



All Companies

04/12/2018
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COMMISSION STATEMENT April 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

03/31/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	36.49	36.49	0.00	36.49	80.0	29.19
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	2.62	2.62	0.00	2.62	80.0	2.10
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	411.18	411.18	0.00	411.18	80.0	328.94
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	21.01	21.01	0.00	21.01	80.0	16.81
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	1,861.81	1,861.81	0.00	1,861.81	80.0	1,489.45
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	2,266.66	2,266.66	0.00	2,266.66	80.0	1,813.33
03/26/2018	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
03/27/2018	CARR, KELLEY C.	-TEXAS 529 PLAN	B	100.00	4.75	0.00	4.75	80.0	3.80
03/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
03/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
03/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
03/15/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/15/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
03/15/2018	EICKMAN, LEONA	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
03/15/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
03/15/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	85.00	3.40	0.00	3.40	80.0	2.72
03/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	25.00	1.00	0.00	1.00	80.0	0.80
03/16/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/16/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
03/19/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
03/19/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
03/19/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
03/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
03/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
03/22/2018	REGISTER, ERNEST M	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
03/28/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
03/28/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
03/29/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	350.00	14.00	0.00	14.00	80.0	11.20
03/31/2018	TRAILS	FORESTERS FINANCIAL	B	129.80	129.80	0.00	129.80	80.0	103.84

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
03/31/2018	TRAILS	FORESTERS FINANCIAL	B	1,166.20	1,166.20	0.00	1,166.20	80.0	932.96
03/31/2018	TRAILS	FORESTERS FINANCIAL	B	38.45	38.45	0.00	38.45	80.0	30.76
03/31/2018	TRAILS	FORESTERS FINANCIAL	B	16.57	16.57	0.00	16.57	80.0	13.26
03/29/2018	TRAILS	PACIFIC LIFE FUNDS - GENERAL	B	41.41	41.41	0.00	41.41	80.0	33.13
04/05/2018	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
04/05/2018	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
04/02/2018	000000001325137 MCCUTCHAN, CHERYL	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
03/26/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	0000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	0000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		100.00	5.00	0.00	5.00	80.0	4.00
04/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
04/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
04/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
04/05/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
04/02/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
03/26/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
03/20/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
03/26/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
03/19/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
03/20/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
03/21/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
04/02/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
04/05/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
04/05/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00
04/02/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
04/02/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
04/05/2018	00089527093 TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
04/02/2018	00089624899 AVILA, BERNADINO N.	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
03/26/2018	00089652182 MOORE, CHRISTOPHER	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
S.									
03/26/2018	00089669681 CLINE, ELIZABETH	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
L.									
03/26/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/05/2018	04000798740 BARTON, JEFFREY A.	AMERICAN FUNDS GROWTH FUND OF AMERI	B	50.00	2.13	0.00	2.13	80.0	1.70
03/26/2018	07004641063 GARNER, MICHELLE	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
/ALEXI									
03/26/2018	1953181057 CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
03/26/2018	2157575480 CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
03/26/2018	2253301947 BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD	CL A B	225.00	10.69	0.00	10.69	80.0	8.55
03/29/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
03/26/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
03/29/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	0.50	0.00	0.50	80.0	0.40
03/28/2018	2577714652 BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
03/20/2018	3020608025 LEIDNER, CHRISTEN	OPPENHEIMER EQUITY INCOME FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
J.									
03/27/2018	4000052419 EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	50.00	2.38	0.00	2.38	80.0	1.90
03/26/2018	6000752532 CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
03/26/2018	7006267253 CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
03/27/2018	7970992046 GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD CL C	C B	50.00	0.45	0.00	0.45	80.0	0.36
03/27/2018	8351300640 EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
03/27/2018	8352403126 EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
03/26/2018	8352785651 CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
03/20/2018	8352860308 GILLILAND, CAMERYN	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
L.									
* MUTUAL FUNDS SUBTOTAL *				<u>\$12,292.20</u>	<u>\$6,218.72</u>	<u>\$0.00</u>	<u>\$6,218.72</u>		<u>\$4,974.96</u>
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
03/31/2018	TRAILS	-NATIONWIDE LIFE	B	275.48	275.48	0.00	275.48	80.0	220.38
03/09/2018	SEGRETI, ABIGAIL R.	-PACIFIC LIFE INSURANCE	B	600.00	12.00	0.00	12.00	80.0	9.60
* VARIABLE ANNUITIES SUBTOTAL *				<u>\$875.48</u>	<u>\$287.48</u>	<u>\$0.00</u>	<u>\$287.48</u>		<u>\$229.98</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$13,167.68</u>	<u>\$6,506.20</u>	<u>\$0.00</u>	<u>\$6,506.20</u>		<u>\$5,204.94</u>

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ADJUSTMENTS

04/16/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
04/16/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
04/16/2018		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	\$5,204.94
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	\$4,977.44
Year-to-date Earnings	\$13,575.64