



All Companies

02/27/2018
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COMMISSION STATEMENT March 01, 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

02/12/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
02/08/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	562.25	12.65	0.00	12.65	80.0	10.12
02/08/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	1,124.50	25.30	0.00	25.30	80.0	20.24
02/08/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	562.25	12.65	0.00	12.65	80.0	10.12
02/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
02/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
02/12/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
02/15/2018	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
02/15/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
02/15/2018	EICKMAN, LEONA E.	FORESTERS FINANCIAL	B	100.00	5.00	0.00	5.00	80.0	4.00
02/15/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
02/15/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
02/15/2018	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
02/16/2018	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	110.00	4.40	0.00	4.40	80.0	3.52
02/16/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
02/12/2018	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
02/12/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
02/05/2018	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
02/05/2018	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
02/15/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
02/15/2018	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
02/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
02/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
02/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
02/05/2018	000013912610838 DENEKAMP,	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
JAMIE										
02/05/2018	00002040607	EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
02/05/2018	00002040609	EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
02/05/2018	00052767885	KIDD, JOHN	PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
02/15/2018	00089298778	HAMILTON, KELLY	AMERICAN FUNDS 2045 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
02/16/2018	00089468758	PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
02/01/2018	1952859505	VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
02/01/2018	2270673321	BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	116.70	1.17	0.00	1.17	80.0	0.94
02/01/2018	2270962434	TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	2322362250	LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	B	65.09	0.65	0.00	0.65	80.0	0.52
02/16/2018	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME FD CL	B	12.50	0.13	0.00	0.13	80.0	0.10
02/06/2018	2323065700	BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME FD CL	B	100.00	1.00	0.00	1.00	80.0	0.80
02/01/2018	2577714674	WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
02/15/2018	4000052419	EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	25.00	1.19	0.00	1.19	80.0	0.95
02/01/2018	4206508832	VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
02/15/2018	6000754083	THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
02/01/2018	6890016181	TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
02/15/2018	7009019956	THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	2.38	0.00	2.38	80.0	1.90
02/01/2018	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
* MUTUAL FUNDS SUBTOTAL *					\$5,834.79	\$151.31	\$0.00	\$151.31		\$121.04
PRODUCT CATEGORY: VARIABLE ANNUITIES										
02/20/2018	EVANS, REBECCA	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										
03/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	572.86	0.00	572.86	80.0	458.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$572.86	\$0.00	\$572.86		\$458.27
*** BROKER TRANSACTIONS TOTAL ***					\$5,934.79	\$726.17	\$0.00	\$726.17		\$580.91

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ADJUSTMENTS

03/01/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
03/01/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
03/01/2018		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	\$580.91
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	\$353.41
Year-to-date Earnings	\$7,311.82