



All Companies

07/30/2018
Page No. 1

COMMISSION STATEMENT August 01, 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

06/30/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	35.55	35.55	0.00	35.55	80.0	28.44
07/10/2018	TRAILS	-TEXAS 529 PLAN	B	7.47	7.47	0.00	7.47	80.0	5.98
07/10/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
06/30/2018	TRAILS	COLLEGEBOUND 529	B	0.25	0.25	0.00	0.25	80.0	0.20
06/18/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
06/18/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
06/18/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
06/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
06/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
06/22/2018	REGISTER, ERNEST M	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/28/2018	NACCARATO, DANIEL J.	FORESTERS FINANCIAL	B	300.00	12.00	0.00	12.00	80.0	9.60
07/02/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
07/02/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
07/02/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
07/02/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	210.00	8.40	0.00	8.40	80.0	6.72
07/02/2018	EVANS, TRUITT/ANNALYN	FORESTERS FINANCIAL	B	225.83	13.26	0.00	13.26	80.0	10.61
07/02/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
07/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
07/02/2018	WALKER, CANDACE G.	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
07/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
07/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/02/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
07/02/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
07/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
07/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
07/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
07/16/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	105.00	4.20	0.00	4.20	80.0	3.36

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	165.83	6.63	0.00	6.63	80.0	5.30
07/16/2018	EICKMAN, LEONA	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
07/16/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/16/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
07/16/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
07/16/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/17/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
07/17/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
07/18/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
07/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
07/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
07/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
07/27/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
06/29/2018	TRAILS	PACIFIC LIFE FUNDS - GENERAL	B	41.78	41.78	0.00	41.78	80.0	33.42
07/10/2018	000000000012702 WEIDNER, CHARLES J.	FRK INTL SMALL CAP GROWTH FUND - CL B	B	150.00	1.50	0.00	1.50	80.0	1.20
07/10/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
07/20/2018	0000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
07/20/2018	0000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
07/16/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
07/16/2018	0000000007474954 FIIGUEROA, GLORIMAR RIVERA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.40	0.00	1.40	80.0	1.12
07/16/2018	0000000007602114 SHAW, WILLIAM/WYATT J.	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.40	0.00	1.40	80.0	1.12
07/20/2018	0000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
07/20/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
07/03/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
07/03/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
07/10/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
07/10/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
07/20/2018	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
07/20/2018	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
07/05/2018	00052767885 KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
07/16/2018	00083605734	BLACK, STEPHEN W.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS AMCAP FD	B	15,000.00	562.50	0.00	562.50	80.0	450.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS AMERICAN MUTUAL FD	B	10,000.00	375.00	0.00	375.00	80.0	300.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS BALANCED FD	B	8,000.00	300.00	0.00	300.00	80.0	240.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS CAPITAL WORLD BD FD	B	15,000.00	450.00	0.00	450.00	80.0	360.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS FUNDAMENTAL INVES	B	8,000.00	300.00	0.00	300.00	80.0	240.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS GROWTH FUND OF AMERI	B	6,000.00	225.00	0.00	225.00	80.0	180.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS INCOME FD OF AMERI	B	8,000.00	300.00	0.00	300.00	80.0	240.00
07/16/2018	00084611517	TAPP, PHYLLIS	AMERICAN FUNDS SMALL CAP WORLD FD	B	6,000.00	225.00	0.00	225.00	80.0	180.00
07/16/2018	00084611517	TAPP, PHYLLIS	INTERNATIONAL GROWTH AND INCOME A	B	9,000.00	337.50	0.00	337.50	80.0	270.00
07/16/2018	00084611517	TAPP, PHYLLIS	SHORT-TERM BOND FUND OF AMERICA - A	B	10,000.00	200.00	0.00	200.00	80.0	160.00
07/12/2018	00089131074	URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
07/12/2018	00089131074	URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
07/12/2018	00089180105	JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
07/12/2018	00089180105	JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
07/12/2018	00089220677	ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
A.										
07/12/2018	00089220677	ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	232.00	6.38	0.00	6.38	80.0	5.10
A.										
07/12/2018	00089224750	HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
07/12/2018	00089224750	HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
07/12/2018	00089233617	VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	114.00	3.14	0.00	3.14	80.0	2.51
07/12/2018	00089233617	VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	114.00	3.14	0.00	3.14	80.0	2.51
07/12/2018	00089258937	VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
07/12/2018	00089258937	VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
07/12/2018	00089416756	BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
07/12/2018	00089416756	BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
07/16/2018	00089468758	PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
07/20/2018	00089499023	BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
07/20/2018	00089532734	THREADGILL, KEVIN	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
J.										
07/02/2018	01001211841	NACCARATO, GLENNA	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
K.										
07/12/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
07/12/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
07/10/2018	04000846915	DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
07/12/2018	04000882820	SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
07/12/2018	04000882820	SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/02/2018	1952859505 VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
07/02/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	116.70	1.17	0.00	1.17	80.0	0.94
07/05/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	2270962434 TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
07/05/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
07/02/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
07/02/2018	2577714674 WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
07/02/2018	3020533874 TOD-SUBJECT TO STA	OPPENHEIMER EQUITY INCOME	FD CL C B	50.00	0.50	0.00	0.50	80.0	0.40
	TOD RU								
07/02/2018	4206508832 VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
07/02/2018	6890016181 TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	6890033352 TOD-SUBJECT TO STA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
	TOD RU								
07/02/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
07/02/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
07/02/2018	8352881439 RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL	VALUE B	100.00	4.75	0.00	4.75	80.0	3.80
	* MUTUAL FUNDS SUBTOTAL *			\$105,008.80	\$3,677.40	\$0.00	\$3,677.40		\$2,941.85
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/09/2018	TRAILS	-JACKSON NATIONAL	B	12.23	12.23	0.00	12.23	80.0	9.78
07/11/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	36.00	36.00	0.00	36.00	80.0	28.80
07/18/2018	EVANS, REBECCA	BRIGHTHOUSE FINANCIAL	B	100.00	2.00	0.00	2.00	80.0	1.60
	* VARIABLE ANNUITIES SUBTOTAL *			\$148.23	\$50.23	\$0.00	\$50.23		\$40.18
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	504.04	0.00	504.04	80.0	403.26
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$504.04	\$0.00	\$504.04		\$403.26
	*** BROKER TRANSACTIONS TOTAL ***			\$105,157.03	\$4,231.67	\$0.00	\$4,231.67		\$3,385.29

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ADJUSTMENTS

08/01/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
08/01/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
08/01/2018		STATE REG: FLORIDA		0.00	0.00	0.00	0.00		-50.00
08/01/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00		\$-277.50

BROKER COMMISSION TOTALS

Broker Transactions	\$3,385.29
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-277.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$3,107.79
Year-to-date Earnings	\$26,749.43