



All Companies

01/30/2018  
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# COMMISSION STATEMENT February 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

12/31/2017	TRAILS	-JOHN HANCOCK FREEDOM 529	B	36.16	36.16	0.00	36.16	80.0	28.93
12/31/2017	TRAILS	-TEXAS 529 PLAN	B	6.99	6.99	0.00	6.99	80.0	5.59
01/02/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
12/31/2017	TRAILS	COLLEGEBOUND 529	B	0.26	0.26	0.00	0.26	80.0	0.21
12/18/2017	NACCARATO, DANIEL J.	FORESTERS FINANCIAL	B	300.00	14.16	0.00	14.16	80.0	11.33
01/02/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	2.38	0.00	2.38	80.0	1.90
01/02/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
01/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
01/02/2018	DURAN, JESSICA/ELLIE	FORESTERS FINANCIAL	B	208.00	5.97	0.00	5.97	80.0	4.78
01/02/2018	DURAN, JESSICA L.	FORESTERS FINANCIAL	B	83.00	2.38	0.00	2.38	80.0	1.90
01/02/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	110.00	5.19	0.00	5.19	80.0	4.15
01/02/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
01/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
01/02/2018	WALKER, CANDACE G.	FORESTERS FINANCIAL	B	75.00	3.54	0.00	3.54	80.0	2.83
01/02/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	5.97	0.00	5.97	80.0	4.78
01/02/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
01/02/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.54	0.00	3.54	80.0	2.83
01/02/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.60	0.00	2.60	80.0	2.08
01/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
01/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
01/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
12/31/2017	TRAILS	PACIFIC LIFE FUNDS - GENERAL	B	40.96	40.96	0.00	40.96	80.0	32.77
01/02/2018	NACCARATO, GLENNA K.	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
01/10/2018	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
01/10/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
01/16/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	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
01/03/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
01/03/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
01/16/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	00002051963 DOUGHERTY, JAMES	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
W.									
01/18/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
01/10/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
01/10/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
01/05/2018	00052767885 KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	00089298778 HAMILTON, KELLY	AMERICAN FUNDS 2045 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
01/16/2018	00089457531 HAMILTON, BLAINE	COLLEGE 2033 FUND-529A	B	50.00	1.75	0.00	1.75	80.0	1.40
01/16/2018	00089457574 HAMILTON, BLAINE	COLLEGE 2033 FUND-529A	B	50.00	1.75	0.00	1.75	80.0	1.40
01/16/2018	00089468758 PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
01/03/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	1952859505 VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
01/02/2018	2157630436 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
01/02/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/03/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	2270962434 TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD CL C	B	100.00	1.00	0.00	1.00	80.0	0.80
01/02/2018	2322362250 LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	B	65.09	0.65	0.00	0.65	80.0	0.52
01/02/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME FD CL	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	2577714674 WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
01/02/2018	2913513081 SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
01/02/2018	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									
01/02/2018	4206508832 VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
01/02/2018	5005891226 SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD CL A	B	375.00	15.00	0.00	15.00	80.0	12.00
01/02/2018	6890016181 TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	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									
01/02/2018	8353062752 SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL VALUE	B	375.00	15.00	0.00	15.00	80.0	12.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$6,130.46</b>	<b>\$271.53</b>	<b>\$0.00</b>	<b>\$271.53</b>		<b>\$217.21</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
12/31/2017	TRAILS	-JACKSON NATIONAL	B	12.21	12.21	0.00	12.21	80.0	9.77
01/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	61.35	61.35	0.00	61.35	80.0	49.08
01/18/2018	EVANS, REBECCA	BRIGHTHOUSE FINANCIAL	B	100.00	2.00	0.00	2.00	80.0	1.60
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$173.56</b>	<b>\$75.56</b>	<b>\$0.00</b>	<b>\$75.56</b>		<b>\$60.45</b>

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/01/2018 TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	553.95	0.00	553.95	80.0	443.14
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$553.95	\$0.00	\$553.95		\$443.14
	*** BROKER TRANSACTIONS TOTAL ***			\$6,304.02	\$901.04	\$0.00	\$901.04		\$720.80

ADJUSTMENTS

02/01/2018	CRD CHARGES: CONT ED - REG ELEMENT			0.00	0.00	0.00	0.00		-55.00
02/01/2018	E & O INSURANCE: 1/2 MONTHLY			0.00	0.00	0.00	0.00		-100.00
02/01/2018	RENT: 1/2 MONTH			0.00	0.00	0.00	0.00		-100.00
02/01/2018	TECH: MONTHLY TECH SERVICES			0.00	0.00	0.00	0.00		-27.50
	*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-282.50

BROKER COMMISSION TOTALS

Broker Transactions	\$720.80
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-282.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$438.30
Year-to-date Earnings	\$5,490.33