



All Companies

07/12/2018
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COMMISSION STATEMENT

July 16, 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	-OPPENHEIMER FUNDS	B	409.26	409.26	0.00	409.26	80.0	327.41
06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	21.19	21.19	0.00	21.19	80.0	16.95
06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	1,877.67	1,877.67	0.00	1,877.67	80.0	1,502.14
06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	2,322.17	2,322.17	0.00	2,322.17	80.0	1,857.74
06/25/2018	EVANS, MIKE/REBECCA	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
06/27/2018	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	50.00	2.38	0.00	2.38	80.0	1.90
06/27/2018	CARR, KELLEY/CHRIS	-TEXAS 529 PLAN	B	100.00	4.75	0.00	4.75	80.0	3.80
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	132.06	132.06	0.00	132.06	80.0	105.65
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	1,166.85	1,166.85	0.00	1,166.85	80.0	933.48
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	39.09	39.09	0.00	39.09	80.0	31.27
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	17.65	17.65	0.00	17.65	80.0	14.12
07/05/2018	000000000686624 SHULER/DYER, CHRISTI/CHANCE	FRK TEMP COREFOLIO ALLOC FND CL - A B		50.00	1.40	0.00	1.40	80.0	1.12
07/05/2018	000000000686651 SHULER/DYER, CHRISTI/KAITLIN	FRK TEMP COREFOLIO ALLOC FND CL - A B		50.00	2.50	0.00	2.50	80.0	2.00
06/25/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
07/02/2018	0000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		50.00	2.50	0.00	2.50	80.0	2.00
07/02/2018	0000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		100.00	5.00	0.00	5.00	80.0	4.00
07/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
07/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
07/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
07/05/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
07/02/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
06/25/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
06/20/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/26/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
06/18/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/20/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/21/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
07/02/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
07/05/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
07/05/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00
07/02/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS AMCAP FD	B	200.00	4.00	0.00	4.00	80.0	3.20
07/02/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
07/02/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
07/05/2018	00089527093 TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
07/02/2018	00089624899 AVILA, BERNADINO N.	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
06/25/2018	00089652182 MOORE, CHRISTOPHER S.	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
06/25/2018	00089669681 CLINE, ELIZABETH L.	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
06/25/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/05/2018	04000798740 BARTON, JEFFREY A.	AMERICAN FUNDS GROWTH FUND OF AMERI	B	50.00	2.13	0.00	2.13	80.0	1.70
06/29/2018	04001045552 MAUPPIN, ELIZABETH A.	AMERICAN FUNDS BALANCED FD	B	28,924.60	1,229.30	0.00	1,229.30	80.0	983.44
06/25/2018	07004641063 GARNER, MICHELLE /ALEXI	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
06/25/2018	1953181057 CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
06/25/2018	2157575480 CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
06/28/2018	2158230662 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
06/25/2018	2253301947 BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD	CL A B	225.00	10.69	0.00	10.69	80.0	8.55
06/25/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
06/28/2018	2577714652 BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
06/28/2018	2913898697 SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
06/20/2018	3020608025 LEIDNER, CHRISTEN J.	OPPENHEIMER EQUITY INCOME FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
06/28/2018	5006030992 SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD CL A	B	375.00	15.00	0.00	15.00	80.0	12.00
06/25/2018	6000752532 CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
06/25/2018	7006267253 CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
06/27/2018	7970992046 GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD CL C	C B	50.00	0.45	0.00	0.45	80.0	0.36
06/27/2018	8351300640 EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
06/27/2018	8352403126 EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
06/25/2018	8352785651 CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

06/20/2018	8352860308 GILLILAND, CAMERYN L.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
06/28/2018	8353397086 SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL	VALUE B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *				\$40,425.54	\$7,410.13	\$0.00	\$7,410.13		\$5,928.09

PRODUCT CATEGORY: VARIABLE ANNUITIES

06/30/2018	TRAILS	-NATIONWIDE LIFE	B	274.76	0.00	0.00	0.00	80.0	0.00
06/30/2018	TRAILS	-NATIONWIDE LIFE	B	274.76	274.76	0.00	274.76	80.0	219.81
06/11/2018	DAVILA JR, ELIJAH	-PACIFIC LIFE INSURANCE	B	300.00	6.00	0.00	6.00	80.0	4.80
* VARIABLE ANNUITIES SUBTOTAL *				\$849.52	\$280.76	\$0.00	\$280.76		\$224.61
*** BROKER TRANSACTIONS TOTAL ***				\$41,275.06	\$7,690.89	\$0.00	\$7,690.89		\$6,152.70

ADJUSTMENTS

07/16/2018	E & O INSURANCE: 1/2 MONTHLY			0.00	0.00	0.00	0.00		-100.00
07/16/2018	RENT: 1/2 MONTH			0.00	0.00	0.00	0.00		-100.00
07/16/2018	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	\$6,152.70
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	\$5,925.20
Year-to-date Earnings	\$23,641.64