



All Companies

06/28/2018

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COMMISSION STATEMENT

July 02, 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

05/31/2018	TRAILS	-TEXAS 529 PLAN	B	7.59	7.59	0.00	7.59	80.0	6.07
06/11/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
05/29/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
05/29/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
06/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
06/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
06/01/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
06/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	105.00	4.20	0.00	4.20	80.0	3.36
06/01/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	165.83	6.63	0.00	6.63	80.0	5.30
06/01/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
06/01/2018	WALKER, AARON/CANDACE	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
06/01/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
06/01/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/01/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
06/04/2018	SEGRETI, JOSEPH M.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/04/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
06/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
06/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
06/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
06/15/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/15/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
06/15/2018	EICKMAN, LEONA	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
06/15/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
06/15/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
06/15/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/11/2018	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
06/11/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/20/2018	000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
06/20/2018	000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
06/15/2018	000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
06/15/2018	000000007474954 FIIGUEROA, GLORIMAR RIVERA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.40	0.00	1.40	80.0	1.12
06/15/2018	000000007602114 SHAW, WILLIAM/WYATT J.	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.40	0.00	1.40	80.0	1.12
06/20/2018	000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
06/20/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
06/04/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
06/04/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
06/15/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/15/2018	00002051963 DOUGHERTY, JAMES W.	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
06/11/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
06/11/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
06/20/2018	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
06/20/2018	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
06/05/2018	00052767885 KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
06/18/2018	00083605734 BLACK, STEPHEN W.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
06/19/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
06/19/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
06/19/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	107.73	2.96	0.00	2.96	80.0	2.37
06/19/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	107.73	2.96	0.00	2.96	80.0	2.37
06/19/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	290.00	7.98	0.00	7.98	80.0	6.38
06/19/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
06/19/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
06/19/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	124.00	3.41	0.00	3.41	80.0	2.73
06/19/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	137.26	3.77	0.00	3.77	80.0	3.02
06/19/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	137.26	3.77	0.00	3.77	80.0	3.02
06/19/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	72.00	1.98	0.00	1.98	80.0	1.58

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/19/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	72.00	1.98	0.00	1.98	80.0	1.58
06/19/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
06/19/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
06/18/2018	00089468758 PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
06/20/2018	00089499023 BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
06/20/2018	00089532734 THREADGILL, KEVIN J.	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
06/19/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
06/19/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
06/11/2018	04000846915 DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
06/19/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
06/19/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	115.20	3.17	0.00	3.17	80.0	2.54
06/01/2018	1952859505 VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
06/08/2018	2158230662 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
06/01/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	116.70	1.17	0.00	1.17	80.0	0.94
06/01/2018	2270962434 TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/01/2018	2322362250 LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	B	64.81	0.65	0.00	0.65	80.0	0.52
06/08/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME FD CL	B	12.50	0.13	0.00	0.13	80.0	0.10
06/11/2018	2323065700 BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME FD CL	B	100.00	1.00	0.00	1.00	80.0	0.80
06/01/2018	2577714674 WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
06/08/2018	2913898697 SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
06/15/2018	4000052419 EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	25.00	1.19	0.00	1.19	80.0	0.95
06/01/2018	4206508832 VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
06/08/2018	5006030992 SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD CL A	B	375.00	15.00	0.00	15.00	80.0	12.00
06/15/2018	6000754083 THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
06/01/2018	6890016181 TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/15/2018	7009019956 THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	2.38	0.00	2.38	80.0	1.90
06/08/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
06/05/2018	8352881439 RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL VALUE	B	100.00	4.75	0.00	4.75	80.0	3.80
06/08/2018	8353397086 SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL VALUE	B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *				\$9,829.10	\$307.43	\$0.00	\$307.43		\$245.89
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
06/11/2018	GARNER, GRANT/ANDREW	-PACIFIC LIFE INSURANCE	B	600.00	12.00	0.00	12.00	80.0	9.60
06/18/2018	EVANS, REBECCA	BRIGHTHOUSE FINANCIAL	B	100.00	2.00	0.00	2.00	80.0	1.60
* VARIABLE ANNUITIES SUBTOTAL *				\$700.00	\$14.00	\$0.00	\$14.00		\$11.20

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/02/2018 TRAIL COMMISSIONS	JOHN HANCOCK FEES	0.00	517.49	0.00	517.49	80.0	413.97
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$517.49	\$0.00	\$517.49		\$413.97
	*** BROKER TRANSACTIONS TOTAL ***	\$10,529.10	\$838.92	\$0.00	\$838.92		\$671.06

ADJUSTMENTS

07/02/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
07/02/2018	RENT: 1/2 MONTH	0.00	0.00	0.00	0.00	-100.00
07/02/2018	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	\$671.06
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	\$443.56
Year-to-date Earnings	\$17,716.44