

COMMISSION STATEMENT

November 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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

11/06/2018 75501351	BEHRENS, WILLIAM	ATTIS INDUSTRIES INC COMMON STOCK	S	329.14	25.00	0.00	25.00	70.0	0.00
11/01/2018 75501355	BEHRENS, WILLIAM	SMART SAND INC COM	S	4,257.85	60.00	0.00	60.00	70.0	42.00
11/07/2018 75501355	BEHRENS, WILLIAM	ATTIS INDUSTRIES INC COMMON STOCK	S	442.02	20.00	0.00	20.00	70.0	0.00
11/07/2018 75501355	BEHRENS, WILLIAM	SYNTHETIC BIOLOGICS INC COMMON STOC	S	100.13	10.00	0.00	10.00	70.0	0.00
10/30/2018 75501360	BEHRENS, MICHAEL	RESIDEO TECHNOLOGIES INC COM	B	4,683.77	100.00	0.00	100.00	70.0	70.00
10/31/2018 75501360	BEHRENS, MICHAEL	DATA I O CORP COM	S	9,830.31	75.00	0.00	75.00	70.0	52.50
11/07/2018 75501360	BEHRENS, MICHAEL	ATTIS INDUSTRIES INC COMMON STOCK	S	1,112.39	55.00	0.00	55.00	70.0	38.50
11/07/2018 75501360	BEHRENS, MICHAEL	RESIDEO TECHNOLOGIES INC COM	B	4,637.40	75.00	0.00	75.00	70.0	52.50
11/20/2018 75501360	BEHRENS, MICHAEL	SECUREWORKS CORP CL A COM	B	7,749.20	75.00	0.00	75.00	70.0	52.50
11/21/2018 75501360	BEHRENS, MICHAEL	CYNERGISTEK INC COM	B	2,234.50	75.00	0.00	75.00	70.0	52.50
11/28/2018 75501360	BEHRENS, MICHAEL	GENWORTH FINANCIAL INC COM CL A	B	7,287.70	75.00	0.00	75.00	70.0	52.50
11/16/2018 75501361	BEHRENS, MICHAEL	NOKIA 654902204	B	5,826.70	100.00	0.00	100.00	70.0	70.00
11/16/2018 75501362	BEHRENS, DEIRDRE	NOKIA 654902204	B	5,825.30	100.00	0.00	100.00	70.0	70.00
11/28/2018 75501362	BEHRENS, DEIRDRE	ARBOR REALTY TRUST INC	B	6,124.35	60.00	0.00	60.00	70.0	42.00
11/28/2018 75501362	BEHRENS, DEIRDRE	CELESTICA INC	S	6,003.42	60.00	0.00	60.00	70.0	42.00
11/21/2018 75501367	MICHAEL TEAHAN JR TR	ATTIS INDUSTRIES INC COMMON STOCK	S	236.05	10.00	0.00	10.00	70.0	0.00
11/19/2018 75501372	BANDLER, BABETTE	NUVEEN PREFERRED INCOME OPPORTUNITI	B	21,681.80	55.00	0.00	55.00	70.0	38.50
11/26/2018 75501377	STEINBERG, SHOSHANA	3M COMPANY	S	100,742.60	55.00	0.00	55.00	70.0	38.50
11/26/2018 75501377	STEINBERG, SHOSHANA	FREEPORT MCMORAN INC	S	5,580.95	55.00	0.00	55.00	70.0	38.50
10/30/2018 75501378	BANDLER, LIONEL	WEYERHAEUSER CO	B	26,450.00	55.00	0.00	55.00	70.0	38.50
11/19/2018 75501378	BANDLER, LIONEL	AMGEN INC	B	97,500.00	55.00	0.00	55.00	70.0	38.50
11/20/2018 75501378	BANDLER, LIONEL	3M COMPANY	S	95,000.00	55.00	0.00	55.00	70.0	38.50
10/30/2018 75501394	ALBERT E HAVERKAMP	FREDDIE MAC 8.375% NON-CUMULATIVE P	B	5,720.00	75.00	0.00	75.00	70.0	52.50
10/30/2018 75501394	ALBERT E HAVERKAMP	TELENAV INC	S	8,545.00	75.00	0.00	75.00	70.0	52.50
11/06/2018 75501394	ALBERT E HAVERKAMP	ATTIS INDUSTRIES INC COMMON STOCK	S	555.60	25.00	0.00	25.00	70.0	0.00
11/21/2018 75501394	ALBERT E HAVERKAMP	CYNERGISTEK INC COM	B	2,233.70	75.00	0.00	75.00	70.0	52.50
11/28/2018 75501394	ALBERT E HAVERKAMP	GENWORTH FINANCIAL INC COM CL A	B	7,288.15	75.00	0.00	75.00	70.0	52.50

* STOCKS SUBTOTAL *	\$437,978.03	\$1,630.00	\$0.00	\$1,630.00	\$1,078.00
---------------------	--------------	------------	--------	------------	------------

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: OPTIONS

11/27/2018	75501355	BEHRENS, WILLIAM	CALL ABR	01/18/19	12.50	B	745.00	50.00	0.00	50.00	70.0	35.00
11/27/2018	75502179	BATOW CREEK PARTNERS	CALL ABR	01/18/19	12.50	B	625.00	45.00	0.00	45.00	70.0	0.00
* OPTIONS SUBTOTAL *							\$1,370.00	\$95.00	\$0.00	\$95.00		\$35.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/30/2018		FEE COUNT - 6					0.00	155.45	0.00	155.45	70.0	108.47
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *							\$0.00	\$155.45	\$0.00	\$155.45		\$108.47
*** BROKER TRANSACTIONS TOTAL ***							\$439,348.03	\$1,880.45	\$0.00	\$1,880.45		\$1,221.47

ADJUSTMENTS

11/30/2018		FEE ACTIVITY: FINRA CE TRACKED WEB					0.00	0.00	0.00	0.00		-55.00
11/30/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI					0.00	0.00	0.00	0.00		-2.00
11/30/2018		MWOD:MISCELLANEOUS: WRITE-OFF DEBI					0.00	0.00	0.00	0.00		-2.00
*** ADJUSTMENTS TOTAL ***							\$0.00	\$0.00	\$0.00	\$0.00		\$-59.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,221.47
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-59.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.35
SIPC Assessment	\$-4.70

Check Amount	\$1,155.42
Year-to-date Earnings	\$20,379.63