



All Companies

02/14/2018  
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# COMMISSION STATEMENT February 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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

### BROKER TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

|            |                      |                           |   |        |       |      |       |      |       |
|------------|----------------------|---------------------------|---|--------|-------|------|-------|------|-------|
| 01/31/2018 | TRAILS               | -JOHN HANCOCK FREEDOM 529 | B | 36.90  | 36.90 | 0.00 | 36.90 | 80.0 | 29.52 |
| 01/25/2018 | EVANS, MIKE/REBECCA  | -TEXAS 529 PLAN           | B | 75.00  | 3.56  | 0.00 | 3.56  | 80.0 | 2.85  |
| 01/29/2018 | EVANS, MIKE/CORBIN   | -TEXAS 529 PLAN           | B | 50.00  | 2.38  | 0.00 | 2.38  | 80.0 | 1.90  |
| 01/31/2018 | TRAILS               | -TEXAS 529 PLAN           | B | 7.42   | 7.42  | 0.00 | 7.42  | 80.0 | 5.94  |
| 01/16/2018 | REMSBURG, CHARLES E. | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |
| 01/16/2018 | WALLS, HUNTER/KATHY  | FORESTERS FINANCIAL       | B | 100.00 | 0.90  | 0.00 | 0.90  | 80.0 | 0.72  |
| 01/16/2018 | EICKMAN, LEONA       | FORESTERS FINANCIAL       | B | 100.00 | 5.00  | 0.00 | 5.00  | 80.0 | 4.00  |
| 01/16/2018 | WALLS, KELSEY/KATHY  | FORESTERS FINANCIAL       | B | 50.00  | 0.45  | 0.00 | 0.45  | 80.0 | 0.36  |
| 01/16/2018 | WALLS, KATHY/JOSHUA  | FORESTERS FINANCIAL       | B | 75.00  | 0.68  | 0.00 | 0.68  | 80.0 | 0.54  |
| 01/16/2018 | DELANOY, CYNTHIA L.  | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |
| 01/17/2018 | FAUROT, JESSE        | FORESTERS FINANCIAL       | B | 100.00 | 5.00  | 0.00 | 5.00  | 80.0 | 4.00  |
| 01/17/2018 | WALLACE, CLAY        | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |
| 01/18/2018 | MORGAN, MICHELLE M.  | FORESTERS FINANCIAL       | B | 100.00 | 5.00  | 0.00 | 5.00  | 80.0 | 4.00  |
| 01/22/2018 | PRUETT, BRADLEY C.   | FORESTERS FINANCIAL       | B | 200.00 | 8.00  | 0.00 | 8.00  | 80.0 | 6.40  |
| 01/22/2018 | PRUETT, BRADLEY C.   | FORESTERS FINANCIAL       | B | 150.00 | 6.00  | 0.00 | 6.00  | 80.0 | 4.80  |
| 01/22/2018 | PRUETT, BRADLEY C.   | FORESTERS FINANCIAL       | B | 100.00 | 4.00  | 0.00 | 4.00  | 80.0 | 3.20  |
| 01/22/2018 | LEIDNER, RONALD      | FORESTERS FINANCIAL       | B | 100.00 | 5.00  | 0.00 | 5.00  | 80.0 | 4.00  |
| 01/29/2018 | NACCARATO, DANIEL    | FORESTERS FINANCIAL       | B | 300.00 | 12.00 | 0.00 | 12.00 | 80.0 | 9.60  |
| 02/01/2018 | DURAN, JESSICA       | FORESTERS FINANCIAL       | B | 83.00  | 1.87  | 0.00 | 1.87  | 80.0 | 1.50  |
| 02/01/2018 | YU, KEVIN S N        | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |
| 02/01/2018 | DURAN, JON M.        | FORESTERS FINANCIAL       | B | 208.00 | 4.68  | 0.00 | 4.68  | 80.0 | 3.74  |
| 02/01/2018 | DURAN, JESSICA       | FORESTERS FINANCIAL       | B | 83.00  | 1.87  | 0.00 | 1.87  | 80.0 | 1.50  |
| 02/01/2018 | EVANS, TRUITT A.     | FORESTERS FINANCIAL       | B | 170.00 | 6.80  | 0.00 | 6.80  | 80.0 | 5.44  |
| 02/01/2018 | EVANS, TRUITT A.     | FORESTERS FINANCIAL       | B | 50.00  | 2.00  | 0.00 | 2.00  | 80.0 | 1.60  |
| 02/01/2018 | MCGREGOR, CRAIG L.   | FORESTERS FINANCIAL       | B | 100.00 | 5.00  | 0.00 | 5.00  | 80.0 | 4.00  |
| 02/01/2018 | DURAN, JON M.        | FORESTERS FINANCIAL       | B | 300.00 | 6.75  | 0.00 | 6.75  | 80.0 | 5.40  |
| 02/01/2018 | WALKER, CANDACE G.   | FORESTERS FINANCIAL       | B | 75.00  | 3.75  | 0.00 | 3.75  | 80.0 | 3.00  |
| 02/01/2018 | DURAN, JON M.        | FORESTERS FINANCIAL       | B | 208.00 | 4.68  | 0.00 | 4.68  | 80.0 | 3.74  |
| 02/01/2018 | YU, KEVIN S N        | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |
| 02/01/2018 | WALKER, AARON        | FORESTERS FINANCIAL       | B | 75.00  | 3.75  | 0.00 | 3.75  | 80.0 | 3.00  |
| 02/02/2018 | SEGRETI, JOSEPH M.   | FORESTERS FINANCIAL       | B | 50.00  | 2.50  | 0.00 | 2.50  | 80.0 | 2.00  |

COMMISSION STATEMENT for JAMES W. DOUGHERTY

| TRADE DATE                            | CLIENT                                    | INVESTMENT                            | B/S     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|-------------------------------------------|---------------------------------------|---------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                                           |                                       |         |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                                           |                                       |         |                      |                     |                    |                   |      |                      |
| 02/02/2018                            | HOLLAND, CARTER                           | FORESTERS FINANCIAL                   | B       | 55.00                | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
| 01/22/2018                            | 000000000846853 SHAW, WILLIAM J.          | FRK AGGRESSIVE GRWTH - CL A           | B       | 152.78               | 4.28                | 0.00               | 4.28              | 80.0 | 3.42                 |
| 01/22/2018                            | 0000000001188301 MACKECHNIE, KRISTINA H.  | FRK TOTAL RETURN FND - CL A           | B       | 65.55                | 1.84                | 0.00               | 1.84              | 80.0 | 1.47                 |
| 02/01/2018                            | 0000000001325137 MCCUTCHAN, CHERYL        | FRANKLIN RISING DIVIDEND 2 FD         | B       | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 01/25/2018                            | 0000000001422486 MEDINA, JEANNETTE        | FRANKLIN GROWTH FD CL II              | B       | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 02/01/2018                            | 0000000007251763 SAMPLE, JOSHUA           | GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B | B       | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
| 02/01/2018                            | 0000000007304605 MEDINA, DANIEL/CRUZ      | GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B | B       | 100.00               | 5.00                | 0.00               | 5.00              | 80.0 | 4.00                 |
| 01/22/2018                            | 0000000008735514 SHAW, WILLIAM J.         | MUTUAL DISC FND - CL A                | B       | 152.78               | 4.28                | 0.00               | 4.28              | 80.0 | 3.42                 |
| 02/01/2018                            | 000015814768244 MEDINA, DANIEL            | FRANKLIN RISING DIVIDEND FD CL I      | B       | 150.00               | 7.50                | 0.00               | 7.50              | 80.0 | 6.00                 |
| 01/22/2018                            | 000015815376977 MACKECHNIE, KRISTINA H.   | FRANKLIN RISING DIVIDEND FD CL I      | B       | 65.55                | 1.84                | 0.00               | 1.84              | 80.0 | 1.47                 |
| 01/25/2018                            | 00002006020 DAVILA, NICOLE                | LIFESTYLE GROWTH PORTFOLIO C          | B       | 100.00               | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
| 01/22/2018                            | 00002047255 CAVA, ANTHONY                 | LARGE CAP EQUITY C                    | B       | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 01/26/2018                            | 00002117165 BOOTH, KATHY                  | GLOBAL SHAREHOLDER YIELD A            | B       | 150.00               | 3.15                | 0.00               | 3.15              | 80.0 | 2.52                 |
| 01/22/2018                            | 00002132113 TO (STA) TOD RULES, SUBJECT   | LARGE CAP EQUITY C                    | B       | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 01/22/2018                            | 00002158083 SMITH-DEDMON, TIFFANY CHILDER | JOHN HANCOCK SOVEREIGN BALANCED FD    | B       | 50.00                | 2.13                | 0.00               | 2.13              | 80.0 | 1.70                 |
| 01/22/2018                            | 000060177641034 MACKECHNIE, KRISTINA H.   | FRANKLIN GROWTH FD CL I               | B       | 65.55                | 1.84                | 0.00               | 1.84              | 80.0 | 1.47                 |
| 01/22/2018                            | 000090239013991 SHAW, WILLIAM J.          | FRANKLIN INCOME FD CL I               | B       | 152.78               | 4.28                | 0.00               | 4.28              | 80.0 | 3.42                 |
| 02/01/2018                            | 00074585631 LADY, ETHEL                   | AMERICAN FUNDS BALANCED FD            | B       | 50.00                | 2.13                | 0.00               | 2.13              | 80.0 | 1.70                 |
| 02/05/2018                            | 00087308914 SHULER-DENEKAMP, CHRISTY      | AMERICAN FUNDS INCOME FD OF           | AMERI B | 50.00                | 1.88                | 0.00               | 1.88              | 80.0 | 1.50                 |
| 02/05/2018                            | 00089064574 FORD, ZACHARY S.              | AMERICAN FUNDS FUNDAMENTAL            | INVES B | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
| 02/01/2018                            | 00089126856 WALLACE, LINDA                | AMERICAN FUNDS BALANCED FD            | B       | 100.00               | 2.00                | 0.00               | 2.00              | 80.0 | 1.60                 |
| 01/29/2018                            | 00089131074 URESTE, KAREN M.              | BALANCED PORTFOLIO-A                  | B       | 115.20               | 3.17                | 0.00               | 3.17              | 80.0 | 2.54                 |
| 01/29/2018                            | 00089131074 URESTE, KAREN M.              | BALANCED PORTFOLIO-A                  | B       | 115.20               | 3.17                | 0.00               | 3.17              | 80.0 | 2.54                 |
| 02/09/2018                            | 00089131074 URESTE, KAREN M.              | BALANCED PORTFOLIO-A                  | B       | 92.16                | 2.53                | 0.00               | 2.53              | 80.0 | 2.02                 |
| 02/09/2018                            | 00089131074 URESTE, KAREN M.              | BALANCED PORTFOLIO-A                  | B       | 92.16                | 2.53                | 0.00               | 2.53              | 80.0 | 2.02                 |
| 01/22/2018                            | 00089167711 HERNANDEZ, INDIRA V.          | COLLEGE 2021 FUND-529A                | B       | 100.00               | 3.50                | 0.00               | 3.50              | 80.0 | 2.80                 |
| 02/09/2018                            | 00089170160 SHAW, RANDY T.                | AMERICAN FUNDS 2035 TARGET DATE-A     | B       | 4,146.76             | 114.04              | 0.00               | 114.04            | 80.0 | 91.23                |

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|---------------------------------------|--------------------------------|-----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                                |                                   |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                                |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089170160 SHAW, RANDY T.     | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 346.16               | 9.52                | 0.00               | 9.52              | 80.0 | 7.62                 |
| 01/22/2018                            | 00089173008 HERNANDEZ, INDIRA  | AMERICAN FUNDS BALANCED FD        | B   | 200.00               | 10.00               | 0.00               | 10.00             | 80.0 | 8.00                 |
|                                       | V.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089180105 JACOBS, GEORGE     | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 86.64                | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
| 01/29/2018                            | 00089180105 JACOBS, GEORGE     | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 86.64                | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
| 02/09/2018                            | 00089180105 JACOBS, GEORGE     | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 89.21                | 2.45                | 0.00               | 2.45              | 80.0 | 1.96                 |
| 02/09/2018                            | 00089180105 JACOBS, GEORGE     | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 89.21                | 2.45                | 0.00               | 2.45              | 80.0 | 1.96                 |
| 02/01/2018                            | 00089219780 CLINE, JENNIFER R. | COLLEGE 2030 FUND-529A            | B   | 100.00               | 3.50                | 0.00               | 3.50              | 80.0 | 2.80                 |
| 01/29/2018                            | 00089220666 JACKSON, BRADFORD  | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089220666 JACKSON, BRADFORD  | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 98.52                | 2.71                | 0.00               | 2.71              | 80.0 | 2.17                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089220666 JACKSON, BRADFORD  | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 93.68                | 2.58                | 0.00               | 2.58              | 80.0 | 2.06                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089220666 JACKSON, BRADFORD  | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089220677 ZIMMERMAN, GREGORY | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 132.24               | 3.64                | 0.00               | 3.64              | 80.0 | 2.91                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089220677 ZIMMERMAN, GREGORY | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 208.80               | 5.74                | 0.00               | 5.74              | 80.0 | 4.59                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089220677 ZIMMERMAN, GREGORY | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 220.40               | 6.06                | 0.00               | 6.06              | 80.0 | 4.85                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089220677 ZIMMERMAN, GREGORY | AMERICAN FUNDS 2035 TARGET DATE-A | B   | 132.24               | 3.64                | 0.00               | 3.64              | 80.0 | 2.91                 |
|                                       | A.                             |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089224750 HOLT, JERRY W.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 92.00                | 2.53                | 0.00               | 2.53              | 80.0 | 2.02                 |
| 01/29/2018                            | 00089224750 HOLT, JERRY W.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
| 02/09/2018                            | 00089224750 HOLT, JERRY W.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 92.00                | 2.53                | 0.00               | 2.53              | 80.0 | 2.02                 |
| 02/09/2018                            | 00089224750 HOLT, JERRY W.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
| 01/29/2018                            | 00089233617 VANCE, GARY R.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 120.00               | 3.30                | 0.00               | 3.30              | 80.0 | 2.64                 |
| 01/29/2018                            | 00089233617 VANCE, GARY R.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 120.00               | 3.30                | 0.00               | 3.30              | 80.0 | 2.64                 |
| 02/09/2018                            | 00089233617 VANCE, GARY R.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 118.50               | 3.26                | 0.00               | 3.26              | 80.0 | 2.61                 |
| 02/09/2018                            | 00089233617 VANCE, GARY R.     | AMERICAN FUNDS 2025 TARGET DATE-A | B   | 118.50               | 3.26                | 0.00               | 3.26              | 80.0 | 2.61                 |
| 01/29/2018                            | 00089258937 VILLARREAL,        | AMERICAN FUNDS 2020 TARGET DATE-A | B   | 96.00                | 2.64                | 0.00               | 2.64              | 80.0 | 2.11                 |
|                                       | RICARDO A.                     |                                   |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                            | 00089258937 VILLARREAL,        | AMERICAN FUNDS 2020 TARGET DATE-A | B   | 96.00                | 2.64                | 0.00               | 2.64              | 80.0 | 2.11                 |
|                                       | RICARDO A.                     |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089258937 VILLARREAL,        | AMERICAN FUNDS 2020 TARGET DATE-A | B   | 96.00                | 2.64                | 0.00               | 2.64              | 80.0 | 2.11                 |
|                                       | RICARDO A.                     |                                   |     |                      |                     |                    |                   |      |                      |
| 02/09/2018                            | 00089258937 VILLARREAL,        | AMERICAN FUNDS 2020 TARGET DATE-A | B   | 96.00                | 2.64                | 0.00               | 2.64              | 80.0 | 2.11                 |
|                                       | RICARDO A.                     |                                   |     |                      |                     |                    |                   |      |                      |

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|--------------------------------|-------------|-------------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|-------|
| BROKER TRANSACTIONS            |             |                                     |                                     |                      |                     |                    |                   |       |                      |       |
| PRODUCT CATEGORY: MUTUAL FUNDS |             |                                     |                                     |                      |                     |                    |                   |       |                      |       |
| 01/29/2018                     | 00089416756 | BARKER, GARY D.                     | AMERICAN FUNDS 2025 TARGET DATE-A   | B                    | 139.20              | 3.83               | 0.00              | 3.83  | 80.0                 | 3.06  |
| 01/29/2018                     | 00089416756 | BARKER, GARY D.                     | AMERICAN FUNDS 2025 TARGET DATE-A   | B                    | 139.20              | 3.83               | 0.00              | 3.83  | 80.0                 | 3.06  |
| 02/09/2018                     | 00089416756 | BARKER, GARY D.                     | AMERICAN FUNDS 2025 TARGET DATE-A   | B                    | 139.20              | 3.83               | 0.00              | 3.83  | 80.0                 | 3.06  |
| 02/09/2018                     | 00089416756 | BARKER, GARY D.                     | AMERICAN FUNDS 2025 TARGET DATE-A   | B                    | 139.20              | 3.83               | 0.00              | 3.83  | 80.0                 | 3.06  |
| 01/22/2018                     | 00089499023 | BRIDGES, AMY                        | COLLEGE 2033 FUND-529A              | B                    | 100.00              | 3.50               | 0.00              | 3.50  | 80.0                 | 2.80  |
| 02/05/2018                     | 00089527093 | TERRELL, DARLA G.                   | COLLEGE 2030 FUND-529A              | B                    | 150.00              | 5.25               | 0.00              | 5.25  | 80.0                 | 4.20  |
| 01/22/2018                     | 00089532734 | THREADGILL, KEVIN J.                | AMERICAN FUNDS 2050 TARGET DATE-A   | B                    | 100.00              | 5.00               | 0.00              | 5.00  | 80.0                 | 4.00  |
| 02/01/2018                     | 00089624899 | AVILA, BERNADINO N.                 | AMERICAN FUNDS 2045 TARGET DATE-A   | B                    | 200.00              | 7.50               | 0.00              | 7.50  | 80.0                 | 6.00  |
| 01/25/2018                     | 00089652182 | MOORE, CHRISTOPHER S.               | AMERICAN FUNDS 2035 TARGET DATE-A   | B                    | 80.00               | 4.00               | 0.00              | 4.00  | 80.0                 | 3.20  |
| 01/25/2018                     | 00089669681 | CLINE,ELIZABETH L.                  | AMERICAN FUNDS 2025 TARGET DATE-C   | B                    | 100.00              | 1.00               | 0.00              | 1.00  | 80.0                 | 0.80  |
| 01/29/2018                     | 0100028590  | LEIDNER, RONALD                     | CORPORATE BOND FUND C               | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 02/01/2018                     | 01001211841 | NACCARATO, GLENNA K.                | PACIFIC LIFE FUNDS - GENERAL        | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 01/29/2018                     | 04000100704 | ROMINE, JERRY                       | AMERICAN FUNDS 2030 TARGET DATE-A   | B                    | 52.01               | 1.43               | 0.00              | 1.43  | 80.0                 | 1.14  |
| 01/29/2018                     | 04000100704 | ROMINE, JERRY                       | AMERICAN FUNDS 2030 TARGET DATE-A   | B                    | 52.01               | 1.43               | 0.00              | 1.43  | 80.0                 | 1.14  |
| 02/09/2018                     | 04000100704 | ROMINE, JERRY                       | AMERICAN FUNDS 2030 TARGET DATE-A   | B                    | 100.00              | 2.75               | 0.00              | 2.75  | 80.0                 | 2.20  |
| 02/09/2018                     | 04000100704 | ROMINE, JERRY                       | AMERICAN FUNDS 2030 TARGET DATE-A   | B                    | 99.00               | 2.72               | 0.00              | 2.72  | 80.0                 | 2.18  |
| 01/25/2018                     | 07004641063 | GARNER, MICHELLE /ALEXI             | PORTFOLIO 2025-2028 A               | B                    | 50.00               | 2.13               | 0.00              | 2.13  | 80.0                 | 1.70  |
| 01/25/2018                     | 1953181057  | CONNER, ERIN M.                     | INTERNATIONAL DIVERSIFIED FUND A    | B                    | 100.00              | 4.75               | 0.00              | 4.75  | 80.0                 | 3.80  |
| 01/25/2018                     | 2157575480  | CONNER, DUSTIN P.                   | OPPENHEIMER GLOBAL INCOME & GROWTH  | B                    | 100.00              | 4.75               | 0.00              | 4.75  | 80.0                 | 3.80  |
| 01/29/2018                     | 2157630436  | SHAW, AIMEE C.                      | OPPENHEIMER GLOBAL INCOME & GROWTH  | B                    | 375.00              | 15.00              | 0.00              | 15.00 | 80.0                 | 12.00 |
| 01/25/2018                     | 2253301947  | BRIDGES, AMY                        | OPPENHEIMER QUEST VALUE FD CL A     | B                    | 225.00              | 10.69              | 0.00              | 10.69 | 80.0                 | 8.55  |
| 01/29/2018                     | 2270673321  | BOWDEN, KELLY                       | OPPENHEIMER QUEST VALUE FD CL C     | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 01/29/2018                     | 2270921492  | LEIDNER, RONALD                     | OPPENHEIMER QUEST VALUE FD CL C     | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 01/30/2018                     | 2271024364  | SAMPLE, JOSHUA A.                   | OPPENHEIMER QUEST VALUE FD CL C     | B                    | 100.00              | 1.00               | 0.00              | 1.00  | 80.0                 | 0.80  |
| 01/29/2018                     | 2322362261  | BOWDEN, KELLY                       | OPPENHEIMER STRATEGIC INCOME FD CL  | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 02/01/2018                     | 2322416722  | GARCIA, KOLISTA                     | OPPENHEIMER STRATEGIC INCOME FD CL  | B                    | 12.50               | 0.13               | 0.00              | 0.13  | 80.0                 | 0.10  |
| 01/16/2018                     | 2323065700  | BOWLES, BRETT                       | OPPENHEIMER STRATEGIC INCOME FD CL  | B                    | 100.00              | 1.00               | 0.00              | 1.00  | 80.0                 | 0.80  |
| 01/29/2018                     | 2577714652  | BATES, STEPHEN                      | OPPENHEIMER QUEST GRWTH & INCM VALU | B                    | 125.00              | 5.94               | 0.00              | 5.94  | 80.0                 | 4.75  |
| 01/29/2018                     | 2913513081  | SHAW, AIMEE C.                      | SENIOR FLOATING RATE FUND A         | B                    | 375.00              | 11.25              | 0.00              | 11.25 | 80.0                 | 9.00  |
| 01/30/2018                     | 3020533874  | TOD-SUBJECT TO STA TOD RU           | OPPENHEIMER EQUITY INCOME FD CL C   | B                    | 50.00               | 0.50               | 0.00              | 0.50  | 80.0                 | 0.40  |
| 01/22/2018                     | 3020608025  | LEIDNER, CHRISTEN J.                | OPPENHEIMER EQUITY INCOME FD CL C   | B                    | 100.00              | 1.00               | 0.00              | 1.00  | 80.0                 | 0.80  |
| 01/29/2018                     | 4000048494  | CARR, KELLEY/KELLEY -TEXAS 529 PLAN |                                     | B                    | 100.00              | 4.75               | 0.00              | 4.75  | 80.0                 | 3.80  |

COMMISSION STATEMENT for JAMES W. DOUGHERTY

| TRADE DATE                                              | CLIENT            | INVESTMENT                                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------------------|-------------------|-------------------------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                   |                                                       |     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                   |                                                       |     |                      |                     |                    |                   |      |                      |
| 01/16/2018                                              | 4000052419        | EVANS, MIKE/BENTLEE -TEXAS 529 PLAN                   | B   | 25.00                | 1.19                | 0.00               | 1.19              | 80.0 | 0.95                 |
| 01/29/2018                                              | 5005891226        | SHAW, AIMEE C. OPPENHEIMER DISCOVERY FD CL A          | B   | 375.00               | 15.00               | 0.00               | 15.00             | 80.0 | 12.00                |
| 01/25/2018                                              | 6000752532        | CONNER, DUSTIN P. SELECT VALUE FUND A                 | B   | 100.00               | 4.75                | 0.00               | 4.75              | 80.0 | 3.80                 |
| 01/16/2018                                              | 6000754083        | THOMAS, RACHEL SELECT VALUE FUND A                    | B   | 100.00               | 4.75                | 0.00               | 4.75              | 80.0 | 3.80                 |
| 01/29/2018                                              | 6870172315        | VELEZ, GHISLANE OPPENHEIMER GLOBAL VALUE FUND A       | B   | 50.00                | 1.50                | 0.00               | 1.50              | 80.0 | 1.20                 |
| 01/30/2018                                              | 6890033154        | SAMPLE, JOSHUA OPPENHEIMER GLOBAL VALUE FUND C        | B   | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 01/30/2018                                              | 6890033352        | TOD-SUBJECT TO STA OPPENHEIMER GLOBAL VALUE FUND C    | B   | 50.00                | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
|                                                         |                   | TOD RU                                                |     |                      |                     |                    |                   |      |                      |
| 01/25/2018                                              | 7006267253        | CONNER, ERIN OPPENHEIMER MAIN STREET INCOME & GR B    |     | 100.00               | 4.75                | 0.00               | 4.75              | 80.0 | 3.80                 |
| 01/16/2018                                              | 7009019956        | THOMAS, RACHEL OPPENHEIMER MAIN STREET INCOME & GR B  |     | 50.00                | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
| 01/23/2018                                              | 7024090504        | GARCIA, KOLISTA OPPENHEIMER MAIN STREET INCOME& GRO B |     | 12.50                | 0.13                | 0.00               | 0.13              | 80.0 | 0.10                 |
| 01/29/2018                                              | 7970992046        | GARCIA, KOLISTA OPPENHEIMER FL MUNI FD CL C C B       |     | 50.00                | 0.45                | 0.00               | 0.45              | 80.0 | 0.36                 |
| 01/29/2018                                              | 8351300640        | EVANS, REBECCA OPPENHEIMER QUEST CAPITAL VALUE B      |     | 50.00                | 2.00                | 0.00               | 2.00              | 80.0 | 1.60                 |
| 01/29/2018                                              | 8352403126        | EVANS, MIKE OPPENHEIMER QUEST CAPITAL VALUE B         |     | 50.00                | 2.00                | 0.00               | 2.00              | 80.0 | 1.60                 |
| 01/25/2018                                              | 8352785651        | CLINE, CRAIG D. OPPENHEIMER QUEST CAPITAL VALUE B     |     | 50.00                | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
| 01/29/2018                                              | 8352841245        | VELEZ, GHISLANE OPPENHEIMER QUEST CAPITAL VALUE B     |     | 50.00                | 1.50                | 0.00               | 1.50              | 80.0 | 1.20                 |
| 01/22/2018                                              | 8352860308        | GILLILAND, CAMERYN OPPENHEIMER QUEST CAPITAL VALUE B  |     | 50.00                | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
|                                                         |                   | L.                                                    |     |                      |                     |                    |                   |      |                      |
| 01/29/2018                                              | 8352881439        | RANGEL, RACHEL L. OPPENHEIMER QUEST CAPITAL VALUE B   |     | 100.00               | 4.75                | 0.00               | 4.75              | 80.0 | 3.80                 |
| 01/29/2018                                              | 8353062752        | SHAW, AIMEE C. OPPENHEIMER QUEST CAPITAL VALUE B      |     | 375.00               | 15.00               | 0.00               | 15.00             | 80.0 | 12.00                |
|                                                         |                   | <b>* MUTUAL FUNDS SUBTOTAL *</b>                      |     | <b>\$18,286.35</b>   | <b>\$618.27</b>     | <b>\$0.00</b>      | <b>\$618.27</b>   |      | <b>\$494.51</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                   |                                                       |     |                      |                     |                    |                   |      |                      |
| 01/31/2018                                              | TRAILS            | -JACKSON NATIONAL                                     | B   | 12.59                | 12.59               | 0.00               | 12.59             | 80.0 | 10.07                |
|                                                         |                   | <b>* VARIABLE ANNUITIES SUBTOTAL *</b>                |     | <b>\$12.59</b>       | <b>\$12.59</b>      | <b>\$0.00</b>      | <b>\$12.59</b>    |      | <b>\$10.07</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                   |                                                       |     |                      |                     |                    |                   |      |                      |
| 02/15/2018                                              | TRAIL COMMISSIONS | FRANKLIN TEMPLETON GROUP FEES                         |     | 0.00                 | 1,488.73            | 0.00               | 1,488.73          | 80.0 | 1,191.00             |
|                                                         |                   | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>           |     | <b>\$0.00</b>        | <b>\$1,488.73</b>   | <b>\$0.00</b>      | <b>\$1,488.73</b> |      | <b>\$1,191.00</b>    |
|                                                         |                   | <b>*** BROKER TRANSACTIONS TOTAL ***</b>              |     | <b>\$18,298.94</b>   | <b>\$2,119.59</b>   | <b>\$0.00</b>      | <b>\$2,119.59</b> |      | <b>\$1,695.58</b>    |

COMMISSION STATEMENT for JAMES W. DOUGHERTY

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS

|                           |  |                              |  |        |        |        |        |  |           |
|---------------------------|--|------------------------------|--|--------|--------|--------|--------|--|-----------|
| 02/15/2018                |  | E & O INSURANCE: 1/2 MONTHLY |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -100.00   |
| 02/15/2018                |  | RENT: 1/2 MONTH              |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -100.00   |
| 02/15/2018                |  | 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   | \$1,695.58 |
| 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          | \$1,468.08 |
| Year-to-date Earnings | \$6,958.41 |