

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

**CRD 106918**

**DOMINION PORTFOLIO MANAGEMENT, INC.**

**9000 HIGHWAY 2147 WEST, SUITE 201**

**HORSESHOE BAY, TEXAS 78657**

**210-265-8050**

**210-764-5353 (FAX)**

**FRANKLIN TEMPLETON MUTUAL FUND PROGRAM**

This brochure provides information about Dominion Portfolio Management, Inc. Registration as a Registered Investment Advisor does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at: 210-265-8050, or by email at: shirley.dpm@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 Portfolio Management, Inc. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

03-15-2023

## Material Changes (Item 2)

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### Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur.

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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.

Dominion Portfolio Management became a SEC registered investment advisor on May 13, 2019. All amendments to the Firm Brochure are prepared in accordance with the SEC's rules and requirements.

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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, 800-929-5667 or by email at: [shirley.dpm@domiinvestors.com](mailto:shirley.dpm@domiinvestors.com)

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#### Advisory Business (Item 4)

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##### Firm Description

Dominion Portfolio Management, Inc. ("hereinafter called DPM") was founded in 1995 and is a SEC registered investment adviser with its principal place of business located in Texas. DPM engages in fee based portfolio asset management on behalf of its clients.

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##### Principal Owner

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

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##### Type of Advisory Services

DPM provides portfolio management services on a discretionary basis through a DPM Investment Advisor Representative. The Franklin Templeton Mutual Fund Program is managed by Drew Nixon, Investment Advisor Representative. Mr. Nixon's information can be found in Part 2B.

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##### Asset Management

Client assets are invested in mutual fund shares of Franklin Templeton.

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##### Termination of Agreement

DPM or the client may terminate an advisory contract with ten (10) days written notice to the other party. If Part 2 of Form ADV is not delivered to the client at least forty-eight (48) hours prior to the client entering into any written contract with this investment adviser, then the client has the right to terminate the contract without penalty within five (5) business days after entering into the contract. For the purposes of this provision, a contract is considered entered into when all parties to the contract have signed the contract.

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 (Item 5)

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##### Mutual fund Fees

Franklin Templeton Funds are purchased at net asset value. DPM's management fee is 2%. The 2% management fee is offset by 12b(1) fees that Franklin Templeton pays to DPM's affiliate Broker/Dealer.

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##### Assets Under Management

DPM had \$188,055,684 under management in all of its advisory services offered as of December 31, 2022.

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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.

DPM 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. The refund of a fee is determined as follows: the daily rate is calculated by dividing the quarterly fee by the number of days in the quarter. The refund is equal to the daily rate times the number of days remaining in the quarter including the day of notice from the client.

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Typically, DPM will receive its fees on a directly deducted basis, that is, the client will authorize DPM to have the advisory fee directly deducted from the account through our advisory contract wherein the client advises their custodian to pay the fee. Each client will receive a statement from their custodian reflecting the fee deducted from the account and paid to DPM. 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

Franklin Templeton internal fund fees.

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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 DPM.

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

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

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#### Performance-Based Fees (Item 6)

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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.

DPM 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.

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#### Types of Clients (Item 7)

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##### Description

DPM may provide investment advice to individuals, high net worth individuals and businesses. Client relationships vary in scope and length of service.

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#### Methods of Analysis, Investment Strategies and Risk of Loss (Item 8)

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##### Methods of Analysis

**Mutual Funds:** Investing in mutual funds carries the risk of capital loss and thus you may lose money investing in mutual funds. All mutual funds have costs that lower investment returns. They can be of bond "fixed income" nature (lower risk) or stock "equity" nature (mentioned above). Periods of underperformance by Franklin Templeton Funds may affect your account's performance. Additionally, as part of the strategy is to avoid downside volatility, there is risk of being out the market during sharp market reversals.

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## Risk of Loss

All investment programs have certain risks that are borne by the investor. Investing in securities involves risk of loss. Clients should be prepared to bear. 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 clients 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 (Item 9)

### Legal and Disciplinary

The firm paid \$122,200 in 2019 and \$188,000 in 2020 and \$150,000 in 2021 to settle client complaints against a former advisor.

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## Other Financial Industry Activities and Affiliations (Item 10)

### Affiliations

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

Some of DPM's IAR's own an accounting firm or an insurance agency (see Part 2B for information). DPM does not control the accounting firm or insurance agency.

Code of Ethics, Participation or Interest in Client Transactions and Personal Trading (Item 11)

**DPM Code of Ethics and Personal Securities Transactions:** Federal and SRO registered personnel, employees, and members of their immediate family for potential violations of insider trading rules, front-running, free-riding and withholding. In addition, DPM now also monitors for evidence of mutual fund arbitrage trading.

To facilitate review and supervision of its associated persons personal and familial securities accounts, DPM most strongly encourages each IAR and employee to maintain all non-employer sponsored securities accounts through DPM. Individuals that prefer to hold personal or familial accounts at another institution or possess certificates will be held to strict adherence to the rules of ensuring copies of all statements and transactions are promptly forwarded to DPM for review and inclusion in the IAR's file. It is the IAR'S responsibility to ensure copies of statements are delivered to DPM. IAR's holding accounts at other broker-dealers will be charged reasonable fees for supervision of outside accounts

Personnel who fail to ensure or are negligent in providing required documents as specified above will be compelled to hold their accounts at DPM. The sanction for willful evasion of DPM's supervisory requirements is immediate termination.

DPM has adopted the following Code of Ethics relative to personal securities transactions and our insider trading policy:

**DPM CODE OF ETHICS**

Dominion Portfolio Management is an investment adviser registered with the Securities and Exchange Commission to engage in the investment advisory business. SEC Rule 204A-1 (the Rule) requires all RIA's to have a code of ethics to which all access persons must adhere. This Code of Ethics (Code) requires all IAR's to know, acknowledge and comply with all applicable securities laws. The Code is intended to reflect the fiduciary principles and standards that regulate the conduct of DPM RIA and its associated and access persons. The Code includes provisions covering Insider Trading, confidentiality of client information, spreading rumors, acceptance of gifts and business entertainment items (and reporting thereon). All of these are detailed in the following sections.

- A(1) Individuals covered by the Code – any person deemed to be an access person. This would include all DPM Main Office personnel that may have access to client files, trading, and personal client information.
- A(2) All IAR's and any potential access person will be required to execute acknowledgement of the Code. Additionally, all personnel are required to disclose any financial interest that may impact their duties or potentially create conflicts of interest.
- B. Protection of non-public information
  - 1. Confidential client information – in the normal process of business DPM IAR's may receive confidential client information. This client information is subject to Regulation S-P.
  - 2. Material non-public information – insider trading. See Section 4.8 of the DPM Compliance Manual.



### C. Personnel Securities Transactions

The staff and IAR's of DPM are allowed to have open end mutual fund shares that are also owned by clients. These funds price after-market daily.

All of the following are always prohibited:

1. Defraud a client in any manner
2. Mislead a client; including omitting omissions of material fact
3. Engage in any act or practice that will deceive a client
4. Engage in any manipulative with clients or securities
5. Favor one client over another

All DPM access persons are required to disclose any significant gifts or entertainment over \$100 that is business related.

All DPM access persons are required to acknowledge this Code and the associated compliance manual no less than annually.

Penalties for violations to include warnings, suspension, and termination.

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### Participation or Interest in Client Transactions

None

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### Brokerage Practices (Item 12)

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#### Selecting Brokerage Firms

Dominion Investor Services, Inc. is DPM's affiliated Broker/Dealer and is named as such on the Franklin Templeton account application. Dominion Investor Services, Inc. receives 12b(1) fees from Franklin Templeton. These 12b(1) fees offset the client's 2% fee paid to DPM.

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### Review of Accounts (Item 13)

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#### Periodic Reviews

DPM managed accounts are reviewed by Rix Smith and Shirley Crisler. Account reviews are performed on a monthly basis to ensure that the account continues to reflect the client's stated account objectives.

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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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#### Performance Reports

Client statements are provided by Franklin Templeton which contains statistical information.

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### Client Referrals and Other Compensation (Item 14)

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#### Incoming Referrals

DPM may receive referrals from various sources. The firm does not compensate referring parties for these referrals.

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#### Referrals Out

DPM 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 (Item 15)

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Account Statements

Statements are provided by Franklin Templeton. All fund shares and money market balances are held in custody at Franklin Templeton.

DPM does not have custody of any client funds or shares except for its authorization for deduction of management fees.

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Investment Discretion (Item 16)

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Discretionary Authority for Trading

For all discretionary portfolio management clients, DPM will be provided with full, discretionary authority to pick which mutual funds and the amount of shares 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.

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Limited Power of Attorney (for discretionary accounts only)

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

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Voting Client Securities (Item 17)

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Proxy Votes

All proxy information is sent directly to the client by Franklin Templeton. Any determination to vote yes or no to any issue is solely the decision of the client. The client may contact DPM for an opinion.

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Financial Information (Item 18)

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Financial Condition

DPM does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients. DPM has never filed for bankruptcy protection.

A balance sheet is not required to be provided because DPM does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$500 per client, six months or more in advance.

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Business Continuity Plan

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General

DPM 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.

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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.

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#### 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.

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#### Loss of Key Personnel

DPM office personnel are able to implement strategies in the event of Rix Smith's serious disability or death.

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#### Information Security Program

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##### Information Security

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

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##### Privacy Notice

DPM 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, DPM 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. DPM shares information about you with Dominion and HTS 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.

## Fiduciary Advisor Acknowledgement

When we provide investment advice to you regarding your retirement plan account or individual retirement account, we are fiduciaries within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money creates some conflicts with your interests, so we operate under a special rule that requires us to act in your best interest and not put our interest ahead of yours.

Under this special rule's provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.

**Customer Relationship Summary:** In addition to our Firm Brochure, more information can be found in this brochure about fees, conflicts and legal status.

**Best Interest Evaluations for Rollovers:** To assist clients receiving distributions from an employer plan, this thorough document will guide the client through all options to consider in arriving at the best decision.

Questions regarding the Fiduciary Advisor Acknowledgement or any other matter can be directed to Shirley Crisler, Chief Compliance Officer, at 210-265-8050, 800-929-5667 or email to [scrisler.dpm@domiinvestors.com](mailto:scrisler.dpm@domiinvestors.com).

**Firm Brochure Supplement  
(Part 2B of Form ADV)**

**CRD 106918**

**DOMINION PORTFOLIO MANAGEMENT, INC.  
9000 HIGHWAY 2147 WEST, SUITE 201  
HORSESHOE BAY, TEXAS 78657**

**210-265-8050**

**210-764-5353 (FAX)**

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

The attached brochure supplements provide information about the educational and business backgrounds, business addresses and telephone numbers of the Investment Advisor Representatives of Dominion Portfolio Management, Inc. You should have received a copy of that brochure. Please contact Shirley Crisler, Senior Vice President, if you did not receive Dominion Portfolio Management's brochure or if you have any questions about the contents of this supplement.

Additional information about Dominion Portfolio Management, Inc. and its Investment Advisor Representatives is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

09-02-2021

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Dominion Portfolio Management, Inc.

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Rix Smith, CRD #1061442  
9000 Highway 2147 West, Suite 201  
Horseshoe Bay, Texas 78657  
210-265-8050

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

**Educational Background:** BS, Our Lady of the Lake University, San Antonio, Texas, 1979

**Business Experience:**

<u>1991 to 1992</u>	Dominion Investor Services, Inc. Executive Vice President, Registered Representative
<u>1992 to Present</u>	Dominion Investor Services, Inc. President/Director, Principal and Registered Representative
<u>1995 to Present</u>	Dominion Financial Services, Inc. (holding company of Dominion Investor Services and Dominion Portfolio Management) President/Director
<u>1995 to Present</u>	Dominion Portfolio Management, Inc. President/Director/Management/Investment Advisor Representative

**Designations:** None

**Disciplinary Information:** The individual has not been involved in any disciplinary or administrative proceedings.

**Other Business Activities:** Rental property

**Additional Compensation:** Rental income

Supervisor: DPM's Board of Directors  
Phone: 210-265-8050  
Email: [shirley.dpm@domiinvestors.com](mailto:shirley.dpm@domiinvestors.com)

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Drew E. Nixon, CRD #1610065  
1509 West Panola  
Carthage, Texas 75633  
903-693-9133

**Date of Birth:** 11-21-1959

**Educational Background:** Bachelor of Business Administration, Accounting, Stephen F. Austin State University, Nacogdoches, Texas, August 1982, Graduated Summa Cum Laude, Beta Alpha Psi: National Honors Accounting, Beta Gamma Sigma: National Honors Business, Certified Public Accountant, March 1984

**Business Experience:**

<u>1984 to Present</u>	Drew Nixon, CPA
<u>2005 to Present</u>	Texas Financial Center Insurance Sales
<u>2005 to 2016</u>	VSR Financial Services, Inc. Registered Representative
<u>2005 to 2016</u>	VSR Advisory Services Investment Advisor Representative
<u>2011 to Present</u>	Nixon & Woodfin, CPAs
<u>2016 to 2017</u>	Summit Financial Group Investment Advisor Representative
<u>2016 to 2017</u>	Summit Brokerage Services, Inc. Registered Representative
<u>2017 to Present</u>	Dominion Investor Services, Inc. Registered Representative
<u>2017 to Present</u>	Dominion Portfolio Management, Inc. Investment Advisor Representative

**Designations:** Certified Public Accountant, passed the Uniform CPA Examination, received a baccalaureate or graduate degree

**Disciplinary Information:** The individual has not been involved in any disciplinary or administrative proceedings.

**Other Business Activities:** Insurance, Real Estate Agent, Event Rentals and Rental Property 8 hours a week during trading hours

**Additional Compensation:** Commissions from insurance products, real estate and event rental accessories

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

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William Dale Hester, CRD #1992112  
951 West Dallas Street  
Canton, Texas 75103  
903-567-6262

**Date of Birth:** 07-16-1954

**Educational Background:** Bachelor of Arts, Economics, University of New Mexico, Albuquerque, New Mexico, May 1976; Masters of Business Administration, Accounting and Finance, May 1977; Certified Public Accountant, January 1979

**Business Experience:**

<u>1987 to Present</u>	W. Dale Hester Insurance Services Owner
<u>1988 to Present</u>	Hester Financial Services, Inc. Financial Consultant
<u>1990 to Present</u>	Hester Jason PC Certified Public Accountant
<u>2005 to 2016</u>	VSR Financial Services, Inc. Registered Representative
<u>2007 to 2016</u>	VSR Advisory Services Investment Advisor Representative
<u>2016 to 2017</u>	Summit Brokerage Services, Inc. Registered Representative
<u>2016 to 2017</u>	Summit Financial Group, Inc. Investment Advisor Representative
<u>2017 to Present</u>	Dominion Investor Services, Inc Registered Representative
<u>2017 to Present</u>	Dominion Portfolio Management, Inc. Investment Advisor Representative

**Designations:** Certified Public Accountant, passed the Uniform CPA Examination, received a baccalaureate or graduate degree

**Disciplinary Information:** The individual has not been involved in any disciplinary or administrative proceedings.

**Other Business Activities:** Crooked Creek Water Supply, R4HR, Inc, R4HR Holdings, Inc., HCO Clearmark Financial & Insurance Services, LLC, HCO Four Trees Real Estate Services, LLC, Talisman Business Advisors, LLC (DBA TransWorld Business Advisors), Bison Creek Management Services, LLC, HomePlace Senior Solutions, Inc.

**Additional Compensation:** R4HR, Inc., R4HR Holdings, LLC, HCO Clearmark Financial & Insurance Services, LLC, Clearmark Financial and Insurance Services, HCO Four Trees Real Estate Services, LLC, Talisman Business Advisors, LLC (DBA TransWorld Business Advisors)

Supervisor: Rix Smith

Phone: 210-265-8050

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



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James E. (Jim) Hughes, Jr., CRD #2964182  
150 West Gibson Street, Suite 100  
Jasper, Texas 75951  
409-384-4441

**Date of Birth:** 01-10-1963

**Educational Background:** Associate of Science, Ranger College, Ranger, Texas 1983,  
Chartered Retirement Planning Counselor Designation, American College, Denver,  
Colorado

**Business Experience:**

<u>1997 to Present</u>	Texas Financial Center Insurance Sales
<u>2005 to 2016</u>	VSR Financial Services, Inc. Registered Representative
<u>2009 to 2016</u>	VSR Advisory Services Investment Advisor Representative
<u>2016 to 2017</u>	Summit Financial Group Investment Advisor Representative
<u>2016 to 2017</u>	Summit Brokerage Services, Inc. Registered Representative
<u>2017 to Present</u>	Dominion Investor Services, Inc. Registered Representative
<u>2017 to Present</u>	Dominion Portfolio Management, Inc. Investment Advisor Representative

**Designations:** Chartered Retirement Planning Counselor, requires a study of pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations.

**Disciplinary Information:** The individual has not been involved in any disciplinary or administrative proceedings.

**Other Business Activities:** James E. Hughes, Jr. dba Texas Financial Center, life and health insurance sales, agent/broker, Timberlake Insurance Group, LLC, property and casualty insurance sales, agent and minority owner, James E. Hughes, Jr. dba Hughes Renal Properties, real estate holdings company

**Additional Compensation:** Income from Texas Financial Center, Timberlake Insurance Company and Hughes Rental Property

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

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Charles E. Maraggia, CRD #7298225  
1509 Panola  
Carthage, Texas 75633  
903-693-9133

**Date of Birth:** 05-03-1991

**Educational Background:** Bachelor of Arts, Criminal Justice, Stephen F. Austin State University, Nacogdoches, Texas, May 2013

**Business Experience:**

<u>2014 to 2017</u>	Grand Prairie Police Department Officer
<u>2017 to 2020</u>	Frisco Police Department Officer
<u>2013 to 2021</u>	U.S. Army Reserves Captain
<u>2020 to Present</u>	Drew Nixon, CPA Administrative Assistant
<u>2021 to Present</u>	Dominion Investor Services, Inc. Registered Representative
<u>2021 to Present</u>	Dominion Portfolio, Management, Inc. Investment Advisor Representative

**Designations:** Received a baccalaureate or graduate degree, Advanced Peace Officer License; Captain, U.S. Army Reserves

**Disciplinary Information:** The individual has not been involved in any disciplinary or administrative proceedings

**Other Business Activities:** None

**Additional Compensation:** Staff position at Drew Nixon, CPA

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