

## COMMISSION STATEMENT

April 30, 2017

WILLIAM BEHRENS

28 DELL STREET

SLEEPY HOLLOW, NY 10591

BROKER #:

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
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
04/24/2017	75501466	CARTOZIAN, JANET	AMERICAN FDS PORTFOLIO SER GLOBAL G B	8,000.00	400.00	0.00	400.00	70.0	280.00
			* MUTUAL FUNDS SUBTOTAL *	\$8,000.00	\$400.00	\$0.00	\$400.00		\$280.00
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
04/07/2017	75501351	BEHRENS, WILLIAM	ARBOR REALTY TRUST INC S	3,388.28	60.00	0.00	60.00	70.0	42.00
04/07/2017	75501351	BEHRENS, WILLIAM	MERIDIAN WASTE SOLUTIONS INC COMMON B	2,455.39	60.00	0.00	60.00	70.0	42.00
04/17/2017	75501355	BEHRENS, WILLIAM	ARBOR REALTY TRUST INC S	8,600.00	60.00	0.00	60.00	70.0	42.00
04/05/2017	75501360	BEHRENS, MICHAEL	MERIDIAN WASTE SOLUTIONS INC COMMON B	3,445.04	75.00	0.00	75.00	70.0	52.50
04/17/2017	75501360	BEHRENS, MICHAEL	ALERE INC S	98,380.00	350.00	0.00	350.00	70.0	245.00
04/19/2017	75501360	BEHRENS, MICHAEL	FEDERAL NATL MTG ASSN PFD SER S DIV B	6,350.00	75.00	0.00	75.00	70.0	52.50
04/19/2017	75501360	BEHRENS, MICHAEL	FREDDIE MAC 8.375% NON-CUMULATIVE P B	5,800.00	75.00	0.00	75.00	70.0	52.50
04/25/2017	75501360	BEHRENS, MICHAEL	KB HOME S	20,022.50	175.00	0.00	175.00	70.0	122.50
04/11/2017	75501363	KNIGHT, GARY	STAPLES INC B	5,321.25	45.00	0.00	45.00	70.0	0.00
04/05/2017	75501394	ALBERT E HAVERKAMP	MERIDIAN WASTE SOLUTIONS INC COMMON B	3,427.00	75.00	0.00	75.00	70.0	52.50
04/19/2017	75501394	ALBERT E HAVERKAMP	FEDERAL NATL MTG ASSN PFD SER S DIV B	6,320.00	75.00	0.00	75.00	70.0	52.50
04/20/2017	75501394	ALBERT E HAVERKAMP	BANK OF NEW YORK MELLON CORP ON THE S	12,596.80	60.00	0.00	60.00	70.0	42.00
04/20/2017	75501394	ALBERT E HAVERKAMP	QUALCOMM INC B	13,121.65	75.00	0.00	75.00	70.0	52.50
04/25/2017	75501394	ALBERT E HAVERKAMP	KB HOME S	19,950.00	150.00	0.00	150.00	70.0	105.00
			* STOCKS SUBTOTAL *	\$209,177.91	\$1,410.00	\$0.00	\$1,410.00		\$955.50
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
04/11/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B	0.00	118.32	0.00	118.32	70.0	82.82
04/11/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B	0.00	20.74	0.00	20.74	70.0	14.52
04/11/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B	0.00	27.07	0.00	27.07	70.0	18.95
04/11/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C B	0.00	3.69	0.00	3.69	70.0	2.58
04/26/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER B	0.00	0.42	0.00	0.42	70.0	0.00
			* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$170.24	\$0.00	\$170.24		\$118.87
			*** BROKER TRANSACTIONS TOTAL ***	\$217,177.91	\$1,980.24	\$0.00	\$1,980.24		\$1,354.37

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ADJUSTMENTS

04/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,354.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.48
SIPC Assessment	\$-37.13

Check Amount	\$1,294.76
Year-to-date Earnings	\$3,000.23