

## COMMISSION STATEMENT

January 31, 2018

WILLIAM BEHRENS  
350 Grovers Avenue

BROKER #: 73  
BRANCH: HOME OFFICE

Bridgeport, CT 06605-

## 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: MUTUAL FUNDS										
01/16/2018	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC S	7,100.00	0.00	0.00	0.00	70.0	0.00	
* MUTUAL FUNDS SUBTOTAL *				\$7,100.00	\$0.00	\$0.00	\$0.00		\$0.00	
PRODUCT CATEGORY: STOCKS										
01/18/2018	75501346	BEHRENS, WILLIAM	ORIGIN AGRITECH LIMITED	B	1,422.00	25.00	0.00	25.00	70.0	0.00
12/28/2017	75501355	BEHRENS, WILLIAM	CALUMET SPECIALTY PRODS PARTNERS L S	S	7,925.00	55.00	0.00	55.00	70.0	38.50
01/03/2018	75501355	BEHRENS, WILLIAM	CLEVELAND CLIFFS INC COM	B	7,798.60	55.00	0.00	55.00	70.0	38.50
01/24/2018	75501355	BEHRENS, WILLIAM	OCWEN FINANCIAL CORPORATION	B	3,255.00	60.00	0.00	60.00	70.0	42.00
01/16/2018	75501360	BEHRENS, MICHAEL	BANK OF NOVA SCOTIA	B	32,910.00	75.00	0.00	75.00	70.0	52.50
01/16/2018	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	S	16,623.10	125.00	0.00	125.00	70.0	87.50
01/19/2018	75501360	BEHRENS, MICHAEL	FREEPORT MCMORAN INC	S	27,000.00	532.92	0.00	532.92	70.0	373.04
01/19/2018	75501360	BEHRENS, MICHAEL	FREEPORT MCMORAN INC	B	-27,000.00	-532.92	0.00	-532.92	70.0	-373.04
01/19/2018	75501360	BEHRENS, MICHAEL	FREEPORT MCMORAN INC	S	27,000.00	150.00	0.00	150.00	70.0	105.00
01/23/2018	75501360	BEHRENS, MICHAEL	GAMESTOP CORP NEW CLASS A	S	17,301.50	75.00	0.00	75.00	70.0	52.50
01/23/2018	75501360	BEHRENS, MICHAEL	WALT DISNEY CO	B	55,129.50	150.00	0.00	150.00	70.0	105.00
01/03/2018	75501361	BEHRENS, MICHAEL	CLEVELAND CLIFFS INC COM	B	7,670.00	150.00	0.00	150.00	70.0	105.00
01/03/2018	75501361	BEHRENS, MICHAEL	NL INDUSTRIES INC NEW	S	13,200.00	150.00	0.00	150.00	70.0	105.00
01/09/2018	75501362	BEHRENS, DEIRDRE	ENERGY TRANSFER PARTNERS L P	B	9,669.50	75.00	0.00	75.00	70.0	52.50
01/17/2018	75501362	BEHRENS, DEIRDRE	CELESTICA INC	B	6,706.20	75.00	0.00	75.00	70.0	52.50
01/11/2018	75501367	MICHAEL TEAHAN JR TR	APPLE INC	S	7,871.40	100.00	0.00	100.00	70.0	70.00
01/25/2018	75501367	MICHAEL TEAHAN JR TR	LRAD CORPORATION	S	5,809.00	100.00	0.00	100.00	70.0	70.00
01/03/2018	75501394	ALBERT E HAVERKAMP	CLEVELAND CLIFFS INC COM	B	11,697.90	150.00	0.00	150.00	70.0	105.00
01/09/2018	75501394	ALBERT E HAVERKAMP	ENERGY TRANSFER PARTNERS L P	B	19,330.00	150.00	0.00	150.00	70.0	105.00
01/19/2018	75501394	ALBERT E HAVERKAMP	CTS CORP W/RTS TO PUR NOTES UNDER C B	B	13,525.00	100.00	0.00	100.00	70.0	70.00
01/19/2018	75501394	ALBERT E HAVERKAMP	GAMESTOP CORP NEW CLASS A	S	17,883.00	60.00	0.00	60.00	70.0	42.00
01/22/2018	75501421	HAVERKAMP, LESLIE	CA INC	S	413.88	1.00	0.00	1.00	70.0	0.00
01/16/2018	75501500	STREUSAND, DOUGLAS	WISDOMTREE TRUST U S QUALITY DIVIDE B	B	1,943.10	25.00	0.00	25.00	70.0	0.00
* STOCKS SUBTOTAL *				\$285,083.68	\$1,906.00	\$0.00	\$1,906.00		\$1,298.50	

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 TRANSACTIONS

PRODUCT CATEGORY: BONDS

01/26/2018	75501360	BEHRENS, MICHAEL	MORGAN STANLEY TGT CPN 12 LINKED TO B	36,250.00	562.50	0.00	562.50	70.0	393.75
* BONDS SUBTOTAL *				\$36,250.00	\$562.50	\$0.00	\$562.50		\$393.75

PRODUCT CATEGORY: OPTIONS

01/24/2018	75501355	BEHRENS, WILLIAM	CALL OCN 03/16/18 3.50 B	500.00	50.00	0.00	50.00	70.0	35.00
* OPTIONS SUBTOTAL *				\$500.00	\$50.00	\$0.00	\$50.00		\$35.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/10/2018	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B	0.00	120.38	0.00	120.38	70.0	84.27
01/10/2018	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B	0.00	21.49	0.00	21.49	70.0	15.04
01/10/2018	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B	0.00	24.30	0.00	24.30	70.0	17.01
01/10/2018	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C B	0.00	3.82	0.00	3.82	70.0	2.67
01/26/2018	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER B	0.00	0.51	0.00	0.51	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$170.50	\$0.00	\$170.50		\$118.99
*** BROKER TRANSACTIONS TOTAL ***				\$328,933.68	\$2,689.00	\$0.00	\$2,689.00		\$1,846.24

BROKER COMMISSION TOTALS

Broker Transactions	\$1,846.24
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	\$-3.36
SIPC Assessment	\$-6.72

Check Amount	\$1,836.16
Year-to-date Earnings	\$1,836.16