

COMMISSION STATEMENT

November 30, 2017

BILLY BEHRENS
183 GRIFFEN AVENUE

BROKER #: 72
BRANCH: HOME OFFICE

SCARSDALE, NY 10583

COMMISSION STATEMENT for BILLY BEHRENS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/29/2017	75501469	SKROCKI, RICHARD	EATON VANCE NEW JERSEY MUNICIPAL IN B	65,000.00	2,437.50	0.00	2,437.50	50.0	1,218.75
11/29/2017	75501469	SKROCKI, RICHARD	VANGUARD N J TAX FREE FD INSD LONG B	65,000.00	0.00	0.00	0.00	50.0	0.00
11/09/2017	75501472	SKROCKI, RICHARD	LORD ABBETT NEW JERSEY TAX FREE INC S	78,876.33	0.00	0.00	0.00	50.0	0.00
11/27/2017	75501472	SKROCKI, RICHARD	AB INCOME FUND ADVISOR CLASS S	30,561.22	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$239,437.55	\$2,437.50	\$0.00	\$2,437.50		\$1,218.75
<u>PRODUCT CATEGORY: STOCKS</u>									
11/06/2017	75501356	BEHRENS, KATHLEEN	SLEEP NUMBER CORPORATION COMMON STO S	10,047.38	125.00	0.00	125.00	50.0	62.50
10/30/2017	75501362	BEHRENS, DEIRDRE	GENERAL MOTORS COMPANY S	21,696.50	250.00	0.00	250.00	50.0	125.00
11/27/2017	75501377	STEINBERG, SHOSHANA	STRATASYS LTD S	2,210.00	55.00	0.00	55.00	50.0	27.50
11/27/2017	75501377	STEINBERG, SHOSHANA	XYLEM INC COM S	26,992.00	55.00	0.00	55.00	50.0	27.50
11/09/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B	79,610.00	250.00	0.00	250.00	50.0	125.00
11/09/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE S	-79,610.00	-250.00	0.00	-250.00	50.0	-125.00 C
11/09/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B	79,400.50	250.00	0.00	250.00	50.0	125.00
11/09/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE S	-79,400.50	-250.00	0.00	-250.00	50.0	-125.00 C
11/09/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B	79,400.50	250.00	0.00	250.00	50.0	125.00
11/27/2017	75501472	SKROCKI, RICHARD	ARLINGTON ASSET INVESTMENT CORP CL- B	21,162.60	250.00	0.00	250.00	50.0	125.00
11/27/2017	75501472	SKROCKI, RICHARD	EATON VANCE NEW JERSEY MUNICIPAL BO S	35,529.00	250.00	0.00	250.00	50.0	125.00
11/27/2017	75501472	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B	20,850.00	250.00	0.00	250.00	50.0	125.00
11/27/2017	75501472	SKROCKI, RICHARD	PROSPECT CAPITAL CORPORATION B	21,259.80	250.00	0.00	250.00	50.0	125.00
* STOCKS SUBTOTAL *				\$239,147.78	\$1,735.00	\$0.00	\$1,735.00		\$867.50
<u>PRODUCT CATEGORY: OPTIONS</u>									
11/17/2017	75501378	BANDLER, LIONEL	CALL TRC 12/15/17 22.50 S	405.00	49.50	0.00	49.50	50.0	24.75
11/17/2017	75501378	BANDLER, LIONEL	CALL TRC 12/15/17 22.50 B	-405.00	-49.50	0.00	-49.50	50.0	-24.75 C
11/17/2017	75501378	BANDLER, LIONEL	CALL TRC 12/15/17 22.50 S	405.00	55.00	0.00	55.00	50.0	27.50
* OPTIONS SUBTOTAL *				\$405.00	\$55.00	\$0.00	\$55.00		\$27.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/09/2017	75501457	CANIZARES, JORGE	MFS VALUE FUND-A B	0.00	0.01	0.00	0.01	50.0	0.00
11/09/2017	75501472	SKROCKI, RICHARD	LORD ABBETT NEW JERSEY TAX FREE INC B	0.00	9.97	0.00	9.97	50.0	4.99
11/09/2017	75501489	CONLON, ITA	FRANKLIN NEW YORK TAX-FREE INCOME F B	0.00	16.41	0.00	16.41	50.0	8.21

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/09/2017	75501489 CONLON, ITA	ROCHESTER FUND MUNICIPALS A	B	0.00	24.97	0.00	24.97	50.0	12.49
11/09/2017	75501492 VECKER, LAWRENCE	**VOYA SER FD INC MIDCAP	B	0.00	3.21	0.00	3.21	50.0	1.61
11/09/2017	75501530 GREENE, HADLEY	LORD ABBETT SHORT DURATION INCOME F B		0.00	21.56	0.00	21.56	50.0	10.78
11/09/2017	75501530 GREENE, HADLEY	LORD ABBETT SECS TR VALUE OPPTYS FD B		0.00	6.14	0.00	6.14	50.0	3.07
11/09/2017	75501909 DERBY, ROSEMARIE	PUTNAM NEW OPPORTUNITIES FUND CLASS B		0.00	0.89	0.00	0.89	50.0	0.00
11/09/2017	75501931 MELANSON, MARK	BOND-DEBENTURE FUND CLASS A	B	0.00	3.54	0.00	3.54	50.0	1.77
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$86.70	\$0.00	\$86.70		\$42.92
*** BROKER TRANSACTIONS TOTAL ***				\$478,990.33	\$4,314.20	\$0.00	\$4,314.20		\$2,156.67

BROKER COMMISSION TOTALS

Broker Transactions	\$2,156.67
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-5.39
SIPC Assessment	\$-10.79

Check Amount	\$2,140.49
Year-to-date Earnings	\$5,762.53