



All Companies

05/14/2018

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COMMISSION STATEMENT

May 15, 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

04/30/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	35.21	35.21	0.00	35.21	80.0	28.17
04/25/2018	EVANS, MIKE/REBECCA	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
04/27/2018	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	50.00	2.38	0.00	2.38	80.0	1.90
04/02/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
04/16/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/16/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
04/16/2018	EICKMAN, LEONA	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
04/16/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
04/16/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
04/16/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/17/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
04/17/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/18/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
04/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
04/20/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
04/23/2018	REGISTER, ERNEST M	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
04/30/2018	NACCARATO, DANIEL J.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
04/30/2018	NACCARATO, DANIEL J.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
05/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
05/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
05/01/2018	DURAN, JESSICA L.	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
05/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	105.00	4.20	0.00	4.20	80.0	3.36
05/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	225.83	9.03	0.00	9.03	80.0	7.22
05/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	497.50	11.19	0.00	11.19	80.0	8.95
05/01/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
05/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
05/01/2018	DURAN, JESSICA L.	FORESTERS FINANCIAL	B	995.00	22.38	0.00	22.38	80.0	17.90
05/01/2018	WALKER, CANDACE G.	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
05/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
05/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00

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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>									
05/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	497.50	11.19	0.00	11.19	80.0	8.95
05/01/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
05/02/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/02/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
05/01/2018	000000001325137 MCCUTCHAN, CHERYL	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
04/25/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
05/01/2018	000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		50.00	2.50	0.00	2.50	80.0	2.00
05/01/2018	000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		100.00	5.00	0.00	5.00	80.0	4.00
04/30/2018	000000007602114 SHAW, WILLIAM/WYATT J.	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		1,000.00	28.00	0.00	28.00	80.0	22.40
05/01/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
04/25/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	1,498.53	41.72	0.00	41.72	80.0	33.38
04/16/2018	00002004428 WEISS, DEVIN SEAN	LIFESTYLE GROWTH PORTFOLIO C	B	8,001.81	80.02	0.00	80.02	80.0	64.02
04/25/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
04/20/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	00002051963 DOUGHERTY, JAMES W.	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
04/26/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
04/18/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
04/20/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/23/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
05/01/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
05/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS AMCAP FD	B	200.00	4.00	0.00	4.00	80.0	3.20
05/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
05/01/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
05/01/2018	00089624899 AVILA, BERNADINO N.	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
04/25/2018	00089652182 MOORE, CHRISTOPHER S.	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
04/25/2018	00089669681 CLINE, ELIZABETH L.	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
04/30/2018	0100012200 SAMPLE, ALLISON DEVANEY	-OPPENHEIMER FUNDS	B	100.00	1.00	0.00	1.00	80.0	0.80

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
04/26/2018	0100028590	LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/17/2018	0100145509	BURGOS, DANILO	OPPENHEIMER MAIN ST SMALL CAP FUND	B	3,750.00	112.50	0.00	112.50	80.0	90.00
04/25/2018	07004641063	GARNER, MICHELLE	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
/ALEXI										
04/25/2018	1953181057	CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
04/25/2018	2157575480	CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
04/17/2018	2158023213	BURGOS, DANILO	OPPENHEIMER GLOBAL INCOME & GROWTH	B	3,750.00	112.50	0.00	112.50	80.0	90.00
04/25/2018	2253301947	BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD	CL A B	225.00	10.69	0.00	10.69	80.0	8.55
04/30/2018	2270673321	BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
04/26/2018	2270921492	LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
04/30/2018	2271024364	SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
04/30/2018	2322362261	BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
04/30/2018	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
04/30/2018	2577714652	BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
04/17/2018	2913806429	BURGOS, DANILO	SENIOR FLOATING RATE FUND A	B	3,750.00	93.75	0.00	93.75	80.0	75.00
04/20/2018	3020608025	LEIDNER, CHRISTEN	OPPENHEIMER EQUITY INCOME FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
J.										
04/27/2018	4000048494	CARR, KELLEY/KELLEY -TEXAS 529 PLAN		B	100.00	4.75	0.00	4.75	80.0	3.80
04/16/2018	4000052419	EVANS, MIKE/BENTLEE -TEXAS 529 PLAN		B	25.00	1.19	0.00	1.19	80.0	0.95
04/25/2018	6000752532	CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
04/16/2018	6000754083	THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
04/30/2018	6890033154	SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
04/25/2018	7006267253	CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
04/17/2018	7006375042	BURGOS, DANILO	OPPENHEIMER MAIN STREET INCOME & GR	B	3,750.00	112.50	0.00	112.50	80.0	90.00
04/16/2018	7009019956	THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	2.38	0.00	2.38	80.0	1.90
04/16/2018	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
04/30/2018	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
04/27/2018	7970992046	GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD CL C	C B	50.00	0.45	0.00	0.45	80.0	0.36
04/27/2018	8351300640	EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
04/27/2018	8352403126	EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
04/25/2018	8352785651	CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
04/20/2018	8352860308	GILLILAND, CAMERYN	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
L.										
04/30/2018	8352881439	RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL	VALUE B	100.00	4.75	0.00	4.75	80.0	3.80
* MUTUAL FUNDS SUBTOTAL *					\$34,623.38	\$901.36	\$0.00	\$901.36		\$721.03

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/15/2018 TRAIL COMMISSIONS	FRANKLIN TEMPLETON GROUP FEES	0.00	1,471.17	0.00	1,471.17	80.0	1,177.01
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,471.17	\$0.00	\$1,471.17		\$1,177.01
	*** BROKER TRANSACTIONS TOTAL ***	\$34,623.38	\$2,372.53	\$0.00	\$2,372.53		\$1,898.04

ADJUSTMENTS

05/15/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
05/15/2018	RENT: 1/2 MONTH	0.00	0.00	0.00	0.00	-100.00
05/15/2018	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	\$1,898.04
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	\$1,670.54
Year-to-date Earnings	\$16,365.36