



All Companies
COMMISSION STATEMENT
August 15, 2018

08/14/2018
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

07/31/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	26.11	26.11	0.00	26.11	80.0	20.89
07/25/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
08/01/2018	000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	2.50	0.00	2.50	80.0	2.00
08/01/2018	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
08/01/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
07/25/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
07/20/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/16/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/16/2018	00002051963 DOUGHERTY, JAMES W.	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
07/26/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
07/18/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
07/20/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/23/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
08/01/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
08/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS AMCAP FD	B	200.00	4.00	0.00	4.00	80.0	3.20
08/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
08/03/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
08/03/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
08/03/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
08/03/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
08/01/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
08/03/2018	00089220677 ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	232.00	6.38	0.00	6.38	80.0	5.10
	A.								
08/03/2018	00089220677 ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
	A.								
08/03/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20

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>									
08/03/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
08/03/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	112.50	3.09	0.00	3.09	80.0	2.47
08/03/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	112.50	3.09	0.00	3.09	80.0	2.47
08/03/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
08/03/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
08/03/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
08/03/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
08/01/2018	00089624899 AVILA, BERNADINO N.	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
07/25/2018	00089652182 MOORE, CHRISTOPHER S.	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
07/25/2018	00089669681 CLINE, ELIZABETH L.	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
07/27/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
08/03/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
08/03/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
08/03/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
08/03/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	92.40	2.54	0.00	2.54	80.0	2.03
07/25/2018	07004641063 GARNER, MICHELLE /ALEXI	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
07/25/2018	1953181057 CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
07/25/2018	2157575480 CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
07/25/2018	2253301947 BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD CL A	B	225.00	10.69	0.00	10.69	80.0	8.55
07/30/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/27/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/30/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD CL C	B	100.00	1.00	0.00	1.00	80.0	0.80
07/30/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME FD CL	B	50.00	0.50	0.00	0.50	80.0	0.40
07/16/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME FD CL	B	12.50	0.13	0.00	0.13	80.0	0.10
07/17/2018	2323065700 BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME FD CL	B	100.00	1.00	0.00	1.00	80.0	0.80
07/30/2018	2577714652 BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
07/30/2018	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
07/20/2018	3020608025 LEIDNER, CHRISTEN J.	OPPENHEIMER EQUITY INCOME FD CL C	B	100.00	1.00	0.00	1.00	80.0	0.80
07/16/2018	3222257684 MANN, MELINDA	OPPENHEIMER CAPITAL APPREC FD CL C	B	75.00	0.75	0.00	0.75	80.0	0.60
07/27/2018	4000048494 CARR, KELLEY/KELLEY -TEXAS 529 PLAN		B	100.00	4.75	0.00	4.75	80.0	3.80
07/27/2018	4000052419 EVANS, MIKE/BENTLEE -TEXAS 529 PLAN		B	150.00	7.13	0.00	7.13	80.0	5.70
07/25/2018	6000752532 CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80

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>									
07/16/2018	6000754083 THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
07/30/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
07/30/2018	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
07/25/2018	7006267253 CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR B		100.00	4.75	0.00	4.75	80.0	3.80
07/16/2018	7009019956 THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR B		50.00	2.38	0.00	2.38	80.0	1.90
07/16/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO B		12.50	0.13	0.00	0.13	80.0	0.10
07/27/2018	7970992046 GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD CL C	C B	50.00	0.45	0.00	0.45	80.0	0.36
07/27/2018	8351300640 EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
07/27/2018	8352403126 EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
07/25/2018	8352785651 CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
07/20/2018	8352860308 GILLILAND, CAMERYN L.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
07/30/2018	8352881439 RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL	VALUE B	100.00	4.75	0.00	4.75	80.0	3.80
* MUTUAL FUNDS SUBTOTAL *				\$6,148.91	\$211.51	\$0.00	\$211.51		\$169.15
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/31/2018	TRAILS	-JACKSON NATIONAL	B	12.44	12.44	0.00	12.44	80.0	9.95
* VARIABLE ANNUITIES SUBTOTAL *				\$12.44	\$12.44	\$0.00	\$12.44		\$9.95
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/15/2018	TRAIL COMMISSIONS	FRANKLIN TEMPLETON GROUP FEES		0.00	1,495.99	0.00	1,495.99	80.0	1,196.82
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,495.99	\$0.00	\$1,495.99		\$1,196.82
*** BROKER TRANSACTIONS TOTAL ***				\$6,161.35	\$1,719.94	\$0.00	\$1,719.94		\$1,375.92
<u>ADJUSTMENTS</u>									
08/15/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
08/15/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
08/15/2018		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	\$1,375.92
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	\$1,148.42
Year-to-date Earnings	\$27,897.85