



All Companies
COMMISSION STATEMENT
April 02, 2018

03/29/2018
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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

03/09/2018	TRAILS	-TEXAS 529 PLAN	B	6.59	6.59	0.00	6.59	80.0	5.27
03/12/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
03/12/2018	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
03/12/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
03/13/2018	0000000000363337 SUAREZ, EDGARD	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	876.00	8.76	0.00	8.76	80.0	7.01
03/05/2018	0000000000686624 SHULER/DYER, CHRISTI/CHANCE	FRK TEMP COREFOLIO ALLOC FND CL - A B	B	50.00	1.40	0.00	1.40	80.0	1.12
03/05/2018	0000000000686651 SHULER/DYER, CHRISTI/KAITLIN	FRK TEMP COREFOLIO ALLOC FND CL - A B	B	50.00	2.50	0.00	2.50	80.0	2.00
03/20/2018	0000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
03/20/2018	0000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
03/15/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
03/13/2018	0000000004540530 SUAREZ, EDGAR	FRANKLIN MUTUAL DISCOVERY FD 2	B	2,124.00	21.24	0.00	21.24	80.0	16.99
03/15/2018	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
03/20/2018	0000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
03/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
03/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
03/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
03/05/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
03/20/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
03/05/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
03/05/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
03/15/2018	00002051962	DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
03/15/2018	00002051963	DOUGHERTY, JAMES	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
W.										
03/12/2018	00002157010	DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
03/12/2018	00002157011	DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
03/20/2018	000060177641034	MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
03/20/2018	000090239013991	SHAW, WILLIAM	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
J.										
03/05/2018	00052767885	KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
03/16/2018	00083605734	BLACK, STEPHEN W.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
03/12/2018	00089131074	URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
03/12/2018	00089131074	URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
03/20/2018	00089167711	HERNANDEZ, INDIRA	COLLEGE 2021 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
V.										
03/12/2018	00089170160	SHAW, RANDY T.	AMERICAN FUNDS 2035 TARGET DATE-A	B	4,146.76	114.04	0.00	114.04	80.0	91.23
03/12/2018	00089170160	SHAW, RANDY T.	AMERICAN FUNDS 2035 TARGET DATE-A	B	346.16	9.52	0.00	9.52	80.0	7.62
03/20/2018	00089173008	HERNANDEZ, INDIRA	AMERICAN FUNDS BALANCED FD	B	200.00	10.00	0.00	10.00	80.0	8.00
V.										
03/12/2018	00089180105	JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
03/12/2018	00089180105	JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
03/12/2018	00089220666	JACKSON, BRADFORD	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
A.										
03/12/2018	00089220666	JACKSON, BRADFORD	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
A.										
03/12/2018	00089220677	ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	232.00	6.38	0.00	6.38	80.0	5.10
A.										
03/12/2018	00089220677	ZIMMERMAN, GREGORY	AMERICAN FUNDS 2035 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
A.										
03/12/2018	00089224750	HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
03/12/2018	00089224750	HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
03/12/2018	00089233617	VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	118.50	3.26	0.00	3.26	80.0	2.61
03/12/2018	00089233617	VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	118.50	3.26	0.00	3.26	80.0	2.61
03/12/2018	00089258937	VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
RICARDO A.										
03/12/2018	00089258937	VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	96.00	2.64	0.00	2.64	80.0	2.11
RICARDO A.										
03/12/2018	00089416756	BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
03/12/2018	00089416756	BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
03/16/2018	00089468758	PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
03/20/2018	00089499023	BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
03/20/2018	00089532734	THREADGILL, KEVIN J.	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
03/12/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
03/12/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
03/15/2018	04000798679	BARTON, MARTHA G.	AMERICAN BALANCED FUND-C	B	16,217.56	162.18	0.00	162.18	80.0	129.74
03/15/2018	04000798679	BARTON, MARTHA G.	GROWTH AND INCOME PORTFOLIO-C	B	16,217.55	162.18	0.00	162.18	80.0	129.74
03/12/2018	04000846915	DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
03/13/2018	04000846915	DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	150.00	7.50	0.00	7.50	80.0	6.00
03/01/2018	1952859505	VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
03/01/2018	2270673321	BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	116.70	1.17	0.00	1.17	80.0	0.94
03/01/2018	2270962434	TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
03/01/2018	2322362250	LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME	FD CL B	65.09	0.65	0.00	0.65	80.0	0.52
03/09/2018	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
03/15/2018	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
03/01/2018	2323065700	BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME	FD CL B	100.00	1.00	0.00	1.00	80.0	0.80
03/01/2018	2577714674	WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
03/15/2018	4000052419	EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	25.00	1.19	0.00	1.19	80.0	0.95
03/01/2018	4206508832	VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
03/15/2018	6000754083	THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
03/01/2018	6890016181	TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
03/15/2018	7009019956	THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	2.38	0.00	2.38	80.0	1.90
03/09/2018	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
03/15/2018	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
03/02/2018	8352881439	RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL	VALUE B	100.00	4.75	0.00	4.75	80.0	3.80
* MUTUAL FUNDS SUBTOTAL *					\$46,331.80	\$669.75	\$0.00	\$669.75		\$535.75
PRODUCT CATEGORY: VARIABLE ANNUITIES										
03/19/2018	EVANS, REBECCA/MIKE	BRIGHTHOUSE FINANCIAL		B	100.00	2.00	0.00	2.00	80.0	1.60
* VARIABLE ANNUITIES SUBTOTAL *					\$100.00	\$2.00	\$0.00	\$2.00		\$1.60
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/02/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	503.63	0.00	503.63	80.0	402.91
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$503.63	\$0.00	\$503.63		\$402.91
*** BROKER TRANSACTIONS TOTAL ***					\$46,431.80	\$1,175.38	\$0.00	\$1,175.38		\$940.26

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ADJUSTMENTS

04/02/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
04/02/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
04/02/2018		STATE REG: WISCONSIN		0.00	0.00	0.00	0.00		-80.00
04/02/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00		\$-307.50

BROKER COMMISSION TOTALS

Broker Transactions	\$940.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-307.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$632.76
Year-to-date Earnings	\$8,598.20