

COMMISSION STATEMENT

June 09, 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: STOCKS										
04/27/2017	75501355	BEHRENS, WILLIAM	MERIDIAN WASTE SOLUTIONS INC COMMON B		3,133.90	60.00	0.00	60.00	70.0	0.00
05/01/2017	75501360	BEHRENS, MICHAEL	ISHARES INC MSCI EUROZONE ETF	B	19,724.95	100.00	0.00	100.00	70.0	0.00
05/05/2017	75501360	BEHRENS, MICHAEL	UNIVERSAL DISPLAY CORPORATION	S	27,737.50	300.00	0.00	300.00	70.0	0.00
05/09/2017	75501360	BEHRENS, MICHAEL	TIME INC COM	S	7,350.00	60.00	0.00	60.00	70.0	0.00
05/10/2017	75501360	BEHRENS, MICHAEL	DEUTSCHE BANK AG	B	9,475.00	100.00	0.00	100.00	70.0	0.00
05/12/2017	75501360	BEHRENS, MICHAEL	MERIDIAN WASTE SOLUTIONS INC COMMON B		3,012.15	60.00	0.00	60.00	70.0	0.00
05/15/2017	75501360	BEHRENS, MICHAEL	DEUTSCHE BANK AG	B	9,553.50	75.00	0.00	75.00	70.0	0.00
05/22/2017	75501360	BEHRENS, MICHAEL	MELLANOX TECHNOLOGIES LTD	B	23,945.00	100.00	0.00	100.00	70.0	0.00
05/09/2017	75501378	BANDLER, LIONEL	CLIFFS NATURAL RESOURCES INC	B	18,810.00	55.00	0.00	55.00	70.0	0.00
05/09/2017	75501378	BANDLER, LIONEL	COVANTA HOLDING CORPORATION	B	21,112.50	55.00	0.00	55.00	70.0	0.00
05/05/2017	75501394	ALBERT E HAVERKAMP	UNIVERSAL DISPLAY CORPORATION	S	27,730.00	300.00	0.00	300.00	70.0	0.00
* STOCKS SUBTOTAL *					\$171,584.50	\$1,265.00	\$0.00	\$1,265.00		\$0.00
PRODUCT CATEGORY: BONDS										
04/27/2017	75501360	BEHRENS, MICHAEL	UNDER ARMOUR INC SR UNSECURED	B	46,775.00	431.00	0.00	431.00	70.0	0.00
05/02/2017	75501360	BEHRENS, MICHAEL	HERTZ CORP SR NT FULLY EXCH FROM 40 B		47,000.00	1,000.00	0.00	1,000.00	70.0	0.00
* BONDS SUBTOTAL *					\$93,775.00	\$1,431.00	\$0.00	\$1,431.00		\$0.00
PRODUCT CATEGORY: OPTIONS										
05/12/2017	75501360	BEHRENS, MICHAEL	CALL OPK 12/15/17 8	B	1,900.00	100.00	0.00	100.00	70.0	0.00
05/12/2017	75501394	ALBERT E HAVERKAMP	CALL OPK 12/15/17 8	B	1,925.00	100.00	0.00	100.00	70.0	0.00
* OPTIONS SUBTOTAL *					\$3,825.00	\$200.00	\$0.00	\$200.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/09/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B		0.00	115.08	0.00	115.08	70.0	80.56
05/09/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B		0.00	20.10	0.00	20.10	70.0	14.07
05/09/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B		0.00	26.54	0.00	26.54	70.0	18.58
05/09/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C	B	0.00	3.59	0.00	3.59	70.0	2.51
05/26/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.40	0.00	0.40	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$165.71	\$0.00	\$165.71		\$115.72
*** BROKER TRANSACTIONS TOTAL ***					\$269,184.50	\$3,061.71	\$0.00	\$3,061.71		\$115.72

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ADJUSTMENTS

06/09/2017		OTHER: OTHER-FINRA AND SIPC		0.00	0.00	0.00	0.00		61.24
06/09/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$41.24

BROKER COMMISSION TOTALS

Broker Transactions	\$115.72
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$41.24
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.83
SIPC Assessment	\$-57.41

Check Amount	\$95.72
Year-to-date Earnings	\$3,095.95