



All Companies

01/11/2018

Page No. 1

COMMISSION STATEMENT

January 16, 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

12/31/2017	TRAILS	-OPPENHEIMER FUNDS	B	5.58	5.58	0.00	5.58	80.0	4.46
12/31/2017	TRAILS	-OPPENHEIMER FUNDS	B	414.13	414.13	0.00	414.13	80.0	331.30
12/31/2017	TRAILS	-OPPENHEIMER FUNDS	B	20.63	20.63	0.00	20.63	80.0	16.50
12/31/2017	TRAILS	-OPPENHEIMER FUNDS	B	1,775.83	1,775.83	0.00	1,775.83	80.0	1,420.66
12/31/2017	TRAILS	-OPPENHEIMER FUNDS	B	2,064.51	2,064.51	0.00	2,064.51	80.0	1,651.61
12/26/2017	EVANS, MIKE/CORBIN	-TEXAS 529 PLAN	B	50.00	2.38	0.00	2.38	80.0	1.90
12/12/2017	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	7.08	0.00	7.08	80.0	5.66
12/12/2017	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	7.08	0.00	7.08	80.0	5.66
12/12/2017	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
12/15/2017	REMSBURG, CHARLES E.	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
12/15/2017	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
12/15/2017	EICKMAN, LEONA E.	FORESTERS FINANCIAL	B	100.00	4.72	0.00	4.72	80.0	3.78
12/15/2017	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
12/15/2017	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	75.00	0.68	0.00	0.68	80.0	0.54
12/15/2017	DELANOY, CYNTHIA L.	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
12/18/2017	FAUROT, JESSE	FORESTERS FINANCIAL	B	100.00	4.72	0.00	4.72	80.0	3.78
12/18/2017	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	85.00	4.01	0.00	4.01	80.0	3.21
12/18/2017	EVANS, TRUITT A.	FORESTERS FINANCIAL	B	25.00	1.18	0.00	1.18	80.0	0.94
12/18/2017	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
12/18/2017	MORGAN, MICHELLE M.	FORESTERS FINANCIAL	B	100.00	4.72	0.00	4.72	80.0	3.78
12/18/2017	WALLACE, CLAY	FORESTERS FINANCIAL	B	50.00	2.36	0.00	2.36	80.0	1.89
12/20/2017	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	200.00	9.44	0.00	9.44	80.0	7.55
12/20/2017	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	150.00	7.08	0.00	7.08	80.0	5.66
12/20/2017	PRUETT, BRADLEY C.	FORESTERS FINANCIAL	B	100.00	4.72	0.00	4.72	80.0	3.78
12/20/2017	LEIDNER, RONALD JOSEPH	FORESTERS FINANCIAL	B	100.00	4.72	0.00	4.72	80.0	3.78
12/31/2017	TRAILS	FORESTERS FINANCIAL	B	123.59	123.59	0.00	123.59	80.0	98.87
12/31/2017	TRAILS	FORESTERS FINANCIAL	B	1,187.64	1,187.64	0.00	1,187.64	80.0	950.11
12/31/2017	TRAILS	FORESTERS FINANCIAL	B	39.59	39.59	0.00	39.59	80.0	31.67
12/31/2017	TRAILS	FORESTERS FINANCIAL	B	15.84	15.84	0.00	15.84	80.0	12.67
01/05/2018	000000000686624 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

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
01/05/2018	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
12/20/2017	000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
12/20/2017	000000001188301 MACKECHNIE, KRISTINA H.	FRK TOTAL RETURN FND - CL A	B	65.55	1.84	0.00	1.84	80.0	1.47
01/02/2018	000000001325137 MCCUTCHAN, CHERYL	FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
12/26/2017	000000001422486 MEDINA, JEANNETTE	FRANKLIN GROWTH FD CL II	B	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	0000000007251763 SAMPLE, JOSHUA	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		50.00	2.50	0.00	2.50	80.0	2.00
01/02/2018	0000000007304605 MEDINA, DANIEL/CRUZ	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		100.00	5.00	0.00	5.00	80.0	4.00
12/20/2017	0000000008735514 SHAW, WILLIAM J.	MUTUAL DISC FND - CL A	B	152.78	4.28	0.00	4.28	80.0	3.42
01/05/2018	000005970849916 DAVILA, NICOLE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
01/05/2018	000005970849928 DENEKAMP, JAMIE	TEMPLETON GLOBAL OPPORTUNITY TRUST B		127.50	3.57	0.00	3.57	80.0	2.86
01/05/2018	000013912610814 DAVILA, NICOLE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
01/05/2018	000013912610838 DENEKAMP, JAMIE	FRANKLIN SPECIAL EQUITY INCOME FD C B		127.50	3.57	0.00	3.57	80.0	2.86
01/02/2018	000015814768244 MEDINA, DANIEL	FRANKLIN RISING DIVIDEND FD CL I	B	150.00	7.50	0.00	7.50	80.0	6.00
12/20/2017	000015815376977 MACKECHNIE, KRISTINA H.	FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
12/26/2017	00002006020 DAVILA, NICOLE	LIFESTYLE GROWTH PORTFOLIO C	B	100.00	1.00	0.00	1.00	80.0	0.80
12/20/2017	00002047255 CAVA, ANTHONY	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
12/26/2017	00002117165 BOOTH, KATHY	GLOBAL SHAREHOLDER YIELD A	B	150.00	3.15	0.00	3.15	80.0	2.52
12/18/2017	00002120266 BOUVIER, CHAQUOWA	LIFESTYLE GROWTH PORTFOLIO A	B	50.00	2.13	0.00	2.13	80.0	1.70
12/20/2017	00002132113 TO (STA) TOD RULES, SUBJECT	LARGE CAP EQUITY C	B	50.00	0.50	0.00	0.50	80.0	0.40
12/21/2017	00002158083 SMITH-DEDMON, TIFFANY CHILDER	JOHN HANCOCK SOVEREIGN BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
12/20/2017	000060177641034 MACKECHNIE, KRISTINA H.	FRANKLIN GROWTH FD CL I	B	65.55	1.84	0.00	1.84	80.0	1.47
12/20/2017	000090239013991 SHAW, WILLIAM J.	FRANKLIN INCOME FD CL I	B	152.78	4.28	0.00	4.28	80.0	3.42
01/02/2018	00074585631 LADY, ETHEL	AMERICAN FUNDS BALANCED FD	B	50.00	2.13	0.00	2.13	80.0	1.70
01/05/2018	00087308914 SHULER-DENEKAMP, CHRISTY	AMERICAN FUNDS INCOME FD OF	AMERI B	50.00	1.88	0.00	1.88	80.0	1.50
01/05/2018	00089064574 FORD, ZACHARY S.	AMERICAN FUNDS FUNDAMENTAL	INVES B	50.00	2.50	0.00	2.50	80.0	2.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
01/02/2018	00089126856	WALLACE, LINDA	AMERICAN FUNDS BALANCED FD	B	100.00	2.00	0.00	2.00	80.0	1.60
01/02/2018	00089219780	CLINE, JENNIFER R.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
01/05/2018	00089527093	TERRELL, DARLA G.	COLLEGE 2030 FUND-529A	B	150.00	5.25	0.00	5.25	80.0	4.20
01/02/2018	00089624899	AVILA, BERNADINO	AMERICAN FUNDS 2045 TARGET DATE-A	B	200.00	7.50	0.00	7.50	80.0	6.00
	N.									
12/26/2017	00089652182	MOORE, CHRISTOPHER	AMERICAN FUNDS 2035 TARGET DATE-A	B	80.00	4.00	0.00	4.00	80.0	3.20
	S.									
12/26/2017	00089669681	CLINE, ELIZABETH	AMERICAN FUNDS 2025 TARGET DATE-C	B	100.00	1.00	0.00	1.00	80.0	0.80
	L.									
12/26/2017	07004641063	GARNER, MICHELLE	PORTFOLIO 2025-2028 A	B	50.00	2.13	0.00	2.13	80.0	1.70
	/ALEXI									
12/26/2017	1953181057	CONNER, ERIN M.	INTERNATIONAL DIVERSIFIED FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
12/26/2017	2157575480	CONNER, DUSTIN P.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	100.00	4.75	0.00	4.75	80.0	3.80
12/26/2017	2253301947	BRIDGES, AMY	OPPENHEIMER QUEST VALUE FD CL A	B	225.00	10.69	0.00	10.69	80.0	8.55
12/26/2017	2322416722	GARCIA, KOLISTA	OPPENHEIMER STRATEGIC INCOME FD CL	B	12.50	0.13	0.00	0.13	80.0	0.10
12/28/2017	2577714652	BATES, STEPHEN	OPPENHEIMER QUEST GRWTH & INCM VALU	B	125.00	5.94	0.00	5.94	80.0	4.75
12/20/2017	3020608025	LEIDNER, CHRISTEN	OPPENHEIMER EQUITY INCOME FD CL C	B	100.00	1.00	0.00	1.00	80.0	0.80
	J.									
12/27/2017	4000048494	CARR, KELLEY/KELLEY	-TEXAS 529 PLAN	B	100.00	4.75	0.00	4.75	80.0	3.80
12/26/2017	4000052419	EVANS, MIKE/BENTLEE	-TEXAS 529 PLAN	B	75.00	3.56	0.00	3.56	80.0	2.85
12/26/2017	6000752532	CONNER, DUSTIN P.	SELECT VALUE FUND A	B	100.00	4.75	0.00	4.75	80.0	3.80
12/21/2017	6870172315	VELEZ, GHISLANE	OPPENHEIMER GLOBAL VALUE FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
12/26/2017	7006267253	CONNER, ERIN	OPPENHEIMER MAIN STREET INCOME & GR	B	100.00	4.75	0.00	4.75	80.0	3.80
12/26/2017	7024090504	GARCIA, KOLISTA	OPPENHEIMER MAIN STREET INCOME& GRO	B	12.50	0.13	0.00	0.13	80.0	0.10
12/27/2017	7970992046	GARCIA, KOLISTA	OPPENHEIMER FL MUNI FD CL C	B	50.00	0.45	0.00	0.45	80.0	0.36
12/27/2017	8351300640	EVANS, REBECCA	OPPENHEIMER QUEST CAPITAL VALUE	B	50.00	2.00	0.00	2.00	80.0	1.60
12/27/2017	8352403126	EVANS, MIKE	OPPENHEIMER QUEST CAPITAL VALUE	B	50.00	2.00	0.00	2.00	80.0	1.60
12/26/2017	8352785651	CLINE, CRAIG D.	OPPENHEIMER QUEST CAPITAL VALUE	B	50.00	2.38	0.00	2.38	80.0	1.90
12/21/2017	8352841245	VELEZ, GHISLANE	OPPENHEIMER QUEST CAPITAL VALUE	B	50.00	1.50	0.00	1.50	80.0	1.20
12/20/2017	8352860308	GILLILAND, CAMERYN	OPPENHEIMER QUEST CAPITAL VALUE	B	50.00	2.38	0.00	2.38	80.0	1.90
	L.									
12/26/2017	8352881439	RANGEL, RACHEL L.	OPPENHEIMER QUEST CAPITAL VALUE	B	100.00	4.75	0.00	4.75	80.0	3.80
* MUTUAL FUNDS SUBTOTAL *					\$11,977.33	\$5,877.11	\$0.00	\$5,877.11		\$4,701.63
PRODUCT CATEGORY: VARIABLE ANNUITIES										
12/30/2017	TRAILS	-NATIONWIDE LIFE		B	281.18	281.18	0.00	281.18	80.0	224.94
12/18/2017	EVANS, REBECCA/MIKE	BRIGHTHOUSE FINANCIAL		B	100.00	2.00	0.00	2.00	80.0	1.60
* VARIABLE ANNUITIES SUBTOTAL *					\$381.18	\$283.18	\$0.00	\$283.18		\$226.54

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BROKER TRANSACTIONS

PRODUCT CATEGORY: FIXED ANNUITIES

12/11/2017	DAVILA JR, ELIJAH	PACIFIC LIFE	B	300.00	6.00	0.00	6.00	80.0	4.80
* FIXED ANNUITIES SUBTOTAL *				\$300.00	\$6.00	\$0.00	\$6.00		\$4.80
*** BROKER TRANSACTIONS TOTAL ***				\$12,658.51	\$6,166.29	\$0.00	\$6,166.29		\$4,932.97

ADJUSTMENTS

01/16/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
01/16/2018	POSTAGE: POSTAGE	0.00	0.00	0.00	0.00	-0.67
01/16/2018	RENT: 1/2 MONTH	0.00	0.00	0.00	0.00	-100.00
01/16/2018	TECH: MONTHLY TECH SERVICES	0.00	0.00	0.00	0.00	-27.50
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-228.17

BROKER COMMISSION TOTALS

Broker Transactions	\$4,932.97
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-228.17
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$4,704.80
Year-to-date Earnings	\$5,052.03