

COMMISSION STATEMENT

October 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

10/01/2018	75501355	BEHRENS, WILLIAM		CYPRESS SEMICONDUCTOR CORP	S	1,461.37	20.00	0.00	20.00	70.0	0.00
10/03/2018	75501355	BEHRENS, WILLIAM		BLACKROCK MUNIHOLDINGS INVT QUALITY	S	6,181.39	55.00	0.00	55.00	70.0	38.50
10/03/2018	75501360	BEHRENS, MICHAEL		GARRETT MOTION INC COMMON STOCK	S	834.50	55.00	0.00	55.00	70.0	38.50
10/09/2018	75501360	BEHRENS, MICHAEL		FIRST DATA CORP NEW COM CL A	S	35,798.10	150.00	0.00	150.00	70.0	105.00
10/10/2018	75501360	BEHRENS, MICHAEL		SIERRA BANCORP	S	28,181.65	75.00	0.00	75.00	70.0	52.50
10/16/2018	75501360	BEHRENS, MICHAEL		CLEVELAND CLIFFS INC COM	S	29,475.25	200.00	0.00	200.00	70.0	140.00
10/16/2018	75501360	BEHRENS, MICHAEL		FLEX LTD ORDINARY SHARES	S	24,300.20	60.00	0.00	60.00	70.0	42.00
10/16/2018	75501360	BEHRENS, MICHAEL		RADIAN GROUP INC COM	B	28,735.94	125.00	0.00	125.00	70.0	87.50
10/22/2018	75501360	BEHRENS, MICHAEL		BLUE BIRD CORPORATION COM	S	1,772.68	20.00	0.00	20.00	70.0	0.00
10/16/2018	75501361	BEHRENS, MICHAEL		CLEVELAND CLIFFS INC COM	S	11,790.10	125.00	0.00	125.00	70.0	87.50
10/18/2018	75501361	BEHRENS, MICHAEL		ARBOR REALTY TRUST INC	B	5,992.50	60.00	0.00	60.00	70.0	42.00
10/22/2018	75501361	BEHRENS, MICHAEL		FLEX LTD ORDINARY SHARES	S	4,704.92	75.00	0.00	75.00	70.0	52.50
10/25/2018	75501361	BEHRENS, MICHAEL		FLEX LTD ORDINARY SHARES	S	2,196.20	55.00	0.00	55.00	70.0	38.50
10/29/2018	75501361	BEHRENS, MICHAEL		ARBOR REALTY TRUST INC	B	5,954.45	60.00	0.00	60.00	70.0	42.00
10/16/2018	75501362	BEHRENS, DEIRDRE		CLEVELAND CLIFFS INC COM	S	11,790.10	125.00	0.00	125.00	70.0	87.50
10/18/2018	75501362	BEHRENS, DEIRDRE		ARBOR REALTY TRUST INC	B	5,994.30	60.00	0.00	60.00	70.0	42.00
10/22/2018	75501362	BEHRENS, DEIRDRE		FLEX LTD ORDINARY SHARES	S	5,886.90	75.00	0.00	75.00	70.0	52.50
10/25/2018	75501362	BEHRENS, DEIRDRE		FLEX LTD ORDINARY SHARES	S	2,745.90	55.00	0.00	55.00	70.0	38.50
10/29/2018	75501362	BEHRENS, DEIRDRE		ENERGY TRANSFER EQUITY L P COMMON U B		5,489.06	60.00	0.00	60.00	70.0	42.00
10/02/2018	75501363	KNIGHT, GARY		BLUE BIRD CORPORATION COM	B	2,476.92	20.00	0.00	20.00	70.0	0.00
10/22/2018	75501363	KNIGHT, GARY		BLUE BIRD CORPORATION COM	S	1,777.23	15.00	0.00	15.00	70.0	0.00
09/27/2018	75501367	MICHAEL TEAHAN JR TR		APPLE INC	S	12,393.71	60.00	0.00	60.00	70.0	42.00
10/26/2018	75501372	BANDLER, BABETTE		NUVEEN PREFERRED INCOME OPPORTUNITI B		15,000.20	22.48	0.00	22.48	70.0	0.00
09/28/2018	75501376	BANDLER, LIONEL		CAPSTEAD MTG CORP COM NO PAR	S	47,640.00	55.00	0.00	55.00	70.0	38.50
10/25/2018	75501377	STEINBERG, SHOSHANA		3M COMPANY	B	92,500.00	55.00	0.00	55.00	70.0	38.50
10/18/2018	75501378	BANDLER, LIONEL		DOWDUPONT INC COMMON STOCK	B	118,200.00	55.00	0.00	55.00	70.0	38.50
10/25/2018	75501378	BANDLER, LIONEL		3M COMPANY	B	92,500.00	55.00	0.00	55.00	70.0	38.50
10/19/2018	75501379	BANDLER, JAMES		DOWDUPONT INC COMMON STOCK	B	23,064.00	55.00	0.00	55.00	70.0	38.50
10/16/2018	75501394	ALBERT E HAVERKAMP		CLEVELAND CLIFFS INC COM	S	17,685.15	150.00	0.00	150.00	70.0	105.00
10/16/2018	75501394	ALBERT E HAVERKAMP		SECUREWORKS CORP CL A COM	B	14,390.00	125.00	0.00	125.00	70.0	87.50
10/22/2018	75501394	ALBERT E HAVERKAMP		BLUE BIRD CORPORATION COM	S	1,776.32	20.00	0.00	20.00	70.0	0.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
10/23/2018	75501394	ALBERT E HAVERKAMP	ALPHABET INC CLASS A COMMON STOCK	B	27,600.00	125.00	0.00	125.00	70.0	87.50
10/16/2018	75502179	BATOW CREEK PARTNERS	TELENAV INC	S	3,682.48	25.00	0.00	25.00	70.0	0.00
10/24/2018	75502179	BATOW CREEK PARTNERS	CYNERGISTEK INC COM	B	2,929.73	25.00	0.00	25.00	70.0	0.00
* STOCKS SUBTOTAL *					\$692,901.25	\$2,372.48	\$0.00	\$2,372.48		\$1,543.50
PRODUCT CATEGORY: BONDS										
10/01/2018	75501433	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	92,890.36	0.00	0.00	0.00	70.0	0.00
10/01/2018	75501435	PINSKY, SHIRLEY	UNITED STATES TREASURY BILL	B	161,075.83	0.00	0.00	0.00	70.0	0.00
10/01/2018	75501436	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	157,123.05	0.00	0.00	0.00	70.0	0.00
10/01/2018	75501437	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	157,123.05	0.00	0.00	0.00	70.0	0.00
10/01/2018	75501437	PINSKY, IRWIN	UNITED STATES TREASURY BILL	S	-157,123.00	0.00	0.00	0.00	70.0	0.00
10/01/2018	75501437	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	79,055.62	0.00	0.00	0.00	70.0	0.00
* BONDS SUBTOTAL *					\$490,144.91	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: OPTIONS										
10/22/2018	75501378	BANDLER, LIONEL	CALL SPY 01/20/17 222	S	2,180.00	55.00	0.00	55.00	70.0	38.50
10/25/2018	75501378	BANDLER, LIONEL	CALL MMM 11/23/18 190	S	1,950.00	55.00	0.00	55.00	70.0	38.50
10/29/2018	75501378	BANDLER, LIONEL	CALL SLB 11/30/18 53	S	2,000.00	55.00	0.00	55.00	70.0	38.50
10/30/2018	75501378	BANDLER, LIONEL	CALL WY 11/30/18 27	S	700.00	55.00	0.00	55.00	70.0	38.50
10/17/2018	75501394	ALBERT E HAVERKAMP	CALL RDN 11/16/18 20	B	610.00	50.00	0.00	50.00	70.0	35.00
10/16/2018	75502179	BATOW CREEK PARTNERS	CALL RDN 11/16/18 20	B	645.00	30.00	0.00	30.00	70.0	0.00
* OPTIONS SUBTOTAL *					\$8,085.00	\$300.00	\$0.00	\$300.00		\$189.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
10/31/2018		FEE COUNT - 6			0.00	155.87	0.00	155.87	70.0	108.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$155.87	\$0.00	\$155.87		\$108.76
*** BROKER TRANSACTIONS TOTAL ***					\$1,191,131.16	\$2,828.35	\$0.00	\$2,828.35		\$1,841.26
ADJUSTMENTS										
10/31/2018		MISCELLANEOUS: W/O OCT 2018 7550147			0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$-2.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,841.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.54
SIPC Assessment	\$-7.07

Check Amount	\$1,828.65
Year-to-date Earnings	\$19,224.21