

## COMMISSION STATEMENT

January 01, 2017

WILLIAM BEHRENS

183 GRIFFEN AVENUE

SCARSDALE, NY 10583

BROKER #: 72

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

11/28/2016	75599825	BANDLER, LIONEL	KKR & CO L P DEL COM UNITS	B	23,265.00	55.00	0.00	55.00	70.0	38.50
11/29/2016	75599825	BEHRENS, WILLIAM	FRONTIER COMMUNICATIONS CORP	S	3,701.00	60.00	0.00	60.00	70.0	42.00
11/29/2016	75599825	ALBERT E HAVERKAMP	FRONTIER COMMUNICATIONS CORP	S	3,701.50	60.00	0.00	60.00	70.0	42.00
12/01/2016	75599825	BEHRENS, WILLIAM	WEBMD HEALTH CORP	B	5,245.02	60.00	0.00	60.00	70.0	42.00
12/06/2016	75599825	BEHRENS, WILLIAM	OPKO HEALTH INC	B	5,510.00	55.00	0.00	55.00	70.0	38.50
12/08/2016	75599825	BANDLER, LIONEL	TEJON RANCH CO	S	13,845.00	55.00	0.00	55.00	70.0	38.50
12/09/2016	75599825	ALBERT E HAVERKAMP	ARBOR REALTY TRUST INC	S	3,755.75	60.00	0.00	60.00	70.0	42.00
12/14/2016	75599825	BANDLER, LIONEL	VOYA GLOBAL ADVANTAGE AND PREMIUM O S	S	34,040.00	61.00	0.00	61.00	70.0	42.70
12/15/2016	75599825	BANDLER, LIONEL	AGNICO-EAGLE MINES LTD	B	17,910.00	55.00	0.00	55.00	70.0	38.50
12/15/2016	75599825	BEHRENS, MICHAEL	ENERGY TRANSFER PARTNERS L P COMMON B	S	33,856.00	150.00	0.00	150.00	70.0	105.00
12/15/2016	75599825	BEHRENS, WILLIAM	ORIGIN AGRITECH LIMITED	B	2,440.00	75.00	0.00	75.00	70.0	52.50
12/15/2016	75599825	BANDLER, LIONEL	SUNOPTA INC COM ISIN#CA8676EP1086	S	1,120.00	55.00	0.00	55.00	70.0	38.50
12/19/2016	75599825	BEHRENS, WILLIAM	SYNTHETIC BIOLOGICS INC	B	860.00	60.00	0.00	60.00	70.0	42.00
12/20/2016	75599825	BANDLER, LIONEL	KKR & CO L P DEL COM UNITS	S	25,414.50	55.00	0.00	55.00	70.0	38.50
12/20/2016	75599825	ALBERT E HAVERKAMP	WELLS FARGO & CO	S	27,763.00	200.00	0.00	200.00	70.0	140.00
12/23/2016	75599825	BEHRENS, MICHAEL	WHITING PETROLEUM CORPORATION	B	3,701.52	115.00	0.00	115.00	70.0	80.50
12/23/2016	75599825	BEHRENS, DEIRDRE	WHITING PETROLEUM CORPORATION	B	6,174.15	175.00	0.00	175.00	70.0	122.50
12/27/2016	75599825	STEINBERG, SHOSHANA	SOUTHERN CO	B	24,660.00	61.00	0.00	61.00	70.0	42.70
12/27/2016	75599825	BANDLER, LIONEL	SOUTHERN CO	B	49,320.00	61.00	0.00	61.00	70.0	42.70
* STOCKS SUBTOTAL *					<u>\$286,282.44</u>	<u>\$1,528.00</u>	<u>\$0.00</u>	<u>\$1,528.00</u>		<u>\$1,069.60</u>

PRODUCT CATEGORY: BONDS

12/12/2016	75599825	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	19,934.78	0.00	0.00	0.00	70.0	0.00
12/19/2016	75599825	PINSKY, IRWIN	UNITED STATES TREASURY BILL RE-ISSU S	S	12,968.15	25.00	0.00	25.00	70.0	17.50
* BONDS SUBTOTAL *					<u>\$32,902.93</u>	<u>\$25.00</u>	<u>\$0.00</u>	<u>\$25.00</u>		<u>\$17.50</u>

PRODUCT CATEGORY: OPTIONS

12/01/2016	75599825	BEHRENS, WILLIAM	CALL BABA 01/20/17 100	B	1,060.00	60.00	0.00	60.00	70.0	42.00
12/21/2016	75599825	BEHRENS, MICHAEL	CALL ADP 05/19/17 110	S	790.00	75.00	0.00	75.00	70.0	52.50
* OPTIONS SUBTOTAL *					<u>\$1,850.00</u>	<u>\$135.00</u>	<u>\$0.00</u>	<u>\$135.00</u>		<u>\$94.50</u>
*** BROKER TRANSACTIONS TOTAL ***					<u>\$321,035.37</u>	<u>\$1,688.00</u>	<u>\$0.00</u>	<u>\$1,688.00</u>		<u>\$1,181.60</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,181.60
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	\$-2.11
SIPC Assessment	\$-31.65

<b>Check Amount</b>	<b>\$1,147.84</b>
<b>Year-to-date Earnings</b>	<b>\$1,147.84</b>