

COMMISSION STATEMENT

October 31, 2017

BILLY BEHRENS
183 GRIFFEN AVENUE

BROKER #: 72
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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/17/2017	75501372 BANDLER, BABETTE	AGNICO-EAGLE MINES LTD	B	22,593.50	55.00	0.00	55.00	50.0	27.50
10/17/2017	75501372 BANDLER, BABETTE	LMP CAPITAL AND INCOME FUND INC	S	29,040.00	55.00	0.00	55.00	50.0	27.50
10/17/2017	75501377 STEINBERG, SHOSHANA	AGNICO-EAGLE MINES LTD	B	22,535.00	55.00	0.00	55.00	50.0	27.50
10/17/2017	75501377 STEINBERG, SHOSHANA	EXELON CORPORATION	S	11,868.00	55.00	0.00	55.00	50.0	27.50
10/17/2017	75501377 STEINBERG, SHOSHANA	NRG ENERGY INC	S	26,520.00	55.00	0.00	55.00	50.0	27.50
09/28/2017	75501380 LEVIS, THOMAS	LRAD CORPORATION	B	15,450.00	150.00	0.00	150.00	50.0	75.00
09/28/2017	75501384 CABELLO, CHRISTINE	LRAD CORPORATION	B	15,450.00	150.00	0.00	150.00	50.0	75.00
09/28/2017	75501386 CABELLO, CHRISTINE	LRAD CORPORATION	B	5,150.00	55.00	0.00	55.00	50.0	27.50
09/28/2017	75501389 LEVIS, THOMAS	LRAD CORPORATION	B	43,616.00	400.00	0.00	400.00	50.0	200.00
09/28/2017	75501390 CABELLO, CHRISTINE	LRAD CORPORATION	B	16,356.00	150.00	0.00	150.00	50.0	75.00
10/11/2017	75501468 HAUSHALTER, HARRY	KESSEL RUN RESOURCES LTD COM	B	4,240.00	200.00	0.00	200.00	50.0	100.00
10/13/2017	75501468 HAUSHALTER, HARRY	IMAGE PROTECT INC COM	B	4,185.00	200.00	0.00	200.00	50.0	100.00
10/17/2017	75501468 HAUSHALTER, HARRY	POSITIVEID CORPORATION COMMON STOCK B		3,850.00	200.00	0.00	200.00	50.0	100.00
10/17/2017	75501468 HAUSHALTER, HARRY	POSITIVEID CORPORATION COMMON STOCK S		-3,850.00	-200.00	0.00	-200.00	50.0	-100.00 C
10/17/2017	75501468 HAUSHALTER, HARRY	POSITIVEID CORPORATION COMMON STOCK B		3,850.00	185.00	0.00	185.00	50.0	92.50
10/24/2017	75501468 HAUSHALTER, HARRY	PATIENT ACCESS SOLUTIONS INC COM NE B		4,435.50	20.00	0.00	20.00	50.0	0.00
10/24/2017	75501468 HAUSHALTER, HARRY	PATIENT ACCESS SOLUTIONS INC COM NE S		-4,435.50	-20.00	0.00	-20.00	50.0	0.00 C
10/24/2017	75501468 HAUSHALTER, HARRY	PATIENT ACCESS SOLUTIONS INC COM NE B		4,435.50	200.00	0.00	200.00	50.0	100.00
10/04/2017	75501469 SKROCKI, RICHARD	LMP CAPITAL AND INCOME FUND INC	B	1,888.46	75.00	0.00	75.00	50.0	37.50
10/04/2017	75501470 SKROCKI, RICHARD	PROSPECT CAPITAL CORPORATION	B	1,216.19	60.81	0.00	60.81	50.0	30.41
10/04/2017	75501472 SKROCKI, RICHARD	ARLINGTON ASSET INVESTMENT CORP CL- B		1,855.51	75.00	0.00	75.00	50.0	37.50
10/04/2017	75501472 SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B		1,792.63	85.00	0.00	85.00	50.0	42.50
* STOCKS SUBTOTAL *				\$232,041.79	\$2,260.81	\$0.00	\$2,260.81		\$1,130.41
<u>PRODUCT CATEGORY: OPTIONS</u>									
10/26/2017	75501378 BANDLER, LIONEL	CALL AEM 11/17/17 48	S	730.00	55.00	0.00	55.00	50.0	27.50
* OPTIONS SUBTOTAL *				\$730.00	\$55.00	\$0.00	\$55.00		\$27.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/10/2017	75501457 CANIZARES, JORGE	MFS VALUE FUND-A	B	0.00	0.01	0.00	0.01	50.0	0.00
10/10/2017	75501472 SKROCKI, RICHARD	LORD ABBETT NEW JERSEY TAX FREE INC B		0.00	9.68	0.00	9.68	50.0	4.84
10/10/2017	75501489 CONLON, ITA	FRANKLIN NEW YORK TAX-FREE INCOME F B		0.00	15.93	0.00	15.93	50.0	7.97

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/10/2017	75501489	CONLON, ITA	ROCHESTER FUND MUNICIPALS A	B	0.00	24.86	0.00	24.86	50.0	12.43
10/10/2017	75501492	VECKER, LAWRENCE	**VOYA SER FD INC MIDCAP	B	0.00	3.01	0.00	3.01	50.0	1.51
10/10/2017	75501530	GREENE, HADLEY	CALAMOS INVT TR NEW CONV FD CL C	B	0.00	77.47	0.00	77.47	50.0	38.74
10/10/2017	75501530	GREENE, HADLEY	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	20.85	0.00	20.85	50.0	10.43
10/10/2017	75501530	GREENE, HADLEY	LORD ABBETT SECS TR VALUE OPPTYS FD B	B	0.00	5.76	0.00	5.76	50.0	2.88
10/10/2017	75501530	GREENE, HADLEY	PIM 72200Q273	B	0.00	15.66	0.00	15.66	50.0	7.83
10/10/2017	75501530	GREENE, HADLEY	PIMCO LOW DURATION FUND-CL C	B	0.00	21.59	0.00	21.59	50.0	10.80
10/10/2017	75501909	DERBY, ROSEMARIE	PUTNAM NEW OPPORTUNITIES FUND CLASS B	B	0.00	0.83	0.00	0.83	50.0	0.00
10/10/2017	75501931	MELANSON, MARK	BOND-DEBENTURE FUND CLASS A	B	0.00	3.39	0.00	3.39	50.0	1.70
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$199.04	\$0.00	\$199.04		\$99.13
*** BROKER TRANSACTIONS TOTAL ***					\$232,771.79	\$2,514.85	\$0.00	\$2,514.85		\$1,257.04

BROKER COMMISSION TOTALS

Broker Transactions	\$1,257.04
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	\$-3.14
SIPC Assessment	\$-6.29

Check Amount	\$1,247.61
Year-to-date Earnings	\$3,622.04