

## COMMISSION STATEMENT

December 31, 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	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
12/22/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC S	100,000.00	0.00	0.00	0.00	70.0	0.00	
* MUTUAL FUNDS SUBTOTAL *				\$100,000.00	\$0.00	\$0.00	\$0.00		\$0.00	
PRODUCT CATEGORY: STOCKS										
12/01/2017	75501355	BEHRENS, WILLIAM	BAZAARVOICE INC COM	B	5,475.00	60.00	0.00	60.00	70.0	42.00
11/29/2017	75501360	BEHRENS, MICHAEL	LAM RESEARCH CORP	B	97,265.90	100.00	0.00	100.00	70.0	70.00
12/11/2017	75501360	BEHRENS, MICHAEL	GAMESTOP CORP NEW CLASS A	B	19,280.00	100.00	0.00	100.00	70.0	70.00
12/13/2017	75501360	BEHRENS, MICHAEL	NL INDUSTRIES INC NEW	S	13,404.00	200.00	0.00	200.00	70.0	140.00
12/18/2017	75501360	BEHRENS, MICHAEL	INTERPHASE CORP	S	100.00	1.00	0.00	1.00	70.0	0.00
12/19/2017	75501360	BEHRENS, MICHAEL	INPIXON COMMON STOCK	S	69.64	1.00	0.00	1.00	70.0	0.00
12/19/2017	75501360	BEHRENS, MICHAEL	ON SEMICONDUCTOR CORP	B	31,318.35	150.00	0.00	150.00	70.0	105.00
12/20/2017	75501360	BEHRENS, MICHAEL	WHITING PETROLEUM CORPORATION COMMO B		23,559.80	150.00	0.00	150.00	70.0	105.00
12/18/2017	75501367	MICHAEL TEAHAN JR TR	INPIXON COMMON STOCK	S	35.76	2.00	0.00	2.00	70.0	0.00
12/18/2017	75501367	MICHAEL TEAHAN JR TR	INTERPHASE CORP	S	70.00	4.00	0.00	4.00	70.0	0.00
12/04/2017	75501378	BANDLER, LIONEL	BOARDWALK PIPELINE PARTNERS LP COM	S	13,690.00	55.00	0.00	55.00	70.0	38.50
12/22/2017	75501378	BANDLER, LIONEL	FREEPORT MCMORAN INC	S	45,000.00	746.07	0.00	746.07	70.0	522.25
12/22/2017	75501378	BANDLER, LIONEL	FREEPORT MCMORAN INC	B	-45,000.00	-746.07	0.00	-746.07	70.0	-522.25
12/22/2017	75501378	BANDLER, LIONEL	FREEPORT MCMORAN INC	S	45,000.00	55.00	0.00	55.00	70.0	38.50
12/01/2017	75501394	ALBERT E HAVERKAMP	CALUMET SPECIALTY PRODS PARTNERS L	B	8,600.00	100.00	0.00	100.00	70.0	70.00
12/11/2017	75501394	ALBERT E HAVERKAMP	CALUMET SPECIALTY PRODS PARTNERS L	S	8,100.00	60.00	0.00	60.00	70.0	42.00
12/11/2017	75501394	ALBERT E HAVERKAMP	GAMESTOP CORP NEW CLASS A	B	19,280.00	100.00	0.00	100.00	70.0	70.00
12/11/2017	75501394	ALBERT E HAVERKAMP	PROSPECT CAPITAL CORPORATION	S	10,125.00	60.00	0.00	60.00	70.0	42.00
12/18/2017	75501394	ALBERT E HAVERKAMP	INPIXON COMMON STOCK	S	28.65	1.00	0.00	1.00	70.0	0.00
12/18/2017	75501394	ALBERT E HAVERKAMP	INTERPHASE CORP	S	90.00	5.00	0.00	5.00	70.0	0.00
12/27/2017	75501394	ALBERT E HAVERKAMP	ON SEMICONDUCTOR CORP	B	21,128.80	125.00	0.00	125.00	70.0	87.50
* STOCKS SUBTOTAL *				\$316,620.90	\$1,329.00	\$0.00	\$1,329.00		\$920.50	
PRODUCT CATEGORY: BONDS										
12/04/2017	75501433	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	95,296.27	0.00	0.00	0.00	70.0	0.00
12/18/2017	75501433	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	22,827.91	0.00	0.00	0.00	70.0	0.00
* BONDS SUBTOTAL *				\$118,124.18	\$0.00	\$0.00	\$0.00		\$0.00	

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BROKER TRANSACTIONS

PRODUCT CATEGORY: OPTIONS

12/13/2017	75501355	BEHRENS, WILLIAM	CALL FTNT	12/15/17	40	S	1,350.00	30.00	0.00	30.00	70.0	0.00
12/20/2017	75501355	BEHRENS, WILLIAM	CALL UAA	04/20/18	17.50	B	1,320.00	60.00	0.00	60.00	70.0	42.00
* OPTIONS SUBTOTAL *							\$2,670.00	\$90.00	\$0.00	\$90.00		\$42.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/11/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B				0.00	116.39	0.00	116.39	70.0	81.47
12/11/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B				0.00	20.82	0.00	20.82	70.0	14.57
12/11/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B				0.00	27.41	0.00	27.41	70.0	19.19
12/11/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C B				0.00	3.69	0.00	3.69	70.0	2.58
12/22/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER			B	0.00	0.47	0.00	0.47	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *							\$0.00	\$168.78	\$0.00	\$168.78		\$117.81
*** BROKER TRANSACTIONS TOTAL ***							\$537,415.08	\$1,587.78	\$0.00	\$1,587.78		\$1,080.31

ADJUSTMENTS

12/31/2017		OTHER: OTHER-POSTAGE					0.00	0.00	0.00	0.00		-12.50
*** ADJUSTMENTS TOTAL ***							\$0.00	\$0.00	\$0.00	\$0.00		\$-12.50

BROKER COMMISSION TOTALS

Broker Transactions	\$1,080.31
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-12.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.98
SIPC Assessment	\$-3.97

Check Amount	\$1,061.86
Year-to-date Earnings	\$9,266.39