

COMMISSION STATEMENT

October 31, 2018

BILLY BEHRENS
28 Dell StreetBROKER #: W03
BRANCH: FULCRUM GROUP

Sleepy Hollow, NY 10591-

COMMISSION STATEMENT for BILLY BEHRENS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
10/10/2018	75501427	FROUXIDES, MENELAOS	DEUTSCHE FLOATING RATE FUND CL S	S	3,500.00	0.00	0.00	50.0	0.00
10/10/2018	75501427	FROUXIDES, MENELAOS	DEUTSCHE SHORT DURATION FUND CL S	S	3,500.00	0.00	0.00	50.0	0.00
10/10/2018	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL	S	3,500.00	0.00	0.00	50.0	0.00
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD EQUITY INCOME FUND	B	278,900.00	85.00	85.00	50.0	42.50
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD EQUITY INCOME FUND	S	-278,900.00	-85.00	-85.00	50.0	-42.50 C
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD EQUITY INCOME FUND	B	179,200.00	85.00	85.00	50.0	42.50
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD FIXED INCOME SECS INTER TE B	B	200,000.00	85.00	85.00	50.0	42.50
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD SHORT-TERM INVESTMENT GRAD B	B	200,000.00	85.00	85.00	50.0	42.50
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD WELLESLEY INCOME FUND INC	S	-278,900.00	-85.00	-85.00	50.0	-42.50 C
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD WELLESLEY INCOME FUND INC	B	278,900.00	85.00	85.00	50.0	42.50
10/26/2018	75502217	CAPOSSELA, THOMAS	VANGUARD WELLESLEY INCOME FUND INC	B	179,200.00	85.00	85.00	50.0	42.50
10/29/2018	75502218	SPOERLE, KATHY	VANGUARD FIXED INCOME SECS INTER TE B	B	134,000.00	85.00	85.00	50.0	42.50
10/29/2018	75502218	SPOERLE, KATHY	VANGUARD SHORT-TERM INVESTMENT GRAD B	B	134,000.00	85.00	85.00	50.0	42.50
10/29/2018	75502218	SPOERLE, KATHY	VANGUARD WELLESLEY INCOME FUND INC	B	50,000.00	85.00	85.00	50.0	42.50
* MUTUAL FUNDS SUBTOTAL *				\$1,086,900.00	\$595.00	\$0.00	\$595.00		\$297.50
<u>PRODUCT CATEGORY: STOCKS</u>									
10/08/2018	75501377	STEINBERG, SHOSHANA	CAPSTEAD MTG CORP COM NO PAR	S	15,260.00	55.00	55.00	50.0	27.50
10/12/2018	75501458	CANIZARES, JORGE	NORTHSTAR REALTY EUROPE CORP COM	S	852.07	50.00	50.00	50.0	25.00
10/11/2018	75501468	HAUSHALTER, HARRY	PACIFIC ETHANOL INC COM PAR \$.001	B	51,518.00	350.00	350.00	50.0	175.00
09/28/2018	75501469	SKROCKI, RICHARD	ARLINGTON ASSET INVESTMENT CORP CL-	S	39,353.03	250.00	250.00	50.0	125.00
09/28/2018	75501469	SKROCKI, RICHARD	LMP CAPITAL AND INCOME FUND INC	B	9,892.25	150.00	150.00	50.0	75.00
09/28/2018	75501469	SKROCKI, RICHARD	MFS INTERMEDIATE INCOME TRUST SH BE B	B	19,500.00	150.00	150.00	50.0	75.00
09/28/2018	75501469	SKROCKI, RICHARD	PROSPECT CAPITAL CORPORATION	B	9,943.63	150.00	150.00	50.0	75.00
10/22/2018	75502158	GLENNON, MICHAEL	ETF MANAGERS TR ETFMG ALTERNATIVE H B	B	5,972.03	100.00	100.00	50.0	50.00
10/22/2018	75502158	GLENNON, MICHAEL	KEYSIGHT TECHNOLOGIES INC COM	S	6,210.60	85.00	85.00	50.0	42.50
* STOCKS SUBTOTAL *				\$158,501.61	\$1,340.00	\$0.00	\$1,340.00		\$670.00
<u>PRODUCT CATEGORY: BONDS</u>									
10/11/2018	75501468	HAUSHALTER, HARRY	UNITED STATES TREASURY BILL	S	54,622.76	136.90	136.90	50.0	68.45
* BONDS SUBTOTAL *				\$54,622.76	\$136.90	\$0.00	\$136.90		\$68.45

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018		FEE COUNT - 6		0.00	50.31	0.00	50.31	50.0	25.16
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$50.31	\$0.00	\$50.31		\$25.16
		*** BROKER TRANSACTIONS TOTAL ***		\$1,300,024.37	\$2,122.21	\$0.00	\$2,122.21		\$1,061.11

ADJUSTMENTS

10/31/2018		FEE ACTIVITY: FINRA CE TRACKED WEB		0.00	0.00	0.00	0.00		-55.00
10/31/2018		DEMNL:MANUAL PROCESS FEE (LPFS): MA		0.00	0.00	0.00	0.00		-10.00
10/31/2018		DEMNL:MANUAL PROCESS FEE (LPFS): MA		0.00	0.00	0.00	0.00		-10.00
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-75.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,061.11
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-75.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.65
SIPC Assessment	\$-5.31

Check Amount	\$978.15
Year-to-date Earnings	\$8,319.00