,130.00	35.00	0.00	35.00	50.0	17.50
* STOCKS SUBTOTAL *				<u>\$284,238.26</u>	<u>\$1,285.00</u>	<u>\$0.00</u>	<u>\$1,285.00</u>		<u>\$642.50</u>

PRODUCT CATEGORY: OPTIONS

09/13/2018	75500895	MORGENTHAU, WARD	CALL MZOR 09/21/18 45 S	390.00	35.00	0.00	35.00	50.0	17.50
09/26/2018	75500895	MORGENTHAU, WARD	CALL EAF 10/19/18 20 S	600.00	35.00	0.00	35.00	50.0	17.50
09/14/2018	75500924	MORGENTHAU, JONATHAN	CALL AAOI 09/21/18 36 S	231.00	35.00	0.00	35.00	50.0	17.50
09/25/2018	75500924	MORGENTHAU, JONATHAN	CALL AAOI 10/05/18 35 S	165.00	35.00	0.00	35.00	50.0	17.50
* OPTIONS SUBTOTAL *				<u>\$1,386.00</u>	<u>\$140.00</u>	<u>\$0.00</u>	<u>\$140.00</u>		<u>\$70.00</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018			FEE COUNT - 7	0.00	49.44	0.00	49.44	50.0	24.73
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$49.44</u>	<u>\$0.00</u>	<u>\$49.44</u>		<u>\$24.73</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$285,624.26</u>	<u>\$1,474.44</u>	<u>\$0.00</u>	<u>\$1,474.44</u>		<u>\$737.23</u>

ADJUSTMENTS

09/30/2018			OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00		-20.00
09/30/2018			OTHER: OTHER-EXCHANGE FEES	0.00	0.00	0.00	0.00		-27.28
09/30/2018			OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00		-8.00
09/30/2018			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	\$737.23
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	\$-1.84
SIPC Assessment	\$-3.69

Check Amount	\$596.79
Year-to-date Earnings	\$5,403.78