

# **Firm Brochure (Part 2A of Form ADV)**

**DOMINION WEALTH ADVISORS, INC.  
1100 NW LOOP 410, SUITE 800  
SAN ANTONIO, TEXAS 78213  
210-265-8050  
210-348-7776**

**[www.dominionwealthadvisors.com](http://www.dominionwealthadvisors.com)**

This brochure provides information about the qualifications and business practices of Dominion Wealth Advisors. If you have any questions about the contents of this brochure, please contact us at: 210-265-8050, or by email at: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority. Additional information about Dominion Wealth Advisors, Inc. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

03-22-2012

## **Material Changes**

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### **Annual Update**

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

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### **Material Changes since the Last Update**

The U.S. Securities and Exchange Commission issued a final rule in July 2010 requiring advisers to provide a Firm Brochure in narrative “plain English” format. The new final rule specifies mandatory sections and organization.

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### **Full Brochure Available**

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: 210-265-8050 or by email at: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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# **Advisory Business**

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## **Firm Description**

Dominion Wealth Advisors, Inc. ("hereinafter called DWA") was founded in 1995. DWA engages in fee based portfolio asset management on behalf of its clients.

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## **Principal Owners**

DWA is a wholly owned subsidiary of Dominion Financial Services, Inc. ("hereinafter called DFS").

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## **Type of Advisory Services**

DWA provides portfolio management services predominately on a discretionary basis, either directly through a DWA Investment Advisor Representative (hereinafter called IAR's") or through DWA sponsored third party money managers under wrap-fee programs.

DWA recommends clients utilize DWA's related broker/dealer for efficiency. Client may request the use of a different broker/dealer to execute transactions and custody client funds. DWA will review such requests individually and may elect not to accept such account when, at DWA's sole discretion, DWA believes the circumstances do not offer reasonable efficiencies.

Clients who elect DWA to provide full discretionary services will have security transactions placed on their behalf when deemed necessary and prudent or at specific client request.

To determine the individual needs of a client, each non-institutional client will be required to complete a confidential investor profile containing a variety of personal and financial information. Requested information includes investment goals, time horizons and risk tolerance. DWA may require client to complete additional investor profiles should client experience significant change in their financial condition or familial obligations.

Through an analysis of this data, DWA develops a portfolio for each client. A DWA IAR will consult with the client on the overall investment strategy to be implemented. Client will have the opportunity to place reasonable restrictions on the management of their portfolio, such as limiting individual securities, asset allocation weightings, industries, etc. DWA will then implement, on behalf of each client, the chosen investment strategy through the purchase of a number of stocks, bonds, ETF's or mutual funds (no-load or load waived) that are deemed to be appropriate risk adjusted choices for the client. DWA will then monitor each client's portfolio and when deemed appropriate for the client will make changes in specific security selections. DWA may alter asset allocations as situations warrant based on market conditions or changes in the client's personal or family obligations.

An individual representing DWA is designated as an IAR. This IAR may be designated as a Portfolio Manager (hereinafter called PM) for a client account. An IAR of DWA is also a securities licensed registered representative (hereinafter called RR) of Dominion.

At the inception of each client relationship, the client will be provided Part 2A and 2B of Form ADV which serves as DWA's required disclosure document for individual portfolio management services. Clients electing a DWA sponsored wrap-fee program will also be provided a Schedule H brochure.

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### **Tailored Relationships**

The goals and objectives for each client are documented in the client account application. Clients may impose restrictions on investing in certain securities or types of securities. Agreements may not be assigned without client consent.

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### **Asset Management**

Assets are invested primarily in individual securities, exchanged traded funds (ETF's) or mutual funds (load-waived or no-load). Fund companies charge each fund shareholder an investment management fee that is disclosed in the fund prospectus.

The brokerage firm charges a fee for stock and bond trades which is disclosed in the contract.

Investments may also include: equities (stocks), warrants, corporate debt securities, commercial paper, certificates of deposit, municipal securities, investment company securities, mutual funds shares, U. S. government securities, options contracts and interests in partnerships.

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### **Termination of Agreement**

DWA or the client may terminate an advisory contract with ten (10) days written notice to the other party. In cases where the account is terminated, all pre-paid and unearned advisory fees will be promptly refunded to the client.

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## **Fees and Compensation**

<b>Market Value of Account</b>	<b>Annual Rate, Billed Quarterly</b>
Under - 100,000	1.45%
\$ 100,001 - 250,000	1.25%
250,001 - 500,000	1.15%
500,001 - 1,000,000	1.10%
1,000,000 - AND OVER	1.05%

Fees are negotiable. Minimum quarterly fee is \$181.25 (\$725.00 annually)

DWA also provides an institutional level of portfolio management. The minimum account size is \$1,000,000. Fee schedule for institutional portfolio management services:

Account Size		Annual Rate, Billed Quarterly
\$	1,000,000	1.00%
	1,500,000	.90%
	2,500,000	.75%
	5,000,000	.55%
	10,000,000	.35%

**NOTE:**

- (1) Contrary to what is typical of our industry, DWA fees are blended, not tiered.
- (2) Fees are negotiable for accounts larger than \$10,000,000.
- (3) If client(s) have more than one account under management, the value of all accounts combined will be used to determine the current fee to be paid.
- (4) The minimum fee is \$2,500 quarterly for institutional accounts.
- (5) Contrary to what is typical of our industry, DWA offers, where appropriate, separate individual tax free municipal bond portfolio management. Please inquire about that additional custom service and separate custom client billing. Fees for this service are negotiated and not subject to the fee schedule above.
- (6) Institutional defined: endowments and foundations, ERISA Plans (defined benefit and money purchase), corporate clients and high net worth individual clients that engage DWA's custom services as outlined in our Wealth Management Consultative Process. (Description and flow chart of the process provided separately).

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**Fee Billing**

Advisory fees will be billed quarterly in advance of the services provided. Amounts are based on the portfolio value on the last day of the previous quarter. For accounts that are opened or closed during a calendar quarter, the fee payable will be pro-rated for the period. DWA or the client may terminate an advisory contract with ten (10) days written notice to the other party. In cases where the account is terminated, all pre-paid and unearned advisory fees will be promptly refunded to the client.

Typically, DWA will receive its fees on a directly debited basis, that is, the client will authorize DWA to have the advisory fee directly debited from the account through our advisory contract. wherein the client advises their custodian to pay the fee. DWA will send a quarterly invoice to the client that shows the amount of assets that the fee was based on, the percentage fee, the calculation of the fee and amount due. Each client will receive a statement from their custodian showing all debits and credits to the account, including fees payable to DWA. If a client's account does not have sufficient cash or cash equivalents to pay fees due, an appropriate amount of assets will be liquidated to cover the fee.

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## **Other Fees**

Fully disclosed in the agreement.

FSC's trustee, Delaware Charter Guarantee and Trust, imposes an annual IRA fee which is currently \$35.00.

DWA, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

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## **Expense Ratios**

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.50 means that the mutual fund company charges 0.5% for their services. These fees are in addition to the fees paid by you to DWA.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

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## **Past Due Accounts and Termination of Agreement**

DWA reserves the right to stop work on any account that is more than 30 days overdue. In addition, DWA reserves the right to terminate any financial planning engagement where a client has willfully concealed or has refused to provide pertinent information about financial situations when necessary and appropriate, in DWA's judgment, to providing proper financial advice. Any unused portion of fees collected in advance will be refunded within 5 days.

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## **Performance-Based Fees**

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### **Sharing of Capital Gains**

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

DWA does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.



## **Types of Clients**

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### **Description**

DWA may provide investment advice to individuals, banks or thrift institutions, investment companies, pension and profit sharing plans, IRA's, trusts, estates, or charitable organizations, corporations or business entities. Client relationships vary in scope and length of service.

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### **Account Minimums**

DWA has a \$50,000 minimum account balance, clients who enter into a wrap-fee program will be subject to any account minimum required by the third-party advisor. Clients are advised that should their advisory account balance fall below \$50,000, they may no longer be receiving a good value and may wish to consider transition of the account to a retail brokerage account.

## **Methods of Analysis, Investment Strategies and Risk of Loss**

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### **Methods of Analysis**

Security analysis methods may include charting, fundamental analysis, technical analysis, and cyclical analysis.

The main sources of information include financial newspapers and magazines, inspections of corporate activities, research materials prepared by others, corporate rating services, annual reports, prospectuses, filings with the Securities and Exchange Commission, and company press releases and sources generally available on the internet.

DWA retains Contravest, Inc. to provide security analysis.

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### **Investment Strategies**

DWA employs an investment strategy that is best described as contrarian value. This strategy primarily uses common stock, ETF's and closed end taxable funds. The resulting portfolios are not always diversified.

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time.

Other strategies may include long-term purchases, short-term purchases and trading, short sales.

When individual IAR's are selected by the client as their portfolio manager, the management styles are usually more client specific and may not necessarily be accurately described as contrarian value.

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## **Risk of Loss**

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

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## **Disciplinary Information**

### **Legal and Disciplinary**

The firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

## **Other Financial Industry Activities and Affiliations**

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### **Financial Industry Activities**

DWA is a registered investment advisor with the Securities and Exchange Commission ("hereinafter called SEC").

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### **Affiliations**

DWA has arrangements that are material to its advisory or its clients with a related entity which is a broker/dealer. Please refer to the section "Brokerage Practices" for complete details.

## **Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

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### **Code of Ethics**

The employees and IAR's of DWA have committed to a Code of Ethics that will be made available upon request for review by clients and prospective clients upon request.

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### **Participation or Interest in Client Transactions**

DWA, its employees and IAR's, with knowledge of DWA's trading activity, may buy or sell securities that are also held by clients. Employees and IAR's may not trade their own securities within a time frame ahead of client trades that may effect client transactions. Employees and IAR's comply with the provisions of the DWA Compliance Manual.

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### **Personal Trading**

The Chief Compliance Officer of DWA is Shirley Crisler. She reviews all employee and IAR's trades each quarter. Her trades are reviewed by Rix Smith. The personal trading reviews ensure that the personal trading of employees and IAR's does not affect the markets, and that clients of the firm receive preferential treatment. Since most employee trades are small relative to the volume in the securities being traded, the trades have little or no effect on those securities. DWA does monitor transactions regardless.

## **Brokerage Practices**

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### **Selecting Brokerage Firms**

DFS owns DWA's related broker/dealer, Dominion Investor Services, Inc. ("hereinafter called Dominion").

DWA will generally discourage the use of broker/dealers other than Dominion (where DWA IAR's are also RR's) to execute client trades. Dominion is an introducing broker/dealer who has established agreements with First Southwest Company ("hereinafter called FSC"), a member of FINRA and SIPC, to provide execution of orders and custody of client's cash and securities.

DWA believes the conflicts of interest in recommending Dominion/FSC as their preferred broker/dealer arrangement is mitigated by improvement in transaction costs to the client, along with transaction speed, reliability, internal audit capability and general efficiency.

Dominion routinely monitors the quality of client trade executions to ensure clients are receiving the best available execution price among the competing stock exchanges and market-makers. Transaction costs paid to FSC and Dominion are fixed flat-rate fees for advisory accounts. A copy of the transactions cost schedule is provided to the client as part of the advisory contract. Profits or losses associated with managed account transaction fees are paid to and borne by Dominion not DWA or its IAR's (this includes their separate capacity as RR's of Dominion).

DWA believes that the transaction, FSC custody and clearing costs available through the Dominion/FSC arrangement have been and remain competitive. FSC is among the few outlets that provide access to several DWA preferred products.

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### **Best Execution**

DWA's executed trades are reviewed daily by Dominion for quality of execution. Dominion's review is documented monthly in its Best Execution Log. DWA does not receive any portion of the trading fees.

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### **Soft Dollars**

DWA has no "soft dollar" arrangements with FSC or Dominion to provide additional goods or services (such as security research or portfolio software) in exchange for direction of the client's brokerage account. The services used by DWA are available without reservation to all users of the FSC trading platform. As part of its fiduciary obligation to its clients, DWA will monitor transaction related costs to its client's accounts for reasonableness with prevailing market costs.

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### **Order Aggregation**

All accounts are individually managed. Order aggregation benefits are minimal in these circumstances. Therefore, DWA rarely aggregates orders.

## **Review of Accounts**

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### **Periodic Reviews**

Reviews with clients will be conducted formally at least annually, or as determined by the client, with securities held by clients reviewed on a continual basis. More frequent reviews may be conducted based on economic events, changes in markets or client circumstances. Clients which desire more frequent face-to-face meetings should contact their assigned IAR to arrange a customized meeting schedule.

Face-to-face account reviews are normally performed with the client's IAR. In addition, DWA management reviews the account holdings and activity on a monthly basis to ensure that the account continues to reflect the client's stated account objectives.

Reviews by DWA management are conducted by Rix C. Smith. Additional information about Mr. Smith can be found in Part 2B.

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### **Review Triggers**

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a client's personal situation.

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### **Regular Reports**

Account reviewers are members of the firm's Investment Committee. They are instructed to consider the client's current security positions and the likelihood that the performance of each security will contribute to the investment objectives of the client.

Clients receive periodic communications on at least an annual basis.

## **Client Referrals and Other Compensation**

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### **Incoming Referrals**

DWA has been fortunate to receive many client referrals over the years. The referrals came from current clients, estate planning attorneys, accountants, employees, personal friends of employees and other similar sources. The firm does not compensate referring parties for these referrals.

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### **Referrals Out**

DWA does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

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**Other Compensation – None**

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**Custody**

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**Account Statements**

All assets are held at FSC which provides account statements directly to clients at their address of record at least quarterly.

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**Performance Reports**

Clients are urged to compare the account statements received directly from their custodians to the performance report statements provided by DWA.

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**Net Worth Statements – None**

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**Investment Discretion**

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**Discretionary Authority for Trading**

For most portfolio management clients, DWA will be provided with full, discretionary authority to pick which securities and the amount of securities for the purchase and sale in the client's account, without obtaining specific client consent. The purchases and sales will be guided by the stated investment objectives of each client. A client may impose reasonable restrictions on the services provided for the account (for example, indication that no tobacco or defense stocks may be purchased). All such restrictions shall be documented to DWA in writing. They may be amended in writing and will be implemented when accepted by DWA. DWA reserves the right to refuse or terminate any client account (pursuant to the contract's termination clause) if the client imposes unreasonable restrictions as determined by DWA.

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**Limited Power of Attorney**

A limited power of attorney is included in the contract for the purpose of account management.

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**Voting Client Securities**

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**Proxy Votes**

Each party to DWA's Investment Advisory Agreement acknowledges that client(s) will make decisions on the voting of proxies unless DWA is authorized to do so. If authorized, DWA will always vote in the best interest of the Client(s). The client(s) have to indicate on the contract if DWA is not authorized to vote proxies.

If subject to ERISA, all decisions are reserved to the trustee or a named fiduciary of Client(s) account.

## **Financial Information**

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### **Financial Condition**

DWA does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because DWA does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$1,200 per client, and six months or more in advance.

## **Business Continuity Plan**

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### **General**

DWA has a Business Continuity Plan in place that provides detailed steps to mitigate and recover from the loss of office space, communications, services or key people.

### **Disasters**

The Business Continuity Plan covers natural disasters such as snow storms, hurricanes, tornados, and flooding. The Plan covers man-made disasters such as loss of electrical power, loss of water pressure, fire, bomb threat, nuclear emergency, chemical event, biological event, T-1 communications line outage, Internet outage, railway accident and aircraft accident.

### **Alternate Offices**

Alternate offices are identified to support ongoing operations in the event the main office is unavailable. It is our intention to contact all clients within five days of a disaster that dictates moving our office to an alternate location.

### **Loss of Key Personnel**

DWA office personnel are able to implement strategies in the event of Rix Smith's serious disability or death. DWA is currently considering the expansion of staff to facilitate ongoing operations as needed.

## **Information Security Program**

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### **Information Security**

DWA maintains an information security program to reduce the risk that your personal and confidential information may be breached.

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## Privacy Notice

DWA is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.

The categories of nonpublic information that we collect from you may include information about your personal finances, information about transactions between you and third parties, and information from consumer reporting agencies, e.g., credit reports. We use this information to help you meet your personal financial goals.

With your written permission, DWA will disclose limited information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. You may opt out from our sharing information with these nonaffiliated third parties by notifying us at any time by mail, fax, email, or in person. We share information about you with Dominion, and FSC in order to execute securities transactions on your behalf.

We maintain a secure office to ensure that your information is not placed at unreasonable risk. We restrict access to your information physically and electronically.

We do not provide your personal information to mailing list vendors or solicitors. We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our company records and your personal records as permitted by law.

Personally identifiable information about you will be maintained while you are a client, and for the required period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this Privacy Notice to you annually, in writing.



**Brochure Supplement  
(Part 2B of Form ADV)  
Dominion Wealth Advisors, Inc.  
1100 NW Loop 410, Suite 800  
San Antonio, Texas 78213  
210-265-8050**

Following are the education and business backgrounds of DWA's Management and IAR's:

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**Rix C. Smith**

1100 NW Loop 410, Suite 800  
San Antonio, Texas 78213  
210-265-8050

**Date of birth: 01-13-1956**

**Educational Background:**

BS, Our Lady of the Lake University, San Antonio, Texas - 1979

**Business Experience:**

1991 to 1992 - Dominion Investor Services, Inc.  
Executive Vice President, Registered Representative Series 7

1992 to Present - Dominion Investor Services, Inc.  
President/Director, Series 24 Principal and Series 7 Registered Representative

1995 to Present - Dominion Financial Services, Inc.  
President/Director

1995 to Present - Dominion Wealth Advisors, Inc.  
President/Director/Management

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: DWA's Board of Directors

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Mark W. Archambo**

310 SE Osage  
Bartlesville, Oklahoma 74003  
918-336-2222

**Date of birth: 01-20-1949**

**Educational Background:**

Accounting, Southern Nazarene University, Bethany, Oklahoma - 1969  
Accounting, University of Tulsa, Tulsa, Oklahoma - 1970

**Business Experience:**

1988 to Present - Archambo & Mueggenborg, PC  
President and CPA

1991 to Present - Dominion Investor Services, Inc.  
Series 24 Principal and Series 7 Registered Representative

1993 to Present - Dominion Investor Services, Inc.  
Director

1994 to Present - Archambo Financial Advisors, Inc.  
President

1995 to Present - Dominion Financial Services, Inc.  
Director

1995 to Present - Dominion Wealth Advisors, Inc.  
Director and Investment Advisor Representative

**Designations:** Certified Public Accountant, Oklahoma Accountancy Board – 1974  
Certified Financial Planner, Certified Financial Planners Board of  
Standards - 1989

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith  
Phone: 210-265-8050  
Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Kathy L. Colby**

15851 South U.S. Highway 27  
Building 80, Suite 82  
Lansing, Michigan 48906  
517-484-4884

**Date of birth: May 24, 1962**

**Educational Background:**

Associates Degree in Business Administration - 1991  
Associates Degree in Applied Science of Business, Bay De Noc College,  
Escanaba, Michigan – 1991  
BS, Michigan State University, East Lansing, Michigan - 1993

**Business Experience:**

1995 to Present - Dominion Investor Services, Inc.  
Series 24 Principal and Series 7 Registered Representative

1997 to Present - Financial Independents, Inc.  
President/Investment Advisor Representative

2009 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: Licensed as an insurance agent with various insurance providers. Provides college and retirement planning services. Sells retirement planning software. Works with a network of CPAs to provide federal, state, and local tax preparation service.

Additional Compensation: All activities provide compensation and are disclosed in Financial Independents ADV Part 2A and 2B

Supervisor: Rix Smith  
Phone: 210-265-8050  
Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Frederick M. Hanish**

307 Crestview #7  
Horseshoe Bay, Texas 78657  
512-541-7811

**Date of birth: 06-12-1955**

**Educational Background:**

BA, St. John's University, Collegeville, Minnesota – 1977

**Business Experience:**

1994 to 2007 - Russell Investments U.S. Private Client Group  
Managing Director

2007 to Present - Hanish Investment Partners, LLC  
Principal

2008 to Present - Dominion Investor Services, Inc.  
Series 24 Principal and Series 7 Registered Representative

2009 to Present - Dominion Wealth Advisors, Inc.  
Senior Managing Principal

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Phil Bryant**

2802 N. Highland Avenue, Suite B  
Jackson, Tennessee 38305  
731-664-5300

**Date of birth: 11-22-1956**

**Educational Background:**

Jackson State Community College, Jackson, Tennessee  
Middle Tennessee State University, Murfreesboro, Tennessee

**Business Experience:**

1999 to Present - Dominion Investor Services, Inc.  
Series 24 Principal and Series 7 Registered Representative

2004 to Present - Caldwell and Bryant Financial Advisors, Inc.  
Partner

2010 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith  
Phone: 210-265-8050  
Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Robert Caldwell**

2802 N. Highland Avenue, Suite B  
Jackson, Tennessee 38305  
731-664-5300

**Date of birth: 08-10-1950**

**Educational Background:**

BS, Economics and Accounting, Lambuth University, Jackson, Tennessee – 1972  
BS, Trust and Administration, National Graduate Trust School, Northwestern University – 1979

**Business Experience:**

2000 to Present - Dominion Investor Services, Inc.  
Series 26 Registered Principal and Series 6 Registered Representative

2004 to Present - Caldwell and Bryant Financial Advisors, Inc.  
Partner

2005 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: Licensed CPA, is an enrolled agent, and a federal licensed to represent taxpayers before the Internal Revenue Service

Additional Compensation: CPA practice

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Charles Kleinbrook**

2817 S. Milford Road, Suite 101  
Highland, Michigan 48357  
248-459-8960

**Date of birth: 12-03-1960**

**Educational Background:**

BA, Marquette University, Milwaukee, Wisconsin - 1983  
Doctor of Laws, Thomas Cooley Law School, Lansing, Michigan - 1987

**Business Experience:**

1989 to Present - Charles Kleinbrook, PC  
President, General Law Practice

1999 to Present - Dominion Investor Services, Inc.  
Series 7 Registered Representative

1999 to Present - Kleinbrook Financial  
President, Financial Services

2010 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Mark Planey**

15851 South U.S. Highway 27  
Building 80, Suite 82  
Lansing, Michigan 48906  
517-484-4884

**Date of birth: 11-16-1954**

**Educational Background:**

BS, Florida State University, Tallahassee, Florida - 1977

**Business Experience:**

1996 to 2007 - Comerica Securities  
Registered Representative Series 7  
Investment Advisor Representative

2007 to Present - Dominion Investor Services, Inc.  
Series 7 Registered Representative

2009 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)



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**Tom Brister**

32180 Inverness Drive  
Evergreen, Colorado 80439  
303-674-6602

**Date of birth: 01-06-1940**

**Educational Background:**

BBA, University of Mississippi, Oxford, Mississippi - 1962

**Business Experience:**

1968 to Present - Thomas S. Brister  
Certified Financial Planner

1991 to Present - Dominion Investor Services, Inc.  
Series 24 Principal and Series 7 Registered Representative

1995 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

**Designations:** Institute of Certified Financial Planners

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Alex Brister**

32180 Inverness Drive  
Evergreen, Colorado 80439  
303-674-6602

**Date of birth: 03-14-1964**

**Educational Background:**

BA, Colorado State University, Ft. Collins, Colorado - 1987

**Business Experience:**

1996 to Present - Dominion Investor Services, Inc.  
Registered Representative Series 7

2010 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Joyce Briskin**

919 Arizona Ash  
San Antonio, Texas 78232  
210-495-3224

**Date of birth: 04-17-1945**

**Educational Background:**

B.Ph, Northwestern University, Evanston, Illinois

**Business Experience:**

1995 to Present - Dominion Investor Services, Inc.  
Registered Representative Series 7

2006 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Brian Mapes**

5901 S. Westnedge Avenue, Suite 1  
Portage, MI 49002  
269-488-1707

**Date of birth: 04-28-1954**

**Educational Background:**

Western Michigan University, Kalamazoo, Michigan

**Business Experience:**

1998 to present - Self Employed  
Health and Life Insurance

2004 to present - Dominion Investor Services, Inc.  
Series 6 Registered Representative

2005 to present - Self Employed  
Income Tax Preparer

2006 to present - Self Employed  
AJ Accounting and Tax Service

2009 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Pamela Booton**

5955 Lomita Verde Circle  
Austin, Texas 78749  
512-473-6046

**Date of birth: 12-01-1952**

**Educational Background:**

BA in Mathematics, The University of Texas at Austin

**Business Experience:**

1986 to Present - Self Employed  
Insurance and fixed annuities

2005 to Present - Dominion Investor Services, Inc.  
Series 7 Registered Representative

2006 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Randall W. Smith**

1100 NW Loop 410, Suite 800  
San Antonio, Texas 78213  
210-265-8050

**Date of birth: 10-16-1957**

**Educational Background:**

BA, North Texas State University, Denton, Texas – 1980  
MBA, University of Texas, San Antonio, Texas - 1991

**Business Experience:**

1985 to Present - Self Employed  
Ranching

1997 to Present - Dominion Investor Services, Inc.  
Series 24 Principal, Series 7 Registered Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Edward George**

18207 Settlement Way  
San Antonio, Texas 78258  
210-493-0200

**Date of birth: 12-06-1947**

**Educational Background:**

BA, Waynesburg College, Waynesburg, Pennsylvania - 1971  
MBA, University of St. Thomas, Houston, Texas – 1983  
CIMA, Wharton School, University of Pennsylvania, Philadelphia, Pennsylvania - 1999

**Business Experience:**

2004 to Present - Dominion Investor Services, Inc.  
Series 7 Registered Representative

2005 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Ernest “Ernie” Boyd**  
615 SW 8<sup>th</sup> Avenue  
Amarillo, Texas 79101  
806-374-3662

**Date of birth: 05-16-1962**

**Educational Background:**

BBA Finance and Economics, Baylor University, Hankamer School of Business,  
Waco, Texas – 1984

**Business Experience:**

1985 to Present - Boyd Financial Services, Inc.  
The Boyd Agency  
Group 1 Life and Health and Property and Casualty

1995 to Present - Dominion Investor Services, Inc.  
Series 24 Principal, Series 7 Registered Representative

2010 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)



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**Don Edward “Eddie” Boyd**

615 SW 8<sup>th</sup> Avenue  
Amarillo, Texas 79101  
806-374-3662

**Date of birth: 05-03-1960**

**Educational Background:**

Amarillo College, Baylor University, American College, Life Underwriter Training Council

**Business Experience:**

1983 to Present - Boyd Financial Services, Inc.  
The Boyd Agency, Inc.  
Group 1 Life and Health and Property and Casualty

1994 to Present - Dominion Investor Services, Inc.  
Series 7 Registered Representative

2011 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith  
Phone: 210-265-8050  
Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Herbert “Herb” Troutz**

8006 West Avenue, Suite 2  
San Antonio, Texas 78213  
210-340-1140

**Date of birth: 10-02-1939**

**Educational Background:**

St. Mary’s University, San Antonio, Texas  
Certified Financial Planner, College of Financial Planning, Denver, Colorado  
Chartered Life Underwriter, The American College, Bryn Mawr, Pennsylvania  
Business Computing, Durham Business College, San Antonio, Texas

**Business Experience:**

1962 to 2000 - Prudential Financial, Specialized in Estate and Business Insurance Planning

2000 to 2012 - Financial Advisor Specializing in Retirement, Insurance and Investment Planning through Financial Network Investment, Resource Horizons Group and LPL, LLC

2012 to Present - Dominion Investor Services, Inc.  
Registered Representative Series 7

2012 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith

Phone: 210-265-8050

Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)

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**Mario Gonzalez**

602 East Calton Road, Suite 4  
Laredo, Texas 78041

**Date of birth: 06-17-1939**

**Educational Background:**

BS, University of Texas at Austin – 1962  
Trust Major at Southwestern Graduate School of Banking at Southwestern  
Methodist University

**Business Experience:**

1964 to 1966 - Assistant State Auditor for the State of Texas

1966 to Present - Certified Public Accountant

1966 to 1968 - Staff Accountant at Ernest L. LaChica, CPA

1968 to 1977 - Vice President and Senior Trust Officer at  
The Laredo National Bank

1977 to Present - Senior Partner at Gonzalez, Villarreal and Lopez, PLLC

2012 to Present - Dominion Investor Services, Inc.  
Series 6 Registered Representative

2012 to Present - Dominion Wealth Advisors, Inc.  
Investment Advisor Representative

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervisor: Rix Smith  
Phone: 210-265-8050  
Email: [shirley.dwa@domiinvestors.com](mailto:shirley.dwa@domiinvestors.com)