

COMMISSION STATEMENT

July 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
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
07/21/2017	75501351	BEHRENS, WILLIAM	MERIDIAN WASTE SOLUTIONS INC COMMON B	1,022.71	60.00	0.00	60.00	70.0	42.00
07/24/2017	75501355	BEHRENS, WILLIAM	CYMABAY THERAPEUTICS INC COM B	11,922.45	60.00	0.00	60.00	70.0	42.00
07/24/2017	75501355	BEHRENS, WILLIAM	THERAPEUTICSMD INC B	5,898.80	60.00	0.00	60.00	70.0	42.00
06/30/2017	75501360	BEHRENS, MICHAEL	UNIVERSAL DISPLAY CORPORATION B	55,200.00	75.00	0.00	75.00	70.0	52.50
07/10/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	21,168.00	75.00	0.00	75.00	70.0	52.50
07/11/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	26,270.80	75.00	0.00	75.00	70.0	52.50
07/12/2017	75501360	BEHRENS, MICHAEL	LEGACY RESERVES LP UNIT REPRESENTIN S	1,303.00	60.00	0.00	60.00	70.0	42.00
07/14/2017	75501360	BEHRENS, MICHAEL	MYND ANALYTICS INC COMMON STOCK B	12,974.24	0.00	0.00	0.00	70.0	0.00
07/14/2017	75501360	BEHRENS, MICHAEL	WTS MYND ANALYTICS INC WARRANT B	24.76	0.00	0.00	0.00	70.0	0.00
07/17/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	26,088.00	75.00	0.00	75.00	70.0	52.50
07/20/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	35,052.00	75.00	0.00	75.00	70.0	52.50
07/24/2017	75501360	BEHRENS, MICHAEL	CYMABAY THERAPEUTICS INC COM B	15,891.40	125.00	0.00	125.00	70.0	87.50
07/24/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	17,586.48	75.00	0.00	75.00	70.0	52.50
07/25/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	26,469.37	75.00	0.00	75.00	70.0	52.50
07/26/2017	75501360	BEHRENS, MICHAEL	NUVEEN SHORT DURATION CREDIT OPPORT S	26,551.95	75.00	0.00	75.00	70.0	52.50
06/29/2017	75501363	KNIGHT, GARY	STAPLES INC S	5,567.65	55.00	0.00	55.00	70.0	38.50
06/28/2017	75501366	FARRELL, JOHANNA	BANK NEW YORK MELLON CORP S	456.12	10.00	0.00	10.00	70.0	0.00
06/28/2017	75501366	FARRELL, JOHANNA	CA INC S	174.45	10.00	0.00	10.00	70.0	0.00
07/25/2017	75501367	MICHAEL TEAHAN JR TR	CALAMOS DYNAMIC CONVERTIBLE & INCOM S	10,429.50	75.00	0.00	75.00	70.0	52.50
07/11/2017	75501377	STEINBERG, SHOSHANA	ENERGY TRANSFER PARTNERS L P B	20,000.00	55.00	0.00	55.00	70.0	38.50
06/28/2017	75501378	BANDLER, LIONEL	COVANTA HOLDING CORPORATION S	20,325.00	55.00	0.00	55.00	70.0	38.50
06/28/2017	75501378	BANDLER, LIONEL	INDEPENDENCE HOLDING CO NEW S	20,650.00	55.00	0.00	55.00	70.0	38.50
07/10/2017	75501378	BANDLER, LIONEL	ENERGY TRANSFER PARTNERS L P B	24,056.40	55.00	0.00	55.00	70.0	38.50
07/11/2017	75501379	BANDLER, JAMES	ENERGY TRANSFER PARTNERS L P B	10,000.00	55.00	0.00	55.00	70.0	38.50
07/14/2017	75501394	ALBERT E HAVERKAMP	MYND ANALYTICS INC COMMON STOCK B	9,730.68	0.00	0.00	0.00	70.0	0.00
07/14/2017	75501394	ALBERT E HAVERKAMP	WTS MYND ANALYTICS INC WARRANT B	18.57	0.00	0.00	0.00	70.0	0.00
07/24/2017	75501394	ALBERT E HAVERKAMP	CYMABAY THERAPEUTICS INC COM B	7,946.60	75.00	0.00	75.00	70.0	52.50
07/05/2017	75501500	STREUSAND, DOUGLAS	INTEL CORP B	5,498.66	75.00	0.00	75.00	70.0	52.50
* STOCKS SUBTOTAL *				\$418,277.59	\$1,540.00	\$0.00	\$1,540.00		\$1,064.00

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BROKER TRANSACTIONS

PRODUCT CATEGORY: OPTIONS

07/03/2017	75501355	BEHRENS, WILLIAM	CALL SPY	01/20/17	222	B	675.00	75.00	0.00	75.00	70.0	52.50
* OPTIONS SUBTOTAL *							\$675.00	\$75.00	\$0.00	\$75.00		\$52.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/12/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F B				0.00	115.58	0.00	115.58	70.0	80.91
07/12/2017	75501360	BEHRENS, MICHAEL	LORD ABBETT MULTI ASSET INCOME FUND B				0.00	20.36	0.00	20.36	70.0	14.25
07/12/2017	75501394	ALBERT E HAVERKAMP	LORD ABBETT CALIFORNIA TAX FREE INC B				0.00	27.06	0.00	27.06	70.0	18.94
07/12/2017	75501466	CARTOZIAN, JANET	LOOMIS SAYLES STRTEGC INC FD CL C B				0.00	3.66	0.00	3.66	70.0	2.56
07/26/2017	75501535	SCARPELLI, CONNIE	**VICTORY PORTFOLIOS MUNDER				0.00	0.42	0.00	0.42	70.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *							\$0.00	\$167.08	\$0.00	\$167.08		\$116.66
*** BROKER TRANSACTIONS TOTAL ***							\$418,952.59	\$1,782.08	\$0.00	\$1,782.08		\$1,233.16

BROKER COMMISSION TOTALS

Broker Transactions	\$1,233.16
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	\$-2.23
SIPC Assessment	\$-4.46

Check Amount	\$1,226.47
Year-to-date Earnings	\$2,926.58