

## COMMISSION STATEMENT

July 31, 2018

WILLIAM BEHRENS  
350 Grovers Avenue

BROKER #: W02  
BRANCH: FULCRUM GROUP

Bridgeport, CT 06605-

## 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: MUTUAL FUNDS

07/17/2018	75501466	CARTOZIAN, JANET		AMERICAN FDS PORTFOLIO SER GLOBAL G B	7,000.00	410.00	0.00	410.00	70.0	287.00
				* MUTUAL FUNDS SUBTOTAL *	\$7,000.00	\$410.00	\$0.00	\$410.00		\$287.00

PRODUCT CATEGORY: STOCKS

07/06/2018	75501355	BEHRENS, WILLIAM		BLACKROCK MUNIHOLDINGS INVT QUALITY S	6,456.55	25.00	0.00	25.00	70.0	0.00
07/26/2018	75501355	BEHRENS, WILLIAM		HALLADOR ENERGY COMPANY COM	6,439.00	55.00	0.00	55.00	70.0	38.50
07/27/2018	75501355	BEHRENS, WILLIAM		CLEVELAND CLIFFS INC COM	16,142.55	60.00	0.00	60.00	70.0	42.00
07/27/2018	75501355	BEHRENS, WILLIAM		SMART SAND INC COM	8,694.90	75.00	0.00	75.00	70.0	52.50
07/24/2018	75501356	BEHRENS, KATHLEEN		MGIC INVT CORP WIS COM	9,960.00	60.00	0.00	60.00	70.0	42.00
06/28/2018	75501360	BEHRENS, MICHAEL		IQVIA HOLDINGS INC COMMON STOCK	19,840.86	100.00	0.00	100.00	70.0	70.00
07/05/2018	75501360	BEHRENS, MICHAEL		SIERRA BANCORP	28,800.00	150.00	0.00	150.00	70.0	105.00
07/06/2018	75501360	BEHRENS, MICHAEL		MELLANOX TECHNOLOGIES LTD	42,828.50	200.00	0.00	200.00	70.0	140.00
07/10/2018	75501360	BEHRENS, MICHAEL		ENERGY TRANSFER PARTNERS L P	19,277.00	100.00	0.00	100.00	70.0	70.00
07/23/2018	75501360	BEHRENS, MICHAEL		MGIC INVT CORP WIS COM	24,740.00	150.00	0.00	150.00	70.0	105.00
07/24/2018	75501360	BEHRENS, MICHAEL		IQVIA HOLDINGS INC COMMON STOCK	59,694.00	225.00	0.00	225.00	70.0	157.50
08/06/2018	75501360	BEHRENS, MICHAEL		DEVON ENERGY CORPORATION NEW	21,968.50	125.00	0.00	125.00	70.0	87.50
08/06/2018	75501360	BEHRENS, MICHAEL		WHITING PETROLEUM CORPORATION COMMO S	48,282.50	250.00	0.00	250.00	70.0	175.00
08/09/2018	75501360	BEHRENS, MICHAEL		BANK OF NOVA SCOTIA	29,504.46	100.00	0.00	100.00	70.0	70.00
08/09/2018	75501360	BEHRENS, MICHAEL		GRAFTECH INTL LTD COM	20,000.00	0.00	0.00	0.00	70.0	0.00
08/09/2018	75501360	BEHRENS, MICHAEL		TRANSOCEAN LTD US LISTED	12,345.00	100.00	0.00	100.00	70.0	70.00
08/10/2018	75501360	BEHRENS, MICHAEL		TRANSOCEAN LTD US LISTED	12,321.50	125.00	0.00	125.00	70.0	87.50
07/19/2018	75501361	BEHRENS, MICHAEL		FLEX LTD ORDINARY SHARES	9,172.20	100.00	0.00	100.00	70.0	70.00
07/19/2018	75501362	BEHRENS, DEIRDRE		FLEX LTD ORDINARY SHARES	11,495.25	100.00	0.00	100.00	70.0	70.00
08/06/2018	75501362	BEHRENS, DEIRDRE		PROSPECT CAPITAL CORPORATION	5,515.20	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501362	BEHRENS, DEIRDRE		REGIONS FINANCIAL CORP	7,755.20	120.00	0.00	120.00	70.0	84.00
07/09/2018	75501367	MICHAEL TEAHAN JR TR		DOVER MOTORSPORTS INC	5,127.50	150.00	0.00	150.00	70.0	105.00
08/06/2018	75501367	MICHAEL TEAHAN JR TR		APPLE INC	5,204.75	105.00	0.00	105.00	70.0	73.50
07/10/2018	75501378	BANDLER, LIONEL		VEOLIA ENVIRONNEMENT ADR	22,172.10	55.00	0.00	55.00	70.0	38.50
07/24/2018	75501378	BANDLER, LIONEL		SCHLUMBERGER LTD	66,208.00	55.00	0.00	55.00	70.0	38.50
08/03/2018	75501378	BANDLER, LIONEL		3M COMPANY	200,000.00	55.00	0.00	55.00	70.0	38.50
08/09/2018	75501378	BANDLER, LIONEL		CORNING INC	2,800.00	79.07	0.00	79.07	70.0	55.35

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/05/2018	75501394	ALBERT E HAVERKAMP	SIERRA BANCORP	B	14,400.00	150.00	0.00	150.00	70.0	105.00
07/23/2018	75501394	ALBERT E HAVERKAMP	MGIC INVT CORP WIS COM	B	12,370.00	100.00	0.00	100.00	70.0	70.00
07/26/2018	75501394	ALBERT E HAVERKAMP	AIRCASTLE LTD SHS ISIN#BMG0219K1045	S	10,315.05	60.00	0.00	60.00	70.0	42.00
08/06/2018	75501394	ALBERT E HAVERKAMP	FLEX LTD ORDINARY SHARES	S	21,124.50	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501394	ALBERT E HAVERKAMP	SMART SAND INC COM	B	7,872.45	125.00	0.00	125.00	70.0	87.50
08/09/2018	75501394	ALBERT E HAVERKAMP	APPLE INC	S	200,000.00	1,050.00	0.00	1,050.00	70.0	735.00
08/10/2018	75501394	ALBERT E HAVERKAMP	LAM RESEARCH CORP	B	53,971.86	200.00	0.00	200.00	70.0	140.00
08/10/2018	75501394	ALBERT E HAVERKAMP	TRANSOCEAN LTD US LISTED	S	12,296.07	125.00	0.00	125.00	70.0	87.50
07/10/2018	75502179	BATOW CREEK PARTNERS	LRAD CORPORATION	B	2,669.50	25.00	0.00	25.00	70.0	0.00
* STOCKS SUBTOTAL *					\$1,057,764.95	\$4,704.07	\$0.00	\$4,704.07		\$3,257.85
PRODUCT CATEGORY: BONDS										
07/02/2018	75501433	PINSKY, IRWIN	UNITED STATES TREASURY BILL RE-ISSU B		23,747.02	25.00	0.00	25.00	70.0	0.00
* BONDS SUBTOTAL *					\$23,747.02	\$25.00	\$0.00	\$25.00		\$0.00
PRODUCT CATEGORY: OPTIONS										
07/20/2018	75501355	BEHRENS, WILLIAM	CALL MTG 12/21/18 13	B	1,215.00	25.00	0.00	25.00	70.0	0.00
07/17/2018	75501360	BEHRENS, MICHAEL	CALL AAPL 08/17/18 200	B	1,570.00	78.50	0.00	78.50	70.0	54.95
07/17/2018	75501360	BEHRENS, MICHAEL	CALL WLL 08/17/18 60	B	590.00	75.00	0.00	75.00	70.0	52.50
07/25/2018	75501360	BEHRENS, MICHAEL	CALL LRCX 09/21/18 195	S	3,420.00	75.00	0.00	75.00	70.0	52.50
07/26/2018	75501360	BEHRENS, MICHAEL	CALL FB 08/17/18 175	B	7,090.00	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501360	BEHRENS, MICHAEL	CALL FB 08/17/18 175	S	10,220.00	150.00	0.00	150.00	70.0	105.00
08/08/2018	75501360	BEHRENS, MICHAEL	PUT LOW 10/19/18 97.50	B	6,000.00	100.00	0.00	100.00	70.0	70.00
07/09/2018	75501378	BANDLER, LIONEL	CALL DWDP 08/03/18 67	S	3,000.00	55.00	0.00	55.00	70.0	38.50
07/09/2018	75501378	BANDLER, LIONEL	CALL MMM 08/03/18 200	S	4,500.00	55.00	0.00	55.00	70.0	38.50
07/23/2018	75501378	BANDLER, LIONEL	CALL FDX 08/17/18 237.50	S	1,620.00	61.00	0.00	61.00	70.0	42.70
07/24/2018	75501378	BANDLER, LIONEL	CALL SLB 08/17/18 68.50	S	650.00	55.00	0.00	55.00	70.0	38.50
08/06/2018	75501378	BANDLER, LIONEL	CALL DWDP 09/14/18 68.50	S	2,360.00	55.00	0.00	55.00	70.0	38.50
07/26/2018	75501394	ALBERT E HAVERKAMP	CALL RDN 11/16/18 20	B	1,110.00	75.00	0.00	75.00	70.0	52.50
* OPTIONS SUBTOTAL *					\$43,345.00	\$934.50	\$0.00	\$934.50		\$636.65
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/31/2018			FEE COUNT - 11		0.00	321.32	0.00	321.32	70.0	224.59
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$321.32	\$0.00	\$321.32		\$224.59
*** BROKER TRANSACTIONS TOTAL ***					\$1,131,856.97	\$6,394.89	\$0.00	\$6,394.89		\$4,406.09

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ADJUSTMENTS

07/31/2018		MISCELLANEOUS: WRITE OFF 75501353		0.00	0.00	0.00	0.00		-2.00
07/31/2018		MISCELLANEOUS: WRITE OFF 75501476		0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-4.00

BROKER COMMISSION TOTALS

Broker Transactions	\$4,406.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-4.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-7.99
SIPC Assessment	\$-15.99

Check Amount	\$4,378.11
Year-to-date Earnings	\$18,278.98