

COMMISSION STATEMENT

October 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

10/13/2017	75501346	BEHRENS, WILLIAM	LRAD CORPORATION	B	1,007.35	25.00	0.00	25.00	70.0	0.00
09/28/2017	75501355	BEHRENS, WILLIAM	THERAPEUTICSMD INC	S	5,255.40	25.00	0.00	25.00	70.0	0.00
09/29/2017	75501355	BEHRENS, WILLIAM	ENDURANCE INTERNATIONAL GROUP HOLDI	B	5,281.25	60.00	0.00	60.00	70.0	42.00
10/02/2017	75501360	BEHRENS, MICHAEL	CSRA INC COM	B	49,015.58	150.00	0.00	150.00	70.0	105.00
10/11/2017	75501360	BEHRENS, MICHAEL	CSRA INC COM	S	46,996.50	60.00	0.00	60.00	70.0	42.00
10/16/2017	75501360	BEHRENS, MICHAEL	CELESTICA INC	B	25,176.00	125.00	0.00	125.00	70.0	87.50
10/18/2017	75501360	BEHRENS, MICHAEL	PROGRESS SOFTWARE CORPORATION	S	41,344.80	250.00	0.00	250.00	70.0	175.00
10/23/2017	75501360	BEHRENS, MICHAEL	CBS CORP CLASS B	B	5,784.32	60.00	0.00	60.00	70.0	42.00
10/24/2017	75501360	BEHRENS, MICHAEL	EBAY INC	S	55,419.00	175.00	0.00	175.00	70.0	122.50
10/19/2017	75501361	BEHRENS, MICHAEL	WHITING PETROLEUM CORPORATION	S	1,503.15	60.00	0.00	60.00	70.0	42.00
10/19/2017	75501362	BEHRENS, DEIRDRE	CECO ENVIRONMENTAL CORP	B	8,797.30	75.00	0.00	75.00	70.0	52.50
10/19/2017	75501362	BEHRENS, DEIRDRE	WHITING PETROLEUM CORPORATION	S	2,505.25	60.00	0.00	60.00	70.0	42.00
10/23/2017	75501363	KNIGHT, GARY	CBS CORP CLASS B	B	5,734.82	55.00	0.00	55.00	70.0	38.50
10/20/2017	75501367	MICHAEL TEAHAN JR TR	MICRON SOLUTIONS INC	S	3,470.00	75.00	0.00	75.00	70.0	52.50
10/20/2017	75501367	MICHAEL TEAHAN JR TR	WHITING PETROLEUM CORPORATION	S	2,510.00	60.00	0.00	60.00	70.0	42.00
10/16/2017	75501394	ALBERT E HAVERKAMP	CELESTICA INC	B	12,599.00	100.00	0.00	100.00	70.0	70.00
10/23/2017	75501394	ALBERT E HAVERKAMP	CBS CORP CLASS B	B	5,783.33	60.00	0.00	60.00	70.0	42.00
10/23/2017	75501394	ALBERT E HAVERKAMP	NL INDUSTRIES INC NEW	S	6,825.00	125.00	0.00	125.00	70.0	87.50
* STOCKS SUBTOTAL *					\$285,008.05	\$1,600.00	\$0.00	\$1,600.00		\$1,085.00

PRODUCT CATEGORY: BONDS

10/17/2017	75501436	PINSKY, IRWIN	UNITED STATES TREASURY BILL	S	14,910.00	10.00	0.00	10.00	70.0	0.00
* BONDS SUBTOTAL *					\$14,910.00	\$10.00	\$0.00	\$10.00		\$0.00

PRODUCT CATEGORY: OPTIONS

10/16/2017	75501355	BEHRENS, WILLIAM	CALL FTNT 12/15/17 40	B	755.00	55.00	0.00	55.00	70.0	38.50
* OPTIONS SUBTOTAL *					\$755.00	\$55.00	\$0.00	\$55.00		\$38.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/10/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B		0.00	116.37	0.00	116.37	70.0	81.46
10/10/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B		0.00	20.50	0.00	20.50	70.0	14.35
10/10/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B		0.00	27.36	0.00	27.36	70.0	19.15

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/10/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C	B	0.00	3.72	0.00	3.72	70.0	2.60
10/25/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.44	0.00	0.44	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$168.39	\$0.00	\$168.39		\$117.56
*** BROKER TRANSACTIONS TOTAL ***					\$300,673.05	\$1,833.39	\$0.00	\$1,833.39		\$1,241.06

BROKER COMMISSION TOTALS

Broker Transactions	\$1,241.06
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.29
SIPC Assessment	\$-4.58

Check Amount	\$1,234.19
Year-to-date Earnings	\$6,966.63