
FIRM DISCLOSURE BROCHURE



DOMINION WEALTH ADVISOR, LLC

420 THROCKMORTON ST. STE.200

FORT WORTH, TX 76102

(817)832-7261

DISCLAIMER:

This *FIRM BROCHURE* provides information about the qualifications and business practices of DOMINION WEALTH ADVISORS, LLC. If you have any questions about the contents of this *FIRM BROCHURE*, please contact us at (817) 832-7261. The information in this *FIRM BROCHURE* has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Addition information about DOMINION WEALTH ADVISORS, LLC is available on the SEC's website at www.adviserinfo.sec.gov (the CRD number for DOMINION WEALTH ADVISORS, LLC is 281655).

NOTE:

While DOMINION WEALTH ADVISORS, LLC may refer to itself as a “registered investment advisor” or “RIA” Clients should be aware that registration itself does not imply any level or skill or training.

MATERIAL CHANGES FROM PREVIOUS VERSION:

As this is the first *FIRM BROCHURE* (Form ADV Part 2A) prepared by DOMINION WEALTH ADVISORS, LLC, no material changes exist since there have been no previous versions.

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ADVISORY BUSINESS

INTRODUCTION

DOMINION WEALTH MANAGEMENT, LLC (hereafter “DOMINION”) is a fee-based investment adviser that offers two types of advisory services: *Portfolio Management Services and Financial Planning Services*.

DOMINION WEALTH MANAGEMENT is a newly formed investment advisory firm, but the experience, education, and background of its principals and investment adviser representatives (hereafter “IA Reps”) can be found in the accompanying *BROCHURE SUPPLEMENT* document.

DOMINION principal owners are: Kenneth Wilson (hereafter “Wilson”). Wilson owns 100% of DOMINION.

INITIAL CONSULTATION

DOMINION will begin by providing the Client a free initial consultation. DOMINION uses the initial consultation to:

- ☐ Introduce the Client to Sample Advisor’s firm, its services, and staff;
- ☐ Gather information about the Client’s investment objectives, financial condition, and risk tolerance, which DOMINION uses in forming its investment advice; and
- ☐ Reach an agreement on the terms of service and compensation arrangements.

The consultation must be completed before DOMINION will make any specific recommendations about the Client’s asset allocation or securities to buy or sell.

At the conclusion of the initial consultation, the Client will sign DOMINION’S Investment Advisory Agreement, which serves as the contract between the Client and DOMINION, specifying the precise nature of services to be rendered by Sample Advisor and fees to be paid by the Client.

PORTFOLIO MANAGEMENT SERVICES

If the Client elects *Portfolio Management Services*, the Client will have the choice of whether the portfolio management is performed on a discretionary or non-discretionary basis. DOMINION primarily seeks to manage Client accounts on a discretionary basis, but will also offer non-discretionary management services to those Clients that choose to enter their own transactions.

Whether discretionary or non-discretionary, DOMINION will evaluate the Client’s financial condition and risk tolerance in order to tailor its securities recommendations to meet the Client’s investment objectives and individual needs. DOMINION also allows the Client to impose any restrictions on investing in certain securities or types of securities.

DOMINION will make ongoing recommendations primarily involving: exchange-listed stocks, mutual funds, index funds, exchange-traded funds (ETFs), stock options, and bonds. DOMINION will not use margin or leveraged products. Given that the market will affect the value of these securities,

DOMINION will monitor Client accounts on a daily basis so that it may make any necessary transactions in discretionary accounts or make any necessary recommendations to Clients in non-discretionary accounts.

The securities mentioned above reflect a broad range of investment risk, including some securities that entail high degrees of risk, such as stock options.

DOMINION does not provide any “*wrap programs*” (programs that bundle brokerage and advisory services under a single comprehensive fee) so all securities recommended by DOMINION may include additional transaction charges by the Client’s broker-dealer/custodian separate from DOMINION’S advisory fees.

DISCRETIONARY PORTFOLIO MANAGEMENT

For discretionary accounts, the Client will grant DOMINION limited trading authority (discretionary authority). The discretionary authority will allow DOMINION to enter securities transactions on the Client’s behalf, determining which securities and the amount of securities to buy or sell. Clients will be notified of all transactions by trade confirmations and through communication with DOMINION.

DOMINION will also request the Client provide written authorization to allow DOMINION to automatically deduct its advisory fee from the Client’s account (discussed at greater length in the “FEES AND COMPENSATION” section on page 5 of this FIRM BROCHURE); however, DOMINION will not have the authority to make any other withdrawals from the Client’s account(s) under management.

As all Clients will be recommended discretionary portfolio management, DOMINION anticipates the vast majority of its Portfolio Management Services will be rendered on a discretionary basis. With regard to current discretionary accounts, DOMINION had no discretionary assets under management at the time this document was prepared (5 OCTOBER 2015) since it had not yet started operation at that time.

DOMINION recommends the Client grant discretionary authority to DOMINION so that it may execute recommendations in a timely fashion, but Clients should always review their brokerage account statements to verify the trading activity and withdrawals that occur in their account(s).

NON-DISCRETIONARY PORTFOLIO MANAGEMENT

For non-discretionary accounts, DOMINION will prepare securities recommendations as it does for discretionary accounts, but will provide these recommendations to the Client directly so that the Client may enter the transaction on their own.

Since DOMINION will recommend all Clients grant it discretionary authority, DOMINION anticipates very little of its Portfolio Management Services to be rendered on a non-discretionary basis. With regard to current non-discretionary accounts, DOMINION had no non-discretionary assets under management at the time this document was prepared (5 OCTOBER 2015) since it had not yet started operation at that time.

Since DOMINION merely recommends securities transactions for non-discretionary accounts, Clients should take measures to ensure that recommendations are executed in a timely fashion and should review their account(s) to ensure that transactions were entered properly.

FINANCIAL PLANNING SERVICES

If the Client elects Financial Planning Services, DOMINION may extend the initial consultation to include discussions necessary to begin creating a financial plan or may arrange a follow-up meeting to review additional information about the Client's finances. In any case, the Client will have the choice to:

- (a) Consult with DOMINION on the Client's overall financial situation and obtain a comprehensive, written financial plan; or
- (b) Consult with DOMINION on a specific topic or an individual security.

As the *Comprehensive Financial Plan* option would include the opportunity to discuss any specific topic or any individual security, DOMINION recommends this option for all new Clients. For returning Clients that need to consult with DOMINION on a specific topic or individual security, they can do so during an Annual Financial Plan Review or engage DOMINION for a *Separate Financial Planning Consultation*.

COMPREHENSIVE FINANCIAL PLAN

DOMINION will review all aspects of the Client's finances to prepare a written financial plan that makes comprehensive recommendations to help the Client meet their financial objectives. These areas of analysis include: overall asset allocation, securities recommendations, insurance needs, consumer debt, retirement planning, college planning, savings & budgeting.

DOMINION will compile this financial information and use it to construct a *Comprehensive Financial Plan* tailored to the Client's specific financial situation. The written financial plan will typically be constructed within a month, but will never take longer than 2 months.

Clients can execute the *Comprehensive Financial Plan* on their own or Sample Advisor can assist in implementation. If *Portfolio Management Services* are recommended in the *Comprehensive Financial Plan*, Clients may engage DOMINION for those *Portfolio Management Services* as described above.

ANNUAL FINANCIAL PLAN REVIEW

As financial conditions or objectives change over time, Clients should engage IA REPS to review their financial plan annually. Largely, this review merely confirms the Client's financial information is accurate, evaluates whether the financial plan is reaching its goals, and makes any revisions needed. However, at this annual review, Clients may also raise new objectives or discuss other financial topics of their choice. Also, if Clients experience life-changing events, they may initiate an *Annual Financial Plan Review* earlier than the typical annual time frame.

SEPARATE FINANCIAL PLANNING CONSULTATION

If Clients need to consult with DOMINION outside of the initial consultation(s) that led to their *Comprehensive Financial Plan* and before their Annual Financial Plan Review, Clients may engage I REPS on a limited basis. DOMINION is available through a *Separate Financial Planning Consultation* to make changes to a *Comprehensive Financial Plan*, discuss a specific financial topic, or evaluate a specific securities investment.

FEES AND COMPENSATION

MANAGEMENT FEE FOR PORTFOLIO MANAGEMENT SERVICES

Whether *Portfolio Management Services* are performed on a non-discretionary basis, DOMINION charges the same management fee based on a percentage of assets under management. The percentage of assets charged per year (annum) is listed in the following table by assets level.

ASSET LEVEL	PERCENT OF ASSETS UNDER MANAGEMENT PER QUARTER
Under \$100,000	2 Percent Per Annum
\$100,001 up to \$250,000	1.75 Percent Per Annum
250,0001 up to \$500,000	1.5 Percent Per Annum
\$500,001 and over	1 Percent Per Annum

DOMINION does not negotiate its management fee, but does offer discounts to select friends, employees and family.

DOMINION charges the above management fee at the end of each calendar quarter. As the management fees are charged in arrears, DOMINION does not offer refunds as services have already been performed. For the first quarter a Client engages DOMINION or if a Client terminates the service during the quarter, the fee will be prorated for only those days that DOMINION rendered its services.

For Clients that provide written authorization to their broker-dealer/custodian, DOMINION will arrange to have its management fee automatically deducted from the Client's brokerage account. In this case, the Client's broker-dealer/custodian will send statements, at least quarterly, to the Client that will reflect the advisory fee paid to DOMINION, but the Client should verify the accuracy of fees paid.

DOMINION requests all Clients allow for the direct deduction of fees, but for those Clients that do not, DOMINION will send directly to the Client an invoice for DOMINION'S fees. This invoice will require payment within thirty days after the mailing date on the invoice.

PLANNING FEES FOR FINANCIAL PLANNING SERVICES

For *Comprehensive Financial Plans* and *Annual Financial Plan Reviews*, DOMINION charges a fixed fee; however, for *Separate Financial Planning Consultations*, DOMINION charges an hourly fee.

FINANCIAL PLANNING SERVICE	FEE TYPE AND AMOUNT
Comprehensive Financial Plan	\$1,500 Fixed Fee
Annual Financial Plan Review	\$500
Separate Financial Planning Consultations	\$100 Hourly

DOMINION may negotiate its fixed fee amount for *Comprehensive Financial Plans* based on the complexity of the financial plan.

Typically, the standard financial plan takes 10 hours; those plans that take significantly less time may negotiate a lower fee while those financial plans that take significantly longer may be charged a slightly higher amount. Additionally, Sample Advisor may offer discounts to select friends, employees and family. The final amount will be specified in the *Investment Advisory Agreement*.

The fixed fees for Annual Financial Plan Reviews and the hourly rate for *Separate Financial Planning Consultations* are both non-negotiable. If the *Annual Financial Plan Review* or *Separate Financial Planning Consultation* finds that a new *Comprehensive Financial Plan* needs to be prepared and Clients engage DOMINION to do so, Clients will be charged for a new *Comprehensive Financial Plan* minus either the \$500 paid for the *Annual Financial Plan Review* or the total hourly fees charged for the *Separate Financial Planning Consultation*.

DOMINION charges the above financial planning fees upon delivery of the *Comprehensive Financial Plan* or the *Annual Financial Plan Review*. Hourly fees are charged at the conclusion of the *Separate Financial Planning Consultation*. As all the financial planning fees are charged in arrears, DOMINION does not offer refunds as services will have already been performed. If a Client chooses to terminate *Financial Planning Services* before the product is delivered or service is complete, DOMINION will charge a prorated amount for the work completed and will deliver any work product completed.

If *Financial Planning Clients* have been recommended *Portfolio Management Services* and provide written authorization to their broker-dealer/custodian so that DOMINION can deduct its management fees directly from their brokerage account, those Clients may also opt to have their financial planning fees deducted from their brokerage account as well. In that case, the Client's broker-dealer/custodian will send statements, at least quarterly, to the Client that will reflect the advisory fees paid to DOMINION, but the Client should verify the accuracy of fees paid.

Otherwise, DOMINION will include an invoice upon delivery of the *Comprehensive Financial Plan* or *Annual Financial Plan Review* or at the conclusion of the *Separate Financial Planning Consultation*. This invoice will require payment within thirty days after delivery.

OTHER COMPENSATION & COMMISSIONS

In addition to the management and financial planning fees described above, individual IA Reps of DOMINION may also be licensed as insurance agents to sell insurance products and may receive insurance commissions for the sale of those insurance products.

This creates a conflict of interest and may offer IA Reps an incentive to recommend insurance products that produce insurance commissions for the IA Rep. When any such recommendations are made, IA Reps will disclose their commissions prior to completing any transaction and will obtain specific consent from the Client before purchasing any insurance product. Additionally, Clients always have the option to purchase insurance products through other agents not affiliated with DOMINION.

Such insurance commissions will be a marginal part (approximately 10 percent) of the IA Reps' business as their primary focus will be the investment advisory business rather than their insurance business. Any insurance commissions will be charged separately through the insurance company or agency and remitted to the IA Rep in their capacity as an insurance agent. DOMINION will not receive any insurance commissions paid to its IA Reps.

Any insurance commissions will be in addition to the advisory fees and DOMINION will not reduce advisory fees for Clients that purchase insurance products through DOMINION'S IA Reps.

Aside from the insurance compensation described above, DOMINION'S IA Reps will receive compensation of sale of Securities that are purchased outside of the Managed Account agreement, in the form of commissions. The commission price will be based upon funds chosen and directly reflective of sales charges in the fund's prospectuses. In regards to stock purchases, DOMINION charges a flat rate of \$25.00 per trade.

PERFORMANCE BASED FEES & SIDE-BY-SIDE MANAGEMENT

DOMINION does not charge performance-based fees (fees based on gains) and so none of its Clients' accounts will ever be managed side-by-side any performance-based accounts.

TYPES OF CLIENTS

DOMINION will provide advisory services to various types of Clients, including:

- ☐ Individuals: The majority of DOMINION'S Clients will be individuals seeking financial planning and management services for their personal accounts. Financial Planning Services, and all other services provided by DOMINION will be performed without regard to client's account value.
- ☐ Small Businesses and Non-Profits: Occasionally, Sample Advisor will provide advisory services to small businesses and non-profits seeking financial planning or management services for their organization's interests. Services of this nature will be performed without regard to the business's or Non-Profit's account value.

METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS

For *Financial Planning Services*, DOMINION analyzes the Client's financial goals and objectives, income and spending, savings and investments, risks and insurance needs, asset allocation, and tax implications. This analysis seeks to ensure that the Client's needs are addressed while making progress toward their financial goals and objectives.

For *Portfolio Management Services*, DOMINION uses fundamental and technical analysis to determine the investments in a given portfolio.

In its fundamental analysis, DOMINION seeks to determine the intrinsic value of equities based on a thorough analysis of the fundamental business factors of the given stock(s) at issue. This includes: analysis of financial statements, earnings, dividends, management structure, competitive advantages, product offerings, competitors and markets. In essence, this method of analysis evaluates the overall condition of the company (or companies in a mutual fund or ETF) to determine whether it is a sound investment. Despite the fundamental analysis performed by DOMINION, any investment in securities carries market risk and investors may lose their principal investment.

In its technical analysis, DOMINION seeks to determine the future direction of prices through the study of past market data, primarily price and volume. This is done by charting the movement of investments to identify trends and patterns used in the selection of securities to purchase and price points to buy and sell. DOMINION uses a number of stock screeners and other software to chart and analyze the movement of various investments. Despite the technical analysis performed by Sample Advisor, any investment in securities carries market risk and investors may lose their principal investment.

For Portfolio Management Services, the investment strategies used will vary depending on the Client's financial goals and risk tolerance. Generally, Clients seeking capital preservation with limited risk will be managed with passive strategies using fixed income products (e.g. bonds) and index funds whereas Clients seeking growth with greater risk will be managed with active strategies using stocks, mutual funds, and ETFs..

While DOMINION will not engage in day-trading, active strategies may entail additional risk due to a greater frequency in transactions, which may involve additional brokerage fees, transaction costs, and taxes.

DISCIPLINARY INFORMATION

Neither DOMINION nor any of its related persons (including management and IA Reps) have had any legal or disciplinary events in their past. Clients and prospective Clients can always view the CRD records (registration records) for DOMINION or any of its IA Reps through the SEC's Investment Adviser Public Disclosure (IAPD) website at www.adviserinfo.sec.gov or through FINRA's BrokerCheck database online at www.finra.org/brokercheck if the IA Rep is also a broker-dealer agent. The CRD number for DOMINION is 281655 and the CRD numbers for management and IA Reps are listed alongside their biographical information in the accompanying BROCHURE SUPPLEMENT document.

OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS

While DOMINION is not an insurance agency, IA Reps of DOMINION may be licensed as independent insurance agents and have affiliations with the various insurance companies whose products they sell. Specifically, Kenneth Wilson is a licensed as independent insurance agent in Texas. As AN IA Rep of DOMINION, Wilson may recommend insurance products and may also, as independent insurance agents, sell those recommended insurance products to Clients. When such recommendations or sales are made, a conflict of interest exists as Wilson earns insurance commissions for the sale of those products, which may create an incentive to recommend such products. DOMINION requires that all IA Reps disclose this conflict of interest when such recommendations are made. Also, DOMINION requires IA Reps to disclose that Clients may purchase recommended insurance products from other insurance agents not affiliated with DOMINION.

CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

CODE OF ETHICS

Pursuant to SEC Rule 204A-1, DOMINION has a Code of Ethics that promotes the fiduciary duty of DOMINION and its IA Reps. The Code of Ethics articulates the importance of trust as a foundation to the relationship between an investment adviser and its Clients and establishes policies and procedures to ensure that DOMINION and its IA Reps place the interests of the Clients first. The Code of Ethics requires that DOMINION and its IA Reps adhere to all applicable securities and related laws and regulations. The Code of Ethics also requires DOMINION and its IA Reps follow industry “best practices” involving: confidential information, suitability of investments, personal trading on the part of DOMINION and its IA Reps, outside business activities of IA Reps, and the disclosure of conflicts of interest.

A copy of the Adviser’s Code of Ethics is available upon request for any Client or prospective Client.

PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

While DOMINION has no proprietary interest in Client transactions, its IA Reps may have a financial interest in those recommended transactions that involve the purchase of an insurance product. As explained in the “*OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS*” section (page 9), Wilson is licensed as an independent insurance agent in TEXAS. As an IA Rep of DOMINION, Wilson may recommend insurance products and may also, as an independent insurance agent, sell those recommended insurance products to Advisory Clients. When such recommendations or sales are made, a conflict of interest exists as Wilson will earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. DOMINION requires that all IA Reps disclose this conflict of interest when such recommendations are made. Also, DOMINION requires IA Reps to disclose that Advisory Clients may purchase recommended insurance products from other insurance agents not affiliated with DOMINION.

BROKERAGE PRACTICES

DOMINION will recommend products from Fidelity Investments (hereafter “Fidelity”) to all Advisory Clients using DOMINION’S *Portfolio Management Services* and other Advisory Clients that request a recommended broker-dealer and custodian. DOMINION recommends Fidelity primarily for their breadth and scope of research and comprehensive trading platform.

RESEARCH AND OTHER SOFT DOLLAR BENEFITS

While not a factor in DOMINION’S recommendation of Fidelity, This Broker Dealer does offer proprietary research tools and publications created by themselves to their account holders. DOMINION will have access to these research tools and publications, which may be considered “soft dollar benefits” and constitute a conflict of interest. As DOMINION and its IA Reps have accounts at the above mentioned Broker Dealer, the benefits of the research tools and publications are already available to DOMINION regardless of the Client’s decision to invest with Fidelity. DOMINION will use Fidelity’s research tools and publications to service all Advisory Clients regardless of the broker-dealer/custodian they choose to use, but Clients who invest with Fidelity will also have their own access to the research tools and publications as Fidelity account holders. Again, Clients have no obligation to use Fidelity for their broker-dealer and custodian.

DIRECTED BROKERAGE AND AGGREGATED ORDERS

DOMINION will rely on Fidelity (or the broker-dealer/custodian selected by the Client) for the execution of transactions and will not direct trades to specific brokers. As such, Clients may not receive the lowest price possible if they were to have their trades directed to specific brokers.

While DOMINION may make the same recommendations for similarly-situated Clients, DOMINION will not aggregate Clients' orders.

REVIEW OF ACCOUNTS

For *Portfolio Management Clients*, DOMINION reviews all Clients' account holdings daily, but reviews individual Client accounts on a quarterly basis in conjunction with calculating their management fees. *Portfolio Management Clients* are encouraged to meet with DOMINION at least once per year to review their account as a whole, ensuring that the management aligns with their current financial condition, goals and objectives.

For *Financial Planning Clients*, DOMINION reviews the Client's account in the initial preparation of a *Comprehensive Financial Plan* and may review the Client's account during a *Separate Financial Planning Consultation*, but does not review those accounts again unless engaged for an *Annual Financial Plan Review*. *Financial Planning Clients* are encouraged to meet with DOMINION at least once per year to review their account as a whole, ensuring that their financial plan aligns with their current financial condition, goals and objectives.

CLIENT REFERRALS AND OTHER COMPENSATION

DOMINION will not compensate other financial professionals (e.g. accountants, tax preparers) to refer their Clients to DOMINION, as this arrangement is inconsistent with the spirit of healthy business practices insofar as Registered Investment Advisor, Kenneth Wilson is concerned.

CUSTODY

Clients will engage an independent broker-dealer and custodian to maintain their accounts and so DOMINION will not have physical custody of Clients' assets, monies, or securities.

INVESTMENT DISCRETION

As described in the "ADVISORY BUSINESS" section (pages 3-5 of this FIRM BROCHURE), DOMINION will have investment discretion for those Advisory Clients that elect *Discretionary Portfolio Management Services*. Clients will select this option specifically in DOMINION's *Investment Advisory Agreement* and will sign a trading authorization form with their broker-dealer/custodian.

When Advisory Clients grant discretionary authority to DOMINION, Clients may still place restrictions on the advisor, such as a prohibition on investing in specific securities, industries, or markets that the Client chooses. Additionally, unless specifically instructed otherwise by the Client, DOMINION seeks to maintain diversified investment portfolios for its Portfolio Management Clients and will not concentrate more than 15 percent of a Client's investable assets into any ETF or non-diversified product (e.g. stock, bond, options contract) and will not concentrate more than 50 percent of a Client's investable assets into any diversified products (e.g. mutual funds, index funds). If Client insists on focusing more than the above percentage into the specified classes, he/she will sign a form indicating that DOMINION advised against such.

VOTING CLIENT SECURITIES

For any security that entails a voting right in the underlying company, DOMINION will not have or accept authority to vote Client securities. All voting issues, proxies, and solicitations will be communicated to Advisory Clients through the Client's broker-dealer/custodian. Upon request, however, DOMINION may help explain or answer questions regarding a given voting issue.

FINANCIAL INFORMATION

DOMINION would be required to disclose additional financial information if it were to charge fees in advance, but as described in the "ADVISORY BUSINESS" section (pages 3-5 of this FIRM BROCHURE), DOMINION charges all advisory fees in arrears, upon delivery of a plan, or at the conclusion of a consultation. In any case, DOMINION, its management and IA Reps have no material financial information (e.g. bankruptcies, liens, judgments) in their backgrounds.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS

DOMINION has only one principal executive officer (or management persons): Kenneth Wilson. His biographical information is given on the attached BROCHURE SUPPLEMENT document.

Under the "FEES AND COMPENSATION" section of this FIRM BROCHURE, the subsection titled "OTHER COMPENSATION" explains that IA Reps of DOMINION may also be licensed as insurance agents and may receive insurance commissions for the sale of insurance products. This activity and the conflicts of interest associated with it are discussed at greater length in the "OTHER COMPENSATION" subsection on page 7 of this FIRM BROCHURE.

DOMINION would be required to disclose additional information if it: were to charge performance based fees; had any other relationship or arrangement with any issuer of securities; or was ever found liable in either: (a) an arbitration, or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to DOMINION, its management persons, or IA Reps, DOMINION has no information to disclose in these regards.