

COMMISSION STATEMENT

September 30, 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: MUTUAL FUNDS

09/05/2018	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F S	10,000.00	0.00	0.00	0.00	70.0	0.00
09/18/2018	75501360	BEHRENS, MICHAEL	LORD ABBETT SHORT DURATION INCOME F S	60,000.00	0.00	0.00	0.00	70.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$70,000.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

08/30/2018	75501355	BEHRENS, WILLIAM	CLEVELAND CLIFFS INC COM	S	4,862.00	60.00	0.00	60.00	70.0	42.00
09/24/2018	75501355	BEHRENS, WILLIAM	HOUSTON AMERICAN ENERGY CORP	B	1,031.50	35.00	0.00	35.00	70.0	0.00
09/05/2018	75501360	BEHRENS, MICHAEL	FORTIVE CORPORATION COM	B	8,370.44	75.00	0.00	75.00	70.0	52.50
09/10/2018	75501360	BEHRENS, MICHAEL	VEECO INSTRUMENTS INC-DEL	S	16,425.00	60.00	0.00	60.00	70.0	42.00
09/14/2018	75501360	BEHRENS, MICHAEL	BLUE BIRD CORPORATION COM	B	2,593.80	60.00	0.00	60.00	70.0	42.00
09/18/2018	75501360	BEHRENS, MICHAEL	UNIVERSAL DISPLAY CORPORATION	B	57,500.00	150.00	0.00	150.00	70.0	105.00
09/26/2018	75501360	BEHRENS, MICHAEL	DATA I O CORP COM	S	5,230.10	75.00	0.00	75.00	70.0	52.50
09/14/2018	75501378	BANDLER, LIONEL	DOWDUPONT INC COMMON STOCK	S	137,000.00	55.00	0.00	55.00	70.0	38.50
09/04/2018	75501394	ALBERT E HAVERKAMP	ALPHABET INC CLASS A COMMON STOCK	B	30,443.75	100.00	0.00	100.00	70.0	70.00
09/05/2018	75501394	ALBERT E HAVERKAMP	FORTIVE CORPORATION COM	B	8,374.40	75.00	0.00	75.00	70.0	52.50
09/14/2018	75501394	ALBERT E HAVERKAMP	BLUE BIRD CORPORATION COM	B	2,593.80	60.00	0.00	60.00	70.0	42.00
09/26/2018	75501394	ALBERT E HAVERKAMP	SIERRA BANCORP	S	14,670.34	75.00	0.00	75.00	70.0	52.50
* STOCKS SUBTOTAL *					\$289,095.13	\$880.00	\$0.00	\$880.00		\$591.50

PRODUCT CATEGORY: BONDS

08/29/2018	75501360	BEHRENS, MICHAEL	AK STEEL CORP SENIOR NOTES	S	-48,250.00	-1,000.00	0.00	-1,000.00	70.0	-700.00 C
08/29/2018	75501360	BEHRENS, MICHAEL	AK STEEL CORP SENIOR NOTES	B	48,250.00	1,000.00	0.00	1,000.00	70.0	700.00
08/29/2018	75501360	BEHRENS, MICHAEL	AK STEEL CORP SENIOR NOTES	B	48,250.00	1,000.00	0.00	1,000.00	70.0	700.00
09/17/2018	75501433	PINSKY, IRWIN	UNITED STATES TREASURY BILL	B	179,892.95	25.00	0.00	25.00	70.0	0.00
* BONDS SUBTOTAL *					\$228,142.95	\$1,025.00	\$0.00	\$1,025.00		\$700.00

PRODUCT CATEGORY: OPTIONS

09/25/2018	75501355	BEHRENS, WILLIAM	CALL CY	01/18/19	15	B	930.00	60.00	0.00	60.00	70.0	42.00
09/19/2018	75501360	BEHRENS, MICHAEL	CALL LNC	10/19/18	70	B	1,080.00	60.00	0.00	60.00	70.0	42.00
09/06/2018	75501394	ALBERT E HAVERKAMP	CALL T	10/26/18	32	B	1,900.00	60.00	0.00	60.00	70.0	42.00
* OPTIONS SUBTOTAL *							\$3,910.00	\$180.00	\$0.00	\$180.00		\$126.00

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018		FEE COUNT - 6		0.00	165.22	0.00	165.22	70.0	115.28
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$165.22	\$0.00	\$165.22		\$115.28
		*** BROKER TRANSACTIONS TOTAL ***		\$591,148.08	\$2,250.22	\$0.00	\$2,250.22		\$1,532.78

ADJUSTMENTS

09/30/2018		MISCELLANEOUS: AUG W/O 75501476		0.00	0.00	0.00	0.00		-2.00
09/30/2018		MISCELLANEOUS: AUG W/O 75501353		0.00	0.00	0.00	0.00		-2.00
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-4.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,532.78
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-4.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.81
SIPC Assessment	\$-5.63

Check Amount	\$1,520.34
Year-to-date Earnings	\$17,395.56