



All Companies

12/28/2018
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COMMISSION STATEMENT

January 02, 2019

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

12/18/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	15.33	15.33	0.00	15.33	80.0	12.26
12/10/2018	HUDSON, REBECCA	-TEXAS 529 PLAN	B	150.00	7.13	0.00	7.13	80.0	5.70
12/19/2018	TRAILS	-TEXAS 529 PLAN	B	7.55	7.55	0.00	7.55	80.0	6.04
11/28/2018	NACCARATO, DANIEL	FORESTERS FINANCIAL	B	300.00	12.00	0.00	12.00	80.0	9.60
12/03/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
12/03/2018	SEGRETI, ABIGAIL R.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
12/03/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
12/03/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
12/03/2018	DURAN, JESSICA	FORESTERS FINANCIAL	B	83.00	1.87	0.00	1.87	80.0	1.50
12/03/2018	WALLS, HUNTER/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
12/03/2018	EVANS, TRUITT/ANNALYN	FORESTERS FINANCIAL	B	105.00	4.20	0.00	4.20	80.0	3.36
12/03/2018	EVANS, TRUITT/ANNALYN	FORESTERS FINANCIAL	B	165.83	6.63	0.00	6.63	80.0	5.30
12/03/2018	MCGREGOR, CRAIG L.	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
12/03/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	300.00	6.75	0.00	6.75	80.0	5.40
12/03/2018	WALKER, AARON/CANDACE	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
12/03/2018	DURAN, JON M.	FORESTERS FINANCIAL	B	208.00	4.68	0.00	4.68	80.0	3.74
12/03/2018	YU, KEVIN S N	FORESTERS FINANCIAL	B	50.00	2.50	0.00	2.50	80.0	2.00
12/03/2018	WALLS, KELSEY/KATHY	FORESTERS FINANCIAL	B	100.00	0.90	0.00	0.90	80.0	0.72
12/03/2018	WALLS, KATHY/JOSHUA	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
12/03/2018	WALLS/HARDIN, KATHY/KYNDALL	FORESTERS FINANCIAL	B	50.00	0.45	0.00	0.45	80.0	0.36
12/03/2018	WALKER, AARON	FORESTERS FINANCIAL	B	75.00	3.75	0.00	3.75	80.0	3.00
12/03/2018	HOLLAND, CARTER	FORESTERS FINANCIAL	B	55.00	2.75	0.00	2.75	80.0	2.20
12/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	15.00	6.00	0.00	6.00	80.0	4.80
12/12/2018	NACCARATO, ANA	FORESTERS FINANCIAL	B	150.00	6.00	0.00	6.00	80.0	4.80
12/10/2018	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
12/10/2018	0000000000340430 WEIDNER, CHARLES J.	FRANKLIN GROWTH OPPORTUNITIES - CLA B	B	150.00	1.50	0.00	1.50	80.0	1.20
12/20/2018	0000000000846853 SHAW, WILLIAM J.	FRK AGGRESSIVE GRWTH - CL A	B	152.78	4.58	0.00	4.58	80.0	3.66
12/20/2018	0000000001188301 MACKECHNIE,	FRK TOTAL RETURN FND - CL A	B	65.55	1.97	0.00	1.97	80.0	1.58

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
KRISTINA H.									
12/17/2018	000000001458847	SUAREZ, EDGARD FRANKLIN RISING DIVIDEND 2 FD	B	50.00	0.50	0.00	0.50	80.0	0.40
12/17/2018	000000007474954	FIIGUEROA, GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.50	0.00	1.50	80.0	1.20
GLORIMAR RIVERA									
12/17/2018	000000007602114	SHAW, GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B	B	50.00	1.50	0.00	1.50	80.0	1.20
WILLIAM/WYATT J.									
12/20/2018	000000008735514	SHAW, WILLIAM MUTUAL DISC FND - CL A	B	152.78	4.58	0.00	4.58	80.0	3.66
J.									
12/20/2018	000015815376977	MACKECHNIE, FRANKLIN RISING DIVIDEND FD CL I	B	65.55	1.97	0.00	1.97	80.0	1.58
KRISTINA H.									
12/03/2018	00002040607	EICKMAN, LEONA INVESTMENT GRADE BOND C	B	155.00	1.55	0.00	1.55	80.0	1.24
12/03/2018	00002040608	EICKMAN, LEONA US GLOBAL LEADERS GROWTH C	B	150.00	1.50	0.00	1.50	80.0	1.20
12/03/2018	00002040609	EICKMAN, LEONA STRATEGIC INCOME OPPORTUNITIES C	B	154.00	1.54	0.00	1.54	80.0	1.23
12/10/2018	00002157010	DEDMON, CHAD AARON GLOBAL EQUITY A	B	50.00	2.13	0.00	2.13	80.0	1.70
12/10/2018	00002157011	DEDMON, CHAD AARON DISCIPLINED VALUE MID CAP A	B	50.00	2.13	0.00	2.13	80.0	1.70
12/20/2018	000060177641034	MACKECHNIE, FRANKLIN GROWTH FD CL I	B	65.55	1.97	0.00	1.97	80.0	1.58
KRISTINA H.									
12/06/2018	00052767885	KIDD, JOHN PORTFOLIO 2017-2020C2	B	50.00	0.50	0.00	0.50	80.0	0.40
12/17/2018	00083605734	BLACK, STEPHEN W. AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
12/10/2018	00089131074	URESTE, KAREN M. BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
12/10/2018	00089131074	URESTE, KAREN M. BALANCED PORTFOLIO-A	B	144.00	3.96	0.00	3.96	80.0	3.17
12/10/2018	00089180105	JACOBS, GEORGE AMERICAN FUNDS 2035 TARGET DATE-A	B	106.88	2.94	0.00	2.94	80.0	2.35
12/10/2018	00089180105	JACOBS, GEORGE AMERICAN FUNDS 2035 TARGET DATE-A	B	106.88	2.94	0.00	2.94	80.0	2.35
12/10/2018	00089220677	ZIMMERMAN, GREGORY AMERICAN FUNDS 2035 TARGET DATE-A	B	290.00	7.98	0.00	7.98	80.0	6.38
A.									
12/10/2018	00089220677	ZIMMERMAN, GREGORY AMERICAN FUNDS 2035 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
A.									
12/10/2018	00089224750	HOLT, JERRY W. AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
12/10/2018	00089224750	HOLT, JERRY W. AMERICAN FUNDS 2025 TARGET DATE-A	B	125.00	3.44	0.00	3.44	80.0	2.75
12/10/2018	00089233617	VANCE, GARY R. AMERICAN FUNDS 2025 TARGET DATE-A	B	91.50	2.52	0.00	2.52	80.0	2.02
12/10/2018	00089233617	VANCE, GARY R. AMERICAN FUNDS 2025 TARGET DATE-A	B	91.50	2.52	0.00	2.52	80.0	2.02
12/10/2018	00089258937	VILLARREAL, AMERICAN FUNDS 2020 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
RICARDO A.									
12/10/2018	00089258937	VILLARREAL, AMERICAN FUNDS 2020 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
RICARDO A.									
12/10/2018	00089416756	BARKER, GARY D. AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
12/10/2018	00089416756	BARKER, GARY D. AMERICAN FUNDS 2025 TARGET DATE-A	B	174.00	4.79	0.00	4.79	80.0	3.83
12/17/2018	00089468758	PRUETT, JEFFREY K. GROWTH PORTFOLIO-A	B	300.00	12.75	0.00	12.75	80.0	10.20
12/20/2018	00089499023	BRIDGES, AMY COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	80.0	2.80
12/20/2018	00089532734	THREADGILL, KEVIN AMERICAN FUNDS 2050 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
J.										
12/03/2018	01001211841	NACCARATO, GLENNA	PACIFIC LIFE FUNDS - GENERAL	B	50.00	0.50	0.00	0.50	80.0	0.40
K.										
12/10/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
12/10/2018	04000100704	ROMINE, JERRY	AMERICAN FUNDS 2030 TARGET DATE-A	B	100.00	2.75	0.00	2.75	80.0	2.20
12/10/2018	04000846915	DAVILA, ALEX F.	AMERICAN FUNDS AMCAP FD	B	50.00	2.50	0.00	2.50	80.0	2.00
12/10/2018	04000882820	SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	120.00	3.30	0.00	3.30	80.0	2.64
12/10/2018	04000882820	SHAW, BLAKE	AMERICAN FUNDS 2060 TARGET DATE-A	B	84.00	2.31	0.00	2.31	80.0	1.85
12/20/2018	04001124398	WHITE, RENNE M.	AMERICAN FUNDS BALANCED FD	B	100.00	5.00	0.00	5.00	80.0	4.00
12/20/2018	04001124398	WHITE, RENNE M.	GROWTH AND INCOME PORTFOLIO-A	B	100.00	5.00	0.00	5.00	80.0	4.00
12/20/2018	04001130379	LEE, KAREN F.	AMERICAN FUNDS 2055 TARGET DATE-A	B	100.00	5.00	0.00	5.00	80.0	4.00
12/03/2018	1952859505	VELEZ, GHISLANE	INTERNATIONAL DIVERSIFIED FUND A	B	50.00	1.50	0.00	1.50	80.0	1.20
12/10/2018	2158230662	SHAW, AIMEE C.	OPPENHEIMER GLOBAL INCOME & GROWTH	B	375.00	15.00	0.00	15.00	80.0	12.00
12/03/2018	2270673321	BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	116.70	1.17	0.00	1.17	80.0	0.94
12/10/2018	2270673321	BOWDEN, KELLY	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
12/03/2018	2270962434	TAYLOR, VI/SHAWN	OPPENHEIMER QUEST VALUE FD CL C	B	50.00	0.50	0.00	0.50	80.0	0.40
12/10/2018	2322362261	BOWDEN, KELLY	OPPENHEIMER STRATEGIC INCOME FD CL	B	50.00	0.50	0.00	0.50	80.0	0.40
12/04/2018	2323065700	BOWLES, BRETT	OPPENHEIMER STRATEGIC INCOME FD CL	B	100.00	1.00	0.00	1.00	80.0	0.80
12/03/2018	2577714674	WHITTENBERG, MARY	OPPENHEIMER QUEST GRWTH & INCM VALU	B	50.00	2.38	0.00	2.38	80.0	1.90
12/10/2018	2913898697	SHAW, AIMEE C.	SENIOR FLOATING RATE FUND A	B	375.00	11.25	0.00	11.25	80.0	9.00
12/03/2018	3212160665	BATES, NAOMI	OPPENHEIMER CAPITAL APPREC FD CL A	B	170.00	8.08	0.00	8.08	80.0	6.46
12/03/2018	3752583097	BATES, NAOMI	OPPENHEIMER DISCIPLINED VALUE FD CL	B	100.00	4.75	0.00	4.75	80.0	3.80
12/03/2018	4206508832	VELEZ, GHISLANE	OPPENHEIMER MAIN STREET INCOME & GR	B	50.00	1.50	0.00	1.50	80.0	1.20
12/10/2018	5006030992	SHAW, AIMEE C.	OPPENHEIMER DISCOVERY FD CL A	B	375.00	15.00	0.00	15.00	80.0	12.00
12/03/2018	6890016181	TAYLOR, VI/SHAWN	OPPENHEIMER GLOBAL VALUE FUND C	B	50.00	0.50	0.00	0.50	80.0	0.40
12/10/2018	8353397086	SHAW, AIMEE C.	OPPENHEIMER QUEST CAPITAL VALUE	B	375.00	15.00	0.00	15.00	80.0	12.00
* MUTUAL FUNDS SUBTOTAL *					\$9,734.38	\$324.72	\$0.00	\$324.72		\$259.75
PRODUCT CATEGORY: VARIABLE ANNUITIES										
12/18/2018	EVANS, REBECCA/MIKE	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										
01/02/2019	TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	554.43	0.00	554.43	80.0	443.55
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$554.43	\$0.00	\$554.43		\$443.55
*** BROKER TRANSACTIONS TOTAL ***					\$9,834.38	\$881.15	\$0.00	\$881.15		\$704.90

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

01/02/2019		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
01/02/2019		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-100.00
01/02/2019		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	\$704.90
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	\$477.40
Year-to-date Earnings	\$477.40