



All Companies
COMMISSION STATEMENT
May 01, 2018

04/27/2018
Page No. 1

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
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

03/31/2018	TRAILS	-TEXAS 529 PLAN	B	7.37	7.37	0.00	7.37	80.0	5.90
04/10/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
03/31/2018	TRAILS	COLLEGEBOUND 529	B	0.25	0.25	0.00	0.25	80.0	0.20
04/02/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
04/02/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
04/02/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
04/02/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
04/02/2018	WALKER, CANDACE G.	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
04/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
04/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
04/02/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
04/10/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	1,286.00	51.44	0.00	51.44	80.0	41.15
04/10/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	2,684.00	107.36	0.00	107.36	80.0	85.89
04/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
04/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
04/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
04/10/2018	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
04/10/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
04/20/2018	0000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
04/20/2018	0000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
04/16/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	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

COMMISSION STATEMENT for JAMES W. DOUGHERTY

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>									
04/20/2018	000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
04/20/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
04/03/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
04/03/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
04/10/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
04/10/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
04/20/2018	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
04/20/2018	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
04/05/2018	00052767885 KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	00083605734 BLACK, STEPHEN W.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
04/18/2018	00089114822 SHAW, AIMEE C.	AMERICAN FUNDS BALANCED FD	B	3,250.00	121.88	0.00	121.88	80.0	97.50
04/18/2018	00089114822 SHAW, AIMEE C.	AMERICAN FUNDS EURO PACIFIC GROWT B	B	3,250.00	121.88	0.00	121.88	80.0	97.50
04/18/2018	00089114835 SHAW, RANDY T.	AMERICAN FUNDS GROWTH FUND OF AMERI B	B	3,250.00	121.88	0.00	121.88	80.0	97.50
04/18/2018	00089114835 SHAW, RANDY T.	AMERICAN FUNDS NEW ECONOMY FD	B	3,250.00	121.88	0.00	121.88	80.0	97.50
04/20/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
04/20/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
04/20/2018	00089167711 HERNANDEZ, INDIRA V.	COLLEGE 2021 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
04/20/2018	00089170160 SHAW, RANDY T.	AMERICAN FUNDS 2035 TARGET DATE-A	B	405.88	11.16	0.00	11.16	80.0	8.93
04/20/2018	00089170160 SHAW, RANDY T.	AMERICAN FUNDS 2035 TARGET DATE-A	B	4,206.48	115.68	0.00	115.68	80.0	92.54
04/20/2018	00089173008 HERNANDEZ, INDIRA V.	AMERICAN FUNDS BALANCED FD	B	200.00	10.00	0.00	10.00	80.0	8.00
04/20/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	112.43	3.09	0.00	3.09	80.0	2.47
04/20/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	112.43	3.09	0.00	3.09	80.0	2.47
04/20/2018	00089220666 JACKSON, BRADFORD A.	AMERICAN FUNDS 2025 TARGET DATE-A	B	120.16	3.30	0.00	3.30	80.0	2.64
04/20/2018	00089220666 JACKSON, BRADFORD A.	AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
04/20/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	290.00	7.98	0.00	7.98	80.0	6.38
04/20/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
04/20/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
04/20/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
04/20/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	119.63	3.29	0.00	3.29	80.0	2.63
04/20/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	118.50	3.26	0.00	3.26	80.0	2.61

COMMISSION STATEMENT for JAMES W. DOUGHERTY

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>									
04/20/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
04/20/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
04/20/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
04/20/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
04/16/2018	00089468758 PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
04/20/2018	00089499023 BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
04/20/2018	00089532734 THREADGILL, KEVIN J.	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
04/02/2018	01001211841 NACCARATO, GLENNA K.	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
04/20/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
04/20/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
04/10/2018	04000846915 DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	1952859505 VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
04/02/2018	2157630436 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
04/02/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	116.70	1.17	0.00	1.17	80.0	0.94
04/02/2018	2270962434 TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
04/02/2018	2322362250 LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME	FD CL B	65.09	0.65	0.00	0.65	80.0	0.52
04/12/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
04/05/2018	2323065700 BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME	FD CL B	100.00	1.00	0.00	1.00	80.0	0.80
04/02/2018	2577714674 WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
04/02/2018	2913513081 SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
04/02/2018	3020533874 TOD-SUBJECT TO STA TOD RU	OPPENHEIMER EQUITY INCOME FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	4206508832 VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
04/02/2018	5005891226 SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD	CL A B	375.00	15.00	0.00	15.00	80.0	12.00
04/02/2018	6890016181 TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	6890033352 TOD-SUBJECT TO STA TOD RU	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/12/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
04/02/2018	8352881439 RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL	VALUE B	100.00	4.75	0.00	4.75	80.0	3.80
04/02/2018	8353062752 SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL	VALUE B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *				\$30,745.91	\$1,053.50	\$0.00	\$1,053.50		\$842.73

COMMISSION STATEMENT for JAMES W. DOUGHERTY

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: VARIABLE ANNUITIES									
03/31/2018	TRAILS	-JACKSON NATIONAL	B	11.95	11.95	0.00	11.95	80.0	9.56
04/11/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	59.28	59.28	0.00	59.28	80.0	47.42
04/18/2018	EVANS, REBECCA	BRIGHTHOUSE FINANCIAL	B	100.00	2.00	0.00	2.00	80.0	1.60
* VARIABLE ANNUITIES SUBTOTAL *				\$171.23	\$73.23	\$0.00	\$73.23		\$58.58
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
05/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	556.68	0.00	556.68	80.0	445.37
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$556.68	\$0.00	\$556.68		\$445.37
*** BROKER TRANSACTIONS TOTAL ***				\$30,917.14	\$1,683.41	\$0.00	\$1,683.41		\$1,346.68

ADJUSTMENTS

05/01/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
05/01/2018	RENT: 1/2 MONTH	0.00	0.00	0.00	0.00	-100.00
05/01/2018	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	\$1,346.68
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	\$1,119.18
Year-to-date Earnings	\$14,694.82