



## IAPD Report

# Travis E Dougherty

CRD# 4264760

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### Travis E Dougherty (CRD# 4264760)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/27/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	FISHER INVESTMENTS	CRD# 107342	01/18/2025

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	ONEAMERICA SECURITIES, INC.	4173	Portland, OR	05/03/2023 - 12/31/2024
<b>B</b>	ONEAMERICA SECURITIES, INC.	4173	Portland, OR	05/02/2023 - 12/31/2024
<b>IA</b>	MML INVESTORS SERVICES, LLC	10409	LAKE OSWEGO, OR	09/02/2022 - 04/10/2023

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1





## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **FISHER INVESTMENTS**  
Main Address: 6500 INTERNATIONAL PKWY  
STE 2050  
PLANO, TX 75093-8222  
Firm ID#: 107342

	Regulator	Registration	Status	Date
	Oregon	Investment Adviser Representative	Approved	01/23/2025
	Texas	Investment Adviser Representative	Restricted Approval	01/18/2025
	Washington	Investment Adviser Representative	Approved	03/18/2025

### Branch Office Locations

**FISHER INVESTMENTS**  
5525 NW Fisher Creek Dr  
Camas, WA 98607




## Qualifications

### PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	06/18/2015

#### General Industry/Product Exams

Exam	Category	Date
 Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	05/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/03/2006

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/14/2025
  Uniform Combined State Law Examination (S66)	Series 66	02/24/2006

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/03/2023 - 12/31/2024	ONEAMERICA SECURITIES, INC.	CRD# 4173	Portland, OR
B	05/02/2023 - 12/31/2024	ONEAMERICA SECURITIES, INC.	CRD# 4173	Portland, OR
IA	09/02/2022 - 04/10/2023	MML INVESTORS SERVICES, LLC	CRD# 10409	LAKE OSWEGO, OR
B	08/11/2022 - 04/10/2023	MML INVESTORS SERVICES, LLC	CRD# 10409	LAKE OSWEGO, OR
B	05/19/2015 - 07/11/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SAN RAMON, CA
IA	05/19/2015 - 07/11/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SAN RAMON, CA
B	07/02/2014 - 03/31/2015	SAMMONS FINANCIAL NETWORK, LLC	CRD# 158538	WEST DES MOINES, IA
B	03/25/2013 - 07/02/2014	SAMMONS SECURITIES COMPANY, LLC	CRD# 115368	PORTLAND, OR
IA	05/31/2012 - 02/19/2013	EDWARD JONES	CRD# 250	OREGON CITY, OR
B	05/30/2012 - 02/19/2013	EDWARD JONES	CRD# 250	OREGON CITY, OR
B	08/05/2008 - 05/31/2012	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
IA	08/05/2008 - 02/25/2011	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	PORTLAND, OR
IA	02/27/2006 - 07/15/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PORTLAND, OR
B	01/05/2006 - 07/15/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PORTLAND, OR
B	09/28/2000 - 03/09/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/28/2000 - 03/09/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN



## Registration & Employment History

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2024 - Present	FISHER INVESTMENTS	PORTFOLIO COUNSELOR	Y	CAMAS, WA, United States
05/2023 - 12/2024	OneAmerica Securities	Registered Rep	Y	Portland, OR, United States
03/2023 - 12/2024	American United Life	Agent	Y	Portland, OR, United States
08/2022 - 04/2023	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Lake Oswego, OR, United States
07/2022 - 04/2023	MASS MUTUAL INSURANCE COMPANY	AGENT	Y	Lake Oswego, OR, United States
05/2015 - 06/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BANC OF AMERICA INVESTMENT SERVICES, INC.
<b>Allegations:</b>	CUSTOMER VERBALLY ALLEGED THAT EQUITIES PURCHASED IN JUNE 2008 WERE UNSUITABLE. COMPENSATORY DAMAGES UNSPECIFIED.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/15/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	08/15/2008
<b>Settlement Amount:</b>	\$34,105.33
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	SETTLEMENT OF VERBAL COMPLAINT. TRADES WERE CANCELLED AT NO LOSS TO THE CUSTOMER. LOSS TO THE FIRM WAS \$34,105.33.

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<b>Reporting Source:</b>	Individual
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**Employing firm when activities occurred which led to the complaint:** BANC OF AMERICA INVESTMENT SERVICES, INC.

**Allegations:** CLIENTS ALLEGE THAT TRADES PLACED IN JUNE OF 2008 WERE UNSUITABLE.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$34,105.33

### Customer Complaint Information

**Date Complaint Received:** 08/15/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/15/2008

**Settlement Amount:** \$34,105.33

**Individual Contribution Amount:** \$0.00

**Broker Statement** TRADES WERE PLACED WITH IMPLICIT UNDERSTANDING OF THE CLIENTS THAT THE MARKETPLACE CARRIES RISK AND THAT THESE MONIES WERE BEING USED TO SUPPLEMENT INCOME. CLIENTS WERE UNSATISFIED WITH THE CURRENT RATES ON CD'S AND FELT THAT THE PREFERRED SECURITIES I RECOMMENDED WERE SUITABLE GIVEN THE YIELD AND THE CREDIT QUALITY (FNMPRS AA, FREPRZ AA, GEJ AAA, GAR AAA AND INSURED BY MBIA). THESE WERE NOT SPECULATIVE TRADES BUT WERE DESIGNED TO SUPPLEMENT INCOME AND WERE NOT MADE FOR APPRECIATION POTENTIAL. THIS VERBAL COMPLAINT WAS MADE AFTER MY DECISION TO CHANGE FIRMS AND ROLES. AS SUCH, I WAS NOT ABLE TO ATTEMPT TO RESOLVE THIS CASE WITH THE CLIENTS AND THE COMPLAINT WAS THEN HANDLED BY MY FORMER MANAGEMENT TO THE BEST OF THEIR ABILITY. THESE CLIENTS HAVE BEEN BOUNCED AROUND FROM ADVISOR TO ADVISOR UNTIL I MET WITH THEM AND IT IS MY FEELING THAT THIS IS LESS ABOUT THE TRANSACTION AND MORE ABOUT THEIR RELATIONSHIP WITH BANC OF AMERICA INVESTMENT SERVICES, INC.



## End of Report

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