

COMMISSION STATEMENT

April 30, 2017

BILLY BEHRENS
183 GRIFFEN AVENUE

BROKER #:
BRANCH: HOME OFFICE

SCARSDALE, NY 10583

COMMISSION STATEMENT for BILLY BEHRENS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
04/06/2017	75501380	LEVIS, THOMAS	DOVER MOTORSPORTS INC	S	5,258.25	75.00	0.00	75.00	50.0	37.50
04/19/2017	75501380	LEVIS, THOMAS	DOVER MOTORSPORTS INC	S	8,000.00	120.00	0.00	120.00	50.0	60.00
04/05/2017	75501389	LEVIS, THOMAS	DOVER MOTORSPORTS INC	S	41,000.00	600.00	0.00	600.00	50.0	300.00
04/17/2017	75501469	SKROCKI, RICHARD	INVESCO MUNICIPAL TRUST	B	1,328.94	63.50	0.00	63.50	50.0	31.75
04/17/2017	75501469	SKROCKI, RICHARD	INVESCO QUALITY MUNICIPAL INCOME TR	B	1,312.49	63.17	0.00	63.17	50.0	31.59
04/17/2017	75501469	SKROCKI, RICHARD	INVESCO VALUE MUNICIPAL INCOME TRUS	B	1,344.59	55.00	0.00	55.00	50.0	27.50
04/17/2017	75501470	SKROCKI, RICHARD	LMP CAPITAL AND INCOME FUND INC	B	360.75	55.00	0.00	55.00	50.0	27.50
04/17/2017	75501472	SKROCKI, RICHARD	ARLINGTON ASSET INVESTMENT CORP CL-	B	1,889.48	80.00	0.00	80.00	50.0	40.00
03/30/2017	75599830	RF LAFFERTY & CO	MAGELLAN HEALTH INC	B	25,229.20	0.00	0.00	0.00	50.0	0.00
03/30/2017	75599830	RF LAFFERTY & CO	MAGELLAN HEALTH INC	S	10,649.10	0.00	0.00	0.00	50.0	0.00
03/30/2017	75599830	RF LAFFERTY & CO	MAGELLAN HEALTH INC	S	14,580.10	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *					\$110,952.90	\$1,111.67	\$0.00	\$1,111.67		\$555.84

PRODUCT CATEGORY: RIA

04/18/2017	75501413	SMITH, THOMAS		FAS FEES	B	-0.11	0.11	0.00	0.11	50.0	0.00
04/19/2017	75501413	SMITH, THOMAS		FAS FEES	B	0.11	-0.11	0.00	-0.11	50.0	0.00
04/19/2017	75501413	SMITH, THOMAS		FAS FEES	B	0.09	-0.09	0.00	-0.09	50.0	0.00
04/19/2017	75501413	SMITH, THOMAS		FAS FEES	B	0.11	-0.11	0.00	-0.11	50.0	0.00
				* RIA SUBTOTAL *		\$0.20	\$-0.20	\$0.00	\$-0.20		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/11/2017	75501457	CANIZARES, JORGE		MFS VALUE FUND-A	B	0.00	0.01	0.00	0.01	50.0	0.00
04/11/2017	75501472	SKROCKI, RICHARD		LORD ABBETT NEW JERSEY TAX FREE INC B		0.00	9.57	0.00	9.57	50.0	4.79
04/11/2017	75501489	CONLON, ITA		FRANKLIN NEW YORK TAX-FREE INCOME F B		0.00	16.17	0.00	16.17	50.0	8.09
04/11/2017	75501489	CONLON, ITA		ROCHESTER FUND MUNICIPALS A	B	0.00	14.68	0.00	14.68	50.0	7.34
04/11/2017	75501492	VECKER, LAWRENCE		**VOYA SER FD INC MIDCAP	B	0.00	2.95	0.00	2.95	50.0	1.48
04/11/2017	75501530	GREENE, HADLEY		CALAMOS INVT TR NEW CONV FD CL C	B	0.00	71.40	0.00	71.40	50.0	35.70
04/11/2017	75501530	GREENE, HADLEY		LORD ABBETT SHORT DURATION INCOME F B		0.00	21.25	0.00	21.25	50.0	10.63
04/11/2017	75501530	GREENE, HADLEY		LORD ABBETT SECS TR VALUE OPPTY S FD B		0.00	5.86	0.00	5.86	50.0	2.93
04/11/2017	75501530	GREENE, HADLEY		PIM 72200Q273	B	0.00	15.17	0.00	15.17	50.0	7.59
04/11/2017	75501530	GREENE, HADLEY		PIMCO LOW DURATION FUND-CL C	B	0.00	20.92	0.00	20.92	50.0	10.46
04/11/2017	75501909	DERBY, ROSEMARIE		PUTNAM NEW OPPORTUNITIES FUND CLASS B		0.00	0.78	0.00	0.78	50.0	0.00

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/11/2017	75501931	MELANSON, MARK	BOND-DEBENTURE FUND CLASS A	B	0.00	3.35	0.00	3.35	50.0	1.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$182.11	\$0.00	\$182.11		\$90.69
*** BROKER TRANSACTIONS TOTAL ***					\$110,953.10	\$1,293.58	\$0.00	\$1,293.58		\$646.53

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	\$646.53
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	\$-1.62
SIPC Assessment	\$-24.25

Check Amount	\$600.66
Year-to-date Earnings	\$3,884.47