

## COMMISSION STATEMENT

November 30, 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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

11/13/2017	75501355	BEHRENS, WILLIAM	ENDURANCE INTERNATIONAL GROUP HOLDI S	5,077.50	60.00	0.00	60.00	70.0	42.00
11/27/2017	75501355	BEHRENS, WILLIAM	CYMABAY THERAPEUTICS INC COM	12,994.95	60.00	0.00	60.00	70.0	42.00
11/28/2017	75501355	BEHRENS, WILLIAM	CALUMET SPECIALTY PRODS PARTNERS L B	8,275.00	45.00	0.00	45.00	70.0	0.00
10/30/2017	75501360	BEHRENS, MICHAEL	CELESTICA INC	21,252.00	75.00	0.00	75.00	70.0	52.50
11/07/2017	75501360	BEHRENS, MICHAEL	FORTINET INC	58,651.50	150.00	0.00	150.00	70.0	105.00
11/09/2017	75501360	BEHRENS, MICHAEL	AT&T INC	16,821.75	75.00	0.00	75.00	70.0	52.50
11/14/2017	75501360	BEHRENS, MICHAEL	LAM RESEARCH CORP	104,607.00	100.00	0.00	100.00	70.0	70.00
11/16/2017	75501360	BEHRENS, MICHAEL	ENTERCOM COMMUNICATIONS CORP CLASS	6,322.50	60.00	0.00	60.00	70.0	42.00
11/16/2017	75501360	BEHRENS, MICHAEL	PHILLIPS 66 COM	45,882.00	150.00	0.00	150.00	70.0	105.00
11/17/2017	75501360	BEHRENS, MICHAEL	NL INDUSTRIES INC NEW	12,600.00	175.00	0.00	175.00	70.0	122.50
11/27/2017	75501360	BEHRENS, MICHAEL	CYMABAY THERAPEUTICS INC COM	17,485.60	100.00	0.00	100.00	70.0	70.00
11/28/2017	75501360	BEHRENS, MICHAEL	LAM RESEARCH CORP	105,815.00	75.00	0.00	75.00	70.0	52.50
11/20/2017	75501362	BEHRENS, DEIRDRE	TEEKAY OFFSHORE PARTNERS LP	1,380.90	25.00	0.00	25.00	70.0	0.00
11/15/2017	75501363	KNIGHT, GARY	ENTERCOM COMMUNICATIONS CORP CLASS	6,211.79	25.00	0.00	25.00	70.0	0.00
10/30/2017	75501375	BANDLER, BABETTE	QUALCOMM INC	271.55	25.00	0.00	25.00	70.0	0.00
10/30/2017	75501375	BANDLER, BABETTE	STRATASYS LTD	243.10	25.00	0.00	25.00	70.0	0.00
10/30/2017	75501394	ALBERT E HAVERKAMP	CELESTICA INC	10,586.00	60.00	0.00	60.00	70.0	42.00
11/07/2017	75501394	ALBERT E HAVERKAMP	FORTINET INC	19,523.50	125.00	0.00	125.00	70.0	87.50
11/15/2017	75501394	ALBERT E HAVERKAMP	NL INDUSTRIES INC NEW	12,600.00	150.00	0.00	150.00	70.0	105.00
11/16/2017	75501394	ALBERT E HAVERKAMP	ENTERCOM COMMUNICATIONS CORP CLASS	6,322.50	60.00	0.00	60.00	70.0	42.00
11/27/2017	75501394	ALBERT E HAVERKAMP	CYMABAY THERAPEUTICS INC COM	8,743.30	75.00	0.00	75.00	70.0	52.50

* STOCKS SUBTOTAL *	\$481,667.44	\$1,695.00	\$0.00	\$1,695.00		\$1,085.00
---------------------	--------------	------------	--------	------------	--	------------

PRODUCT CATEGORY: OPTIONS

11/08/2017	75501378	BANDLER, LIONEL	CALL FCX	12/22/17	15	S	1,830.00	55.00	0.00	55.00	70.0	38.50
------------	----------	-----------------	----------	----------	----	---	----------	-------	------	-------	------	-------

* OPTIONS SUBTOTAL *	\$1,830.00	\$55.00	\$0.00	\$55.00		\$38.50
----------------------	------------	---------	--------	---------	--	---------

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/09/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B	0.00	120.30	0.00	120.30	70.0	84.21
11/09/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B	0.00	21.41	0.00	21.41	70.0	14.99
11/09/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B	0.00	28.20	0.00	28.20	70.0	19.74
11/09/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C B	0.00	3.83	0.00	3.83	70.0	2.68

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 FUND 12B1 TRAILS

11/24/2017 75501535 SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.47	0.00	0.47	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$174.21	\$0.00	\$174.21		\$121.62
*** BROKER TRANSACTIONS TOTAL ***			\$483,497.44	\$1,924.21	\$0.00	\$1,924.21		\$1,245.12

BROKER COMMISSION TOTALS

Broker Transactions	\$1,245.12
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	\$-2.41
SIPC Assessment	\$-4.81

Check Amount	\$1,237.90
Year-to-date Earnings	\$8,204.53