

COMMISSION STATEMENT

August 31, 2018

WILLIAM BEHRENS
350 Grovers Avenue

BROKER #: W02
BRANCH: FULCRUM GROUP

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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
08/06/2018	75501360 BEHRENS, MICHAEL	DEVON ENERGY CORPORATION NEW	B	21,968.50	125.00	0.00	125.00	70.0	87.50
08/06/2018	75501360 BEHRENS, MICHAEL	WHITING PETROLEUM CORPORATION COMMO	S	48,282.50	250.00	0.00	250.00	70.0	175.00
08/09/2018	75501360 BEHRENS, MICHAEL	BANK OF NOVA SCOTIA	B	29,504.46	100.00	0.00	100.00	70.0	70.00
08/09/2018	75501360 BEHRENS, MICHAEL	GRAFTECH INTL LTD COM	B	20,000.00	0.00	0.00	0.00	70.0	0.00
08/09/2018	75501360 BEHRENS, MICHAEL	TRANSOCEAN LTD US LISTED	S	12,345.00	100.00	0.00	100.00	70.0	70.00
08/10/2018	75501360 BEHRENS, MICHAEL	TRANSOCEAN LTD US LISTED	S	12,321.50	125.00	0.00	125.00	70.0	87.50
08/14/2018	75501360 BEHRENS, MICHAEL	HALLADOR ENERGY COMPANY COM	S	6,426.30	75.00	0.00	75.00	70.0	52.50
08/21/2018	75501360 BEHRENS, MICHAEL	AT&T INC	B	33,465.01	125.00	0.00	125.00	70.0	87.50
08/21/2018	75501360 BEHRENS, MICHAEL	HALLADOR ENERGY COMPANY COM	S	6,190.10	75.00	0.00	75.00	70.0	52.50
08/27/2018	75501360 BEHRENS, MICHAEL	ARBOR REALTY TRUST INC	B	12,098.80	75.00	0.00	75.00	70.0	52.50
08/27/2018	75501360 BEHRENS, MICHAEL	ARBOR REALTY TRUST INC	B	12,098.70	100.00	0.00	100.00	70.0	70.00
08/28/2018	75501360 BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT	S	31,508.46	125.00	0.00	125.00	70.0	87.50
08/28/2018	75501360 BEHRENS, MICHAEL	UNIVERSAL DISPLAY CORPORATION	B	57,500.00	150.00	0.00	150.00	70.0	105.00
08/27/2018	75501361 BEHRENS, MICHAEL	ARBOR REALTY TRUST INC	B	12,098.70	100.00	0.00	100.00	70.0	70.00
08/27/2018	75501361 BEHRENS, MICHAEL	ARBOR REALTY TRUST INC	S	-12,098.70	-100.00	0.00	-100.00	70.0	-70.00 C
08/06/2018	75501362 BEHRENS, DEIRDRE	PROSPECT CAPITAL CORPORATION	S	5,515.20	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501362 BEHRENS, DEIRDRE	REGIONS FINANCIAL CORP	B	7,755.20	120.00	0.00	120.00	70.0	84.00
08/06/2018	75501367 MICHAEL TEAHAN JR TR	APPLE INC	S	5,204.75	105.00	0.00	105.00	70.0	73.50
08/23/2018	75501367 MICHAEL TEAHAN JR TR	OPKO HEALTH INC	S	5,794.00	150.00	0.00	150.00	70.0	105.00
08/03/2018	75501378 BANDLER, LIONEL	3M COMPANY	S	200,000.00	55.00	0.00	55.00	70.0	38.50
08/09/2018	75501378 BANDLER, LIONEL	CORNING INC	S	2,800.00	79.07	0.00	79.07	70.0	55.35
08/09/2018	75501378 BANDLER, LIONEL	CORNING INC	B	-2,800.00	-79.07	0.00	-79.07	70.0	-55.35 C
08/09/2018	75501378 BANDLER, LIONEL	CORNING INC	S	2,800.00	55.00	0.00	55.00	70.0	38.50
08/10/2018	75501378 BANDLER, LIONEL	CORNING INC	S	81,200.00	973.46	0.00	973.46	70.0	681.42
08/10/2018	75501378 BANDLER, LIONEL	CORNING INC	B	-81,200.00	-973.46	0.00	-973.46	70.0	-681.42 C
08/10/2018	75501378 BANDLER, LIONEL	CORNING INC	S	81,200.00	55.00	0.00	55.00	70.0	38.50
08/17/2018	75501378 BANDLER, LIONEL	FEDEX CORP	S	95,000.00	55.00	0.00	55.00	70.0	38.50
08/06/2018	75501394 ALBERT E HAVERKAMP	FLEX LTD ORDINARY SHARES	S	21,124.50	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501394 ALBERT E HAVERKAMP	SMART SAND INC COM	B	7,872.45	125.00	0.00	125.00	70.0	87.50
08/09/2018	75501394 ALBERT E HAVERKAMP	APPLE INC	S	200,000.00	1,050.00	0.00	1,050.00	70.0	735.00
08/10/2018	75501394 ALBERT E HAVERKAMP	LAM RESEARCH CORP	B	53,971.86	200.00	0.00	200.00	70.0	140.00

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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

08/10/2018	75501394	ALBERT E HAVERKAMP	TRANSOCEAN LTD US LISTED	S	12,296.07	125.00	0.00	125.00	70.0	87.50
08/15/2018	75501394	ALBERT E HAVERKAMP	LAM RESEARCH CORP	B	34,513.98	100.00	0.00	100.00	70.0	70.00
08/23/2018	75501394	ALBERT E HAVERKAMP	ALPHABET INC CLASS A COMMON STOCK	B	61,545.94	150.00	0.00	150.00	70.0	105.00
* STOCKS SUBTOTAL *					<u>\$1,098,303.28</u>	<u>\$3,920.00</u>	<u>\$0.00</u>	<u>\$3,920.00</u>		<u>\$2,744.00</u>

PRODUCT CATEGORY: OPTIONS

08/27/2018	75501355	BEHRENS, WILLIAM	CALL ABR 01/18/19 12.50	B	1,000.00	75.00	0.00	75.00	70.0	52.50
08/08/2018	75501360	BEHRENS, MICHAEL	CALL FB 08/17/18 175	S	10,220.00	150.00	0.00	150.00	70.0	105.00
08/08/2018	75501360	BEHRENS, MICHAEL	PUT LOW 10/19/18 97.50	B	6,000.00	100.00	0.00	100.00	70.0	70.00
08/15/2018	75501360	BEHRENS, MICHAEL	CALL LRCX 09/21/18 195	B	1,170.00	75.00	0.00	75.00	70.0	52.50
08/15/2018	75501360	BEHRENS, MICHAEL	CALL SPY 01/20/17 222	B	6,660.00	100.00	0.00	100.00	70.0	70.00
08/15/2018	75501360	BEHRENS, MICHAEL	PUT LOW 10/19/18 97.50	S	9,140.00	120.00	0.00	120.00	70.0	84.00
08/06/2018	75501378	BANDLER, LIONEL	CALL DWDP 09/14/18 68.50	S	2,360.00	55.00	0.00	55.00	70.0	38.50
08/27/2018	75501394	ALBERT E HAVERKAMP	CALL ABR 01/18/19 12.50	B	1,000.00	100.00	0.00	100.00	70.0	70.00
* OPTIONS SUBTOTAL *					<u>\$37,550.00</u>	<u>\$775.00</u>	<u>\$0.00</u>	<u>\$775.00</u>		<u>\$542.50</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/31/2018		FEE COUNT - 6			0.00	164.04	0.00	164.04	70.0	114.48
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					<u>\$0.00</u>	<u>\$164.04</u>	<u>\$0.00</u>	<u>\$164.04</u>		<u>\$114.48</u>
*** BROKER TRANSACTIONS TOTAL ***					<u>\$1,135,853.28</u>	<u>\$4,859.04</u>	<u>\$0.00</u>	<u>\$4,859.04</u>		<u>\$3,400.98</u>

ADJUSTMENTS

08/31/2018		MISCELLANEOUS: AUG W/O 75501476			0.00	0.00	0.00	0.00		-2.00
08/31/2018		MISCELLANEOUS: AUG W/O 75501353			0.00	0.00	0.00	0.00		-2.00
08/31/2018		COMMISSION INCOME: EAF SECONDARY			0.00	0.00	0.00	0.00		70.88
*** ADJUSTMENTS TOTAL ***					<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$66.88</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,400.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$66.88
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.07
SIPC Assessment	\$-12.15

Check Amount	\$3,453.64
Year-to-date Earnings	\$15,875.22