

BrokerCheck Report

MINDY LEIGH DOUGHERTY

CRD# 4226611

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

MINDY L. DOUGHERTY

CRD# 4226611

Currently employed by and registered with the following Firm(s):**IA STATE FARM INVESTMENT MANAGEMENT CORP.**

524 Morton St
Elkhart, KS 67950
CRD# 3487

Registered with this firm since: 03/06/2019

B STATE FARM VP MANAGEMENT CORP.

524 Morton St
Elkhart, KS 67950-5016
CRD# 43036
Registered with this firm since: 08/03/2000

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 2 U.S. states and territories

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

No information reported.

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **STATE FARM INVESTMENT MANAGEMENT CORP.**

Main Office Address: **ONE STATE FARM PLAZA
B-2
BLOOMINGTON, IL 61710-0001**

Firm CRD#: **3487**

U.S. State/ Territory	Category	Status	Date
IA Kansas	Investment Adviser Representative	Approved	03/06/2019
IA Oklahoma	Investment Adviser Representative	Approved	05/02/2019

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.

524 Morton St
Elkhart, KS 67950-5016

Employment 2 of 2

Firm Name: **STATE FARM VP MANAGEMENT CORP.**

Main Office Address: **ONE STATE FARM PLAZA
BLOOMINGTON, IL 61710-0001**

Firm CRD#: **43036**

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	08/03/2000

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Kansas	Agent	Approved	01/02/2001
B Oklahoma	Agent	Approved	03/02/2001

Branch Office Locations

STATE FARM VP MANAGEMENT CORP.

524 Morton St
Elkhart, KS 67950-5016

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/02/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/06/2019
B Uniform Securities Agent State Law Examination	Series 63	08/04/2000

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
No information reported.			

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2020 - Present	Mindy Dougherty Insurance Agency	TASP office - Owner Operator	Y	Liberal, KS, United States
04/2020 - Present	STATE FARM INVESTMENT MANAGEMENT CORP	TASP office - Investment Adviser Representative	Y	Liberal, KS, United States
04/2020 - Present	State Farm VP Management Corp	TASP office - registered representative	Y	liberal, KS, United States
02/2019 - Present	STATE FARM INVESTMENT MANAGEMENT CORP	Investment Adviser Representative	Y	Elkhart, KS, United States
01/2001 - Present	MINDY DOUGHERTY INSURANCE AGENCY	OWNER/OPERATOR	Y	ELKHART, KS, United States
01/2001 - Present	STATE FARM VP MANAGEMENT CORP	REGISTERED REPRESENTATIVE	Y	ELKHART, KS, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

1) Monroe Family Trust Apartments; Investment-Related; 532 Colorado Street, Elkhart, KS; Investment or Commercial Property; Bookkeeper; 08/01/2004; I am on the signature card for the account, can deposit rents, refund deposits, pay bills and have helped in the cleaning and maintenance of the building. I also reconcile the bank account.

Registration and Employment History



Other Business Activities, continued

2) ELKHART LIONS CLUB; NON-INVESTMENT-RELATED; 202 MORTON ELKHART, KS 67950; MEMBERSHIP/CIVIL/FRATERNAL ORGANIZATION; OFFICER; 07/01/2011; TREASURER, TRACK INCOME AND EXPENSES AND PAY BILLS FOR CLUB; 1 HR/MTH-NONE DURING TRADING HOURS.

3) HIGH PLAINS HEALTH FOUNDATION; INVESTMENT-RELATED; 141 HILLTOP ELKHART, KS, 67950; ASSOCIATION/COMMITTEE/COUNCIL; SECRETARY; ENDOWMENT COMMITTEE; 06/01/2013; 1HR/M; 0 SECURITIES HR; VOTE ON BANK PRODUCTS; FUND SMALL PURCHASES FOR HEALTHCARE.

4) Elkhart Church of the Nazarene; non-investment-related; Colorado & Sid, Elkhart, KS 67950; Membership/Civil/Fraterna Organization; Secretary; 7/1/11; 2 hrs/mo; 0 hrs/mo; assist in planning church events and direction of the church mission. Cooking, cleaning. I am a cosignor on church checking accounts but am not called to do that very often. Haven't ever done it to my knowledge.

5) M 2 Bar Holdings LLC; non-investment-related; RT 2 box 119 Balko OK 73931; Investment or Commercial Property; Treasurer - owner, officer; 10-15-2017; 2; 0; holding of ownership of inherited land, minerals and apartment building. Other three in the LLC are my siblings, treasurer, owner, officer, Control of the checkbook, Review bank statements, make deposits in the checking account, Pay bills/Co-Signor on checking account, review tenant applications, coordinate repairs and maintenance,

6) Mindy Dougherty's Insurance Agency; Insurance Agency; Investment-related; 524 Morton St Elkhart, KS 67950-5016; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Owner; Agent; 01/01/2001; 80; 80; Service customers and supervise employees

7) GrowKS Loan Fund Selection Committee; non-investment-related; 400 Orchard St Elkhart KS 67950; association/committee/council; board member; board member; 08/01/2022; 1; 0; Financial review for E-Community to make decisions locally for projects applying for Rural/Urban-Distressed GROWKS Loans and Minority/Women-Led GROWKS Loans

8) City of Elkhart Planning Commission; non-investment-related; 433 Morton St Elkhart KS 67950; Association/Committee/Council; Board Member; None; 01/01/2023; 0; 0; Planning commission in case of rezoning of our town. They meet about once every five years or so and only if something doesn't get handled in the appeals process is when it comes to the actual board

End of Report



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