



All Companies

03/14/2018

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COMMISSION STATEMENT

March 15, 2018

JAMES W. DOUGHERTY
10041 CHRYSALIS DR.

BROKER #: 9611
BRANCH: HOME OFFICE

Fort Worth, TX 76131-

COMMISSION STATEMENT for JAMES W. DOUGHERTY

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

02/28/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	32.91	32.91	0.00	32.91	80.0	26.33
02/16/2018	GARCIA, KOLISTA M.	-OPPENHEIMER FUNDS	B	12.50	0.13	0.00	0.13	80.0	0.10
02/26/2018	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
02/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
02/20/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
02/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
02/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
02/20/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
02/20/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
02/28/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	300.00	12.00	0.00	12.00	80.0	9.60
03/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
03/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
03/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
03/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	25.00	1.00	0.00	1.00	80.0	0.80
03/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	60.00	2.40	0.00	2.40	80.0	1.92
03/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	25.00	1.00	0.00	1.00	80.0	0.80
03/01/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
03/01/2018	WALKER, AARON/CANDACE	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
03/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
03/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/01/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
03/02/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/02/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
02/20/2018	000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
02/20/2018	000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
03/01/2018	000000001325137 MCCUTCHAN, CHERYL	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
02/26/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
03/01/2018	000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	2.50	0.00	2.50	80.0	2.00
03/01/2018	000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	100.00	5.00	0.00	5.00	80.0	4.00
02/20/2018	000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
03/01/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
02/20/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
02/26/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
02/20/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/15/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/15/2018	00002051963 DOUGHERTY, JAMES W.	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
02/26/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
02/20/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
02/20/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/12/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
02/12/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
02/21/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
02/20/2018	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
02/20/2018	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
03/01/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
03/05/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
03/05/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00
03/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
02/20/2018	00089167711 HERNANDEZ, INDIRA V.	COLLEGE 2021 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
02/20/2018	00089173008 HERNANDEZ, INDIRA V.	AMERICAN FUNDS BALANCED FD	B	200.00	10.00	0.00	10.00	80.0	8.00
03/01/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
02/20/2018	00089499023 BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
03/05/2018	00089527093 TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
02/20/2018	00089532734 THREADGILL, KEVIN	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
J.									
03/01/2018	00089624899 AVILA, BERNADINO	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
N.									
02/26/2018	00089652182 MOORE, CHRISTOPHER	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
S.									
02/26/2018	00089669681 CLINE, ELIZABETH	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
L.									
02/27/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/28/2018	0100028953 SAMPLE, ALLISON	-OPPENHEIMER FUNDS	B	100.00	1.00	0.00	1.00	80.0	0.80
03/01/2018	01001211841 NACCARATO, GLENNA	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
K.									
03/05/2018	04000798740 BARTON, JEFFREY A.	AMERICAN FUNDS GROWTH FUND OF AMERI	B	50.00	2.50	0.00	2.50	80.0	2.00
02/26/2018	04000820834 BARTON, MARTHA G.	AMERICAN BALANCED FUND-C	B	10,000.00	100.00	0.00	100.00	80.0	80.00
02/26/2018	07004641063 GARNER, MICHELLE	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
/ALEXI									
02/26/2018	1953181057 CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
02/26/2018	2157575480 CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
02/27/2018	2157630436 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
02/26/2018	2253301947 BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD	CL A B	225.00	10.69	0.00	10.69	80.0	8.55
02/27/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
02/27/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
02/28/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
02/27/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	0.50	0.00	0.50	80.0	0.40
02/28/2018	2577714652 BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
02/27/2018	2913513081 SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
02/20/2018	3020608025 LEIDNER, CHRISTEN	OPPENHEIMER EQUITY INCOME FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
J.									
02/27/2018	4000048494 CARR, KELLEY/KELLEY	-TEXAS 529 PLAN	B	100.00	4.75	0.00	4.75	80.0	3.80
01/22/2007	4000052419 EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	50.00	2.38	0.00	2.38	80.0	1.90
02/27/2018	5005891226 SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD	CL A B	375.00	15.00	0.00	15.00	80.0	12.00
02/26/2018	6000752532 CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
02/28/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/26/2018	7006267253 CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
02/16/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
02/27/2018	7970992046 GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD	CL C B	50.00	0.45	0.00	0.45	80.0	0.36
02/27/2018	8351300640 EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
02/27/2018	8352403126 EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
02/26/2018	8352785651 CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
02/20/2018	8352860308 GILLILAND, CAMERYN	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90

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COMMISSION STATEMENT for JAMES W. DOUGHERTY

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

02/27/2018	8353062752 SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL	VALUE B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *				\$18,989.90	\$443.62	\$0.00	\$443.62		\$354.83

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/28/2018	TRAILS	-JACKSON NATIONAL	B	12.27	12.27	0.00	12.27	80.0	9.82
* VARIABLE ANNUITIES SUBTOTAL *				\$12.27	\$12.27	\$0.00	\$12.27		\$9.82

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/15/2018	TRAIL COMMISSIONS	AMERICAN FUNDS GROUP FEES		0.00	645.64	0.00	645.64	80.0	516.47
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$645.64	\$0.00	\$645.64		\$516.47
*** BROKER TRANSACTIONS TOTAL ***				\$19,002.17	\$1,101.53	\$0.00	\$1,101.53		\$881.12

ADJUSTMENTS

03/15/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
03/15/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
03/15/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-227.50

BROKER COMMISSION TOTALS

Broker Transactions	\$881.12
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-227.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$653.62
Year-to-date Earnings	\$7,965.44