



All Companies

06/14/2018

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COMMISSION STATEMENT

June 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

05/31/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	36.52	36.52	0.00	36.52	80.0	29.22
05/25/2018	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
05/14/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
05/14/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
05/14/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
05/15/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/15/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
05/15/2018	EICKMAN, LEONA	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
05/15/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
05/15/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
05/15/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	105.00	4.20	0.00	4.20	80.0	3.36
05/16/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/17/2018	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
05/17/2018	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
05/18/2018	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
05/21/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	8.00	0.00	8.00	80.0	6.40
05/21/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
05/21/2018	EVANS, TRUITT/ANNALYN	FORESTERS FINANCIAL	B	165.83	6.63	0.00	6.63	80.0	5.30
05/21/2018	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.00	0.00	4.00	80.0	3.20
05/22/2018	REGISTER, ERNEST M	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
06/05/2018	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
06/05/2018	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
05/21/2018	000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
05/21/2018	000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
06/01/2018	000000001325137 MCCUTCHAN, CHERYL	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
05/25/2018	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
06/01/2018	000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	2.50	0.00	2.50	80.0	2.00
06/01/2018	000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	100.00	5.00	0.00	5.00	80.0	4.00
05/21/2018	000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
06/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
06/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
06/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
06/05/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
06/01/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
05/21/2018	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
05/25/2018	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
05/21/2018	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
05/29/2018	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
05/21/2018	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
05/21/2018	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
05/21/2018	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
05/21/2018	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
06/01/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
06/05/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
06/05/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00
06/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS AMCAP FD	B	200.00	4.00	0.00	4.00	80.0	3.20
06/01/2018	00089126856 WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
06/01/2018	00089219780 CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
05/21/2018	00089499023 BRIDGES, AMY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
06/05/2018	00089527093 TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
05/21/2018	00089532734 THREADGILL, KEVIN J.	AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
06/01/2018	00089624899 AVILA, BERNADINO N.	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
05/25/2018	00089652182 MOORE, CHRISTOPHER	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
	S.								
05/25/2018	00089669681 CLINE, ELIZABETH	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
	L.								
05/30/2018	0100012200 SAMPLE, ALLISON	-OPPENHEIMER FUNDS	B	100.00	1.00	0.00	1.00	80.0	0.80
	DEVANEY								
05/29/2018	0100028590 LEIDNER, RONALD	CORPORATE BOND FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
06/01/2018	01001211841 NACCARATO, GLENNA	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
	K.								
06/05/2018	04000798740 BARTON, JEFFREY A.	AMERICAN FUNDS GROWTH FUND OF AMERI	B	50.00	2.13	0.00	2.13	80.0	1.70
05/25/2018	07004641063 GARNER, MICHELLE	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
	/ALEXI								
05/25/2018	1953181057 CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
05/25/2018	2157575480 CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
05/25/2018	2253301947 BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD	CL A B	225.00	10.69	0.00	10.69	80.0	8.55
05/29/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
05/29/2018	2270921492 LEIDNER, RONALD	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
05/30/2018	2271024364 SAMPLE, JOSHUA A.	OPPENHEIMER QUEST VALUE FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
05/29/2018	2322362261 BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	0.50	0.00	0.50	80.0	0.40
05/17/2018	2322416722 GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME	FD CL B	12.50	0.13	0.00	0.13	80.0	0.10
05/29/2018	2577714652 BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
05/21/2018	3020608025 LEIDNER, CHRISTEN	OPPENHEIMER EQUITY INCOME FD	CL C B	100.00	1.00	0.00	1.00	80.0	0.80
	J.								
05/29/2018	4000048494 CARR, KELLEY/KELLEY	-TEXAS 529 PLAN	B	100.00	4.75	0.00	4.75	80.0	3.80
05/29/2018	4000052419 EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	5.00	2.38	0.00	2.38	80.0	1.90
05/25/2018	6000752532 CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
05/30/2018	6890033154 SAMPLE, JOSHUA	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
05/25/2018	7006267253 CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
05/17/2018	7024090504 GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
05/29/2018	7970992046 GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD	CL C C B	50.00	0.45	0.00	0.45	80.0	0.36
05/29/2018	8351300640 EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
05/29/2018	8352403126 EVANS, MIKE	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.00	0.00	2.00	80.0	1.60
05/25/2018	8352785651 CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
05/21/2018	8352860308 GILLILAND, CAMERYN	OPPENHEIMER QUEST CAPITAL	VALUE B	50.00	2.38	0.00	2.38	80.0	1.90
	L.								
* MUTUAL FUNDS SUBTOTAL *				\$7,132.34	\$275.46	\$0.00	\$275.46		\$220.32

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: VARIABLE ANNUITIES									
05/31/2018	TRAILS	-JACKSON NATIONAL	B	12.25	12.25	0.00	12.25	80.0	9.80
05/18/2018	EVANS, REBECCA/MIKE	BRIGHTHOUSE FINANCIAL	B	100.00	2.00	0.00	2.00	80.0	1.60
* VARIABLE ANNUITIES SUBTOTAL *				\$112.25	\$14.25	\$0.00	\$14.25		\$11.40
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
06/15/2018	TRAIL COMMISSIONS	AMERICAN FUNDS GROUP FEES		0.00	692.09	0.00	692.09	80.0	553.65
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$692.09	\$0.00	\$692.09		\$553.65
*** BROKER TRANSACTIONS TOTAL ***				\$7,244.59	\$981.80	\$0.00	\$981.80		\$785.37

ADJUSTMENTS

06/15/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
06/15/2018	RENT: 1/2 MONTH	0.00	0.00	0.00	0.00	-100.00
06/15/2018	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	\$785.37
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	\$557.87
Year-to-date Earnings	\$17,272.88