



All Companies

05/30/2018  
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# COMMISSION STATEMENT June 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
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
05/07/2018	KIDD, JOHN T/BRENDON	-JOHN HANCOCK FREEDOM 529	B	50.00	0.50	0.00	0.50	80.0	0.40
04/30/2018	TRAILS	-TEXAS 529 PLAN	B	7.15	7.15	0.00	7.15	80.0	5.72
05/10/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
05/10/2018	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
05/10/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
05/07/2018	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
05/07/2018	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
05/15/2018	0000000001458847 SUAREZ, EDGARD	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
05/15/2018	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
05/15/2018	0000000007602114 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
05/07/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
05/07/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B	B	127.50	3.57	0.00	3.57	80.0	2.86
05/07/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
05/07/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B	B	127.50	3.57	0.00	3.57	80.0	2.86
05/03/2018	00002040607 EICKMAN, LEONA	INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
05/03/2018	00002040609 EICKMAN, LEONA	STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
05/15/2018	00002051962 DOUGHERTY, JAMES	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
05/15/2018	00002051963 DOUGHERTY, JAMES W.	HIGH YIELD C	B	75.00	0.75	0.00	0.75	80.0	0.60
05/18/2018	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
05/10/2018	00002157010 DEDMON, CHAD AARON	GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
05/10/2018	00002157011 DEDMON, CHAD AARON	DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
05/16/2018	00083605734 BLACK, STEPHEN W.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
05/07/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
05/07/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00
05/14/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
05/14/2018	00089131074 URESTE, KAREN M.	BALANCED PORTFOLIO-A	B	115.20	3.17	0.00	3.17	80.0	2.54
05/14/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
05/14/2018	00089180105 JACOBS, GEORGE	AMERICAN FUNDS 2035 TARGET DATE-A	B	91.20	2.51	0.00	2.51	80.0	2.01
05/14/2018	00089220666 JACKSON, BRADFORD A.	AMERICAN FUNDS 2025 TARGET DATE-A	B	75.00	2.06	0.00	2.06	80.0	1.65
05/14/2018	00089220666 JACKSON, BRADFORD A.	AMERICAN FUNDS 2025 TARGET DATE-A	B	57.12	1.57	0.00	1.57	80.0	1.26
05/14/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	232.00	6.38	0.00	6.38	80.0	5.10
05/14/2018	00089220677 ZIMMERMAN, GREGORY A.	AMERICAN FUNDS 2035 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
05/14/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
05/14/2018	00089224750 HOLT, JERRY W.	AMERICAN FUNDS 2025 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
05/14/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	97.50	2.68	0.00	2.68	80.0	2.14
05/14/2018	00089233617 VANCE, GARY R.	AMERICAN FUNDS 2025 TARGET DATE-A	B	97.50	2.68	0.00	2.68	80.0	2.14
05/14/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	48.00	1.32	0.00	1.32	80.0	1.06
05/14/2018	00089258937 VILLARREAL, RICARDO A.	AMERICAN FUNDS 2020 TARGET DATE-A	B	48.00	1.32	0.00	1.32	80.0	1.06
05/14/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
05/14/2018	00089416756 BARKER, GARY D.	AMERICAN FUNDS 2025 TARGET DATE-A	B	139.20	3.83	0.00	3.83	80.0	3.06
05/16/2018	00089468758 PRUETT, JEFFREY K.	GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
05/07/2018	00089527093 TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
05/01/2018	01001211841 NACCARATO, GLENNA K.	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
05/14/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
05/14/2018	04000100704 ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
05/07/2018	04000798740 BARTON, JEFFREY A.	AMERICAN FUNDS GROWTH FUND OF AMERI	B	50.00	2.13	0.00	2.13	80.0	1.70
05/10/2018	04000846915 DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
05/14/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	24.00	0.66	0.00	0.66	80.0	0.53
05/14/2018	04000882820 SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	24.00	0.66	0.00	0.66	80.0	0.53
05/01/2018	1952859505 VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
05/07/2018	2158230662 SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
05/01/2018	2270673321 BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD	CL C B	116.70	1.17	0.00	1.17	80.0	0.94
05/01/2018	2270962434 TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD	CL C B	50.00	0.50	0.00	0.50	80.0	0.40
05/01/2018	2322362250 LIZANNAGA, DAVID	OPPENHEIMER STRATEGIC INCOME	FD CL B	65.09	0.65	0.00	0.65	80.0	0.52

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
05/08/2018	2323065700	BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME	FD CL B	100.00	1.00	0.00	1.00	80.0	0.80
05/01/2018	2577714674	WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM	VALU B	50.00	2.38	0.00	2.38	80.0	1.90
05/07/2018	2913898697	SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
05/15/2018	4000052419	EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	25.00	1.19	0.00	1.19	80.0	0.95
05/01/2018	4206508832	VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
05/07/2018	5006030992	SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD CL A	B	375.00	15.00	0.00	15.00	80.0	12.00
05/15/2018	6000754083	THOMAS, RACHEL	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
05/01/2018	6890016181	TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
05/15/2018	7009019956	THOMAS, RACHEL	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	2.38	0.00	2.38	80.0	1.90
05/07/2018	8353397086	SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL	VALUE B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *					\$6,741.46	\$206.95	\$0.00	\$206.95		\$165.55
PRODUCT CATEGORY: VARIABLE ANNUITIES										
04/30/2018	TRAILS		-JACKSON NATIONAL	B	12.16	12.16	0.00	12.16	80.0	9.73
* VARIABLE ANNUITIES SUBTOTAL *					\$12.16	\$12.16	\$0.00	\$12.16		\$9.73
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
06/01/2018	TRAIL COMMISSIONS		JOHN HANCOCK FEES		0.00	502.33	0.00	502.33	80.0	401.87
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$502.33	\$0.00	\$502.33		\$401.87
*** BROKER TRANSACTIONS TOTAL ***					\$6,753.62	\$721.44	\$0.00	\$721.44		\$577.15

**ADJUSTMENTS**

06/01/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
06/01/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
06/01/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
				<b>*** ADJUSTMENTS TOTAL ***</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-227.50</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$577.15
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	\$349.65
Year-to-date Earnings	\$16,715.01