

COMMISSION STATEMENT

September 29, 2017

WILLIAM BEHRENS

28 DELL STREET

SLEEPY HOLLOW, NY 10591

BROKER #: 73

BRANCH: HOME OFFICE

COMMISSION STATEMENT for WILLIAM BEHRENS

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

09/12/2017	75501355	BEHRENS, WILLIAM	OPKO HEALTH INC	B	9,415.50	60.00	0.00	60.00	70.0	42.00
09/13/2017	75501355	BEHRENS, WILLIAM	ADVANCED MICRO DEVICES INC	S	12,272.61	55.00	0.00	55.00	70.0	38.50
09/13/2017	75501355	BEHRENS, WILLIAM	CYPRESS SEMICONDUCTOR CORP	B	20,907.93	60.00	0.00	60.00	70.0	42.00
09/20/2017	75501355	BEHRENS, WILLIAM	LRAD CORPORATION	B	4,579.00	75.00	0.00	75.00	70.0	52.50
08/31/2017	75501360	BEHRENS, MICHAEL	DEUTSCHE BANK AG	S	16,033.00	100.00	0.00	100.00	70.0	70.00
09/05/2017	75501360	BEHRENS, MICHAEL	UNITED STATES STL CORP NEW	S	27,720.00	150.00	0.00	150.00	70.0	105.00
09/06/2017	75501360	BEHRENS, MICHAEL	CYPRESS SEMICONDUCTOR CORP	B	20,607.90	100.00	0.00	100.00	70.0	70.00
09/07/2017	75501360	BEHRENS, MICHAEL	MELLANOX TECHNOLOGIES LTD	B	23,150.00	75.00	0.00	75.00	70.0	52.50
09/19/2017	75501360	BEHRENS, MICHAEL	NL INDUSTRIES INC NEW	B	16,800.00	125.00	0.00	125.00	70.0	87.50
09/25/2017	75501360	BEHRENS, MICHAEL	ISHARES INC MSCI EUROZONE ETF	S	21,340.55	125.00	0.00	125.00	70.0	87.50
09/27/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S		25,879.20	100.00	0.00	100.00	70.0	70.00
09/21/2017	75501361	BEHRENS, MICHAEL	NL INDUSTRIES INC NEW	B	8,600.00	100.00	0.00	100.00	70.0	70.00
09/22/2017	75501361	BEHRENS, MICHAEL	CYPRESS SEMICONDUCTOR CORP	B	7,134.95	60.00	0.00	60.00	70.0	42.00
09/27/2017	75501361	BEHRENS, MICHAEL	PROSPECT CAPITAL CORPORATION	S	6,673.00	75.00	0.00	75.00	70.0	52.50
09/22/2017	75501362	BEHRENS, DEIRDRE	CYPRESS SEMICONDUCTOR CORP	B	14,299.90	100.00	0.00	100.00	70.0	70.00
09/20/2017	75501367	MICHAEL TEAHAN JR TR	TRANSOCEAN LTD US LISTED	S	9,800.90	75.00	0.00	75.00	70.0	52.50
09/06/2017	75501394	ALBERT E HAVERKAMP	CYPRESS SEMICONDUCTOR CORP	B	13,738.66	100.00	0.00	100.00	70.0	70.00
09/19/2017	75501394	ALBERT E HAVERKAMP	NL INDUSTRIES INC NEW	B	12,600.00	100.00	0.00	100.00	70.0	70.00

* STOCKS SUBTOTAL *					\$271,553.10	\$1,635.00	\$0.00	\$1,635.00		\$1,144.50
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PRODUCT CATEGORY: OPTIONS

09/07/2017	75501360	BEHRENS, MICHAEL	CALL FCX	01/19/18	18	S	810.00	75.00	0.00	75.00	70.0	52.50
					* OPTIONS SUBTOTAL *		\$810.00	\$75.00	\$0.00	\$75.00		\$52.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B		0.00	119.94	0.00	119.94	70.0	83.96
09/12/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B		0.00	21.01	0.00	21.01	70.0	14.71
09/12/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B		0.00	28.18	0.00	28.18	70.0	19.73
09/12/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C	B	0.00	3.82	0.00	3.82	70.0	2.67
09/26/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.44	0.00	0.44	70.0	0.00
					* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$173.39	\$0.00	\$173.39	\$121.07

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BROKER TRANSACTIONS

*** BROKER TRANSACTIONS TOTAL ***	\$272,363.10	\$1,883.39	\$0.00	\$1,883.39	\$1,318.07
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BROKER COMMISSION TOTALS

Broker Transactions	\$1,318.07
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	\$-2.35
SIPC Assessment	\$-4.71

Check Amount	\$1,311.01
Year-to-date Earnings	\$5,732.44