

PRAIRIEVIEW
WEALTH PARTNERS

Brochure Supplement

(Part 2B of Form ADV)

Effective: 12/30/2024

28 W. Nebraska St.

Frankfort, IL 60423

Telephone: 708-326-4750

Prairieviewwealthpartners.com

This Brochure Supplement provides information about the following Supervised Persons:

Kaitlyn M. Hedger (CRD# 7064953)

This brochure supplements the PrairieView Wealth Partners, LLC ("PrairieView") Brochure (Part 2A of Form ADV). You should have received a copy of PrairieView's Brochure (Part 2A of Form ADV). Please contact Michelle McCarthy, Chief Compliance Officer at 513-832-5447 or by email at michelle.mccarthy@dinsmorecomplianceservices.com if you did not receive PrairieView's Brochure or if you have any questions about the contents of this supplement.

Additional information about Ms. Hedger is available on the SEC's Investment Advisor Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her individual CRD# 7064953.

EDUCATION AND BUSINESS STANDARDS

PrairieView requires that any employee whose function involves determining or giving investment advice be properly licensed for all advisory activities in which they are engaged.

SUPERVISION

All Supervised Persons (i.e. PrairieView's professional team) listed on the front page of this Brochure Supplement provide advice to clients. This advice is monitored by other members of PrairieView's professional team. Robert Morvice is the Director of Operations for PrairieView and he supervises all activities of the Firm. All Supervised Person's compliance-related activities are monitored by PrairieView's Chief Compliance Officer, Michelle McCarthy. Michelle McCarthy's compliance-related activities are monitored by Timothy Regan. Mr. Regan can all be reached at 708-326-4750.

ITEM 2 - EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Kaitlyn M. Hedger – Marketing Manager

Education Background:

- Year of Birth: 1996
- University of Indianapolis – BA – Communications

Business Background:

Ms. Hedger's business background includes the following:

- *PrairieView Wealth Partners, LLC – Associate Wealth Advisor (09/2023 – Present)*
- *Thrivent Advisor Network, LLC – Marketing Manager (11/2022 – 09/2023)*
- *Midwest Legacy Group, LLC – Operations Manager (01/2019 – 10/2022)*
- *The Millennium Group – Assistant (07/2018 – 12/2018)*
- *American Cruise Lines – Cruise Director (05/2018 – 07/2018)*
- *University of Indianapolis – Student (09/2014 – 05/2018)*

Business Address:

28 W. Nebraska St.
Frankfort, IL 60423

ITEM 3 - DISCIPLINARY INFORMATION

There are no legal, civil or disciplinary events to disclose regarding Ms. Hedger. Ms. Hedger has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Hedger.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Hedger.

ITEM 4 - OTHER BUSINESS ACTIVITIES:

Insurance Agency Affiliations

Ms. Hedger is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Ms. Hedger's role with PrairieView. As an insurance professional, Ms. Hedger will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Ms. Hedger is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This practice presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Ms. Hedger or the Advisor. Ms. Hedger spends approximately 10% of her time per month in this capacity.

Tax Services Affiliations

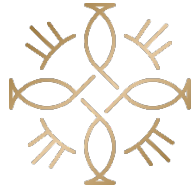
Ms. Hedger is a contract employee of PrairieView Tax, and as a result a conflict of interest may exist to the extent that PrairieView clients utilize the tax preparation and planning services and PrairieView would directly benefit from the receipt of service fees paid by customers.

ITEM 5 - ADDITIONAL COMPENSATION:

Currently, Ms. Hedger has no additional compensation.

ITEM 6 - SUPERVISION

See page 2.



PRAIRIEVIEW
WEALTH PARTNERS

Brochure Supplement

(Part 2B of Form ADV)

Effective: 12/30/2024

28 W. Nebraska St.

Frankfort, IL 60423

Telephone: 708-326-4750

Prairieviewwealthpartners.com

This Brochure Supplement provides information about the following Supervised Persons:

Robert E. Morvice Jr., CFP® (CRD# 4639497)

This brochure supplements the PrairieView Wealth Partners, LLC ("PrairieView") Brochure (Part 2A of Form ADV). You should have received a copy of PrairieView's Brochure (Part 2A of Form ADV). Please contact Michelle McCarthy, Chief Compliance Officer at 513-832-5447 or by email at michelle.mccarthy@dinsmorecomplianceservices.com if you did not receive PrairieView's Brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Morvice is available on the SEC's Investment Advisor Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his individual CRD# 4639497.

EDUCATION AND BUSINESS STANDARDS

PrairieView requires that any employee whose function involves determining or giving investment advice be properly licensed for all advisory activities in which they are engaged.

SUPERVISION

All Supervised Persons (i.e. PrairieView's professional team) listed on the front page of this Brochure Supplement provide advice to clients. This advice is monitored by other members of PrairieView's professional team. Robert Morvice is the Director of Operations for PrairieView and he supervises all activities of the Firm. All Supervised Person's compliance-related activities are monitored by PrairieView's Chief Compliance Officer, Michelle McCarthy. Michelle McCarthy's compliance-related activities are monitored by Timothy Regan. Mr. Regan can all be reached at 708-326-4750.

ITEM 2 - EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Robert E. Morvice Jr. – Director of Operations / Wealth Advisor

Education Background:

- Year of Birth: 1973
- University of Kentucky – BA – Economics

Business Background:

Mr. Morvice has over 20 years of experience providing financial advice to clients. Mr. Morvice's business background includes the following:

- *PrairieView Wealth Partners, LLC – Director of Operations/Wealth Advisor (09/2023 – Present)*
- *Thrivent Advisor Network, LLC – Director of Operations/Wealth Advisor (05/2022 – 09/2023)*
- *Purshe Kaplan Sterling Investments ("PKS")– Registered Representative - (05/2022 – 09/2023)*
- *Bates Financial Advisors, Inc. – Investment Advisor Representative/Compliance Officer – (01/2019 – 04/2022)*
- *Bates Securities, Inc. – Registered Representative/Principal – (01/2019 – 04/2022)*
- *Bates Financial Group, Inc. – Vice President – (01/2019 – 04/2022)*
- *CBM Trading, LLC (subsidiary of Belvedere Trading, LLC) – Partner/Principal/Risk Manager/Derivatives Trader – (02/2012) – (01/2019)*

Business Address:

28 W. Nebraska St.
Frankfort, IL 60423

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP®, and federally registered CFP® (with flame design) marks

(collectively, the “CFP® marks”) are professional certification marks granted in the United States by CERTIFIED FINANCIAL PLANNER™ Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 87,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real-world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP®.

ITEM 3 - DISCIPLINARY INFORMATION

There are no legal, civil or disciplinary events to disclose regarding Mr. Morvice. Mr. Morvice has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Morvice.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Morvice.

ITEM 4 - OTHER BUSINESS ACTIVITIES:

Tax Services Affiliations

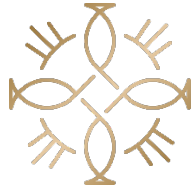
Mr. Morvice is a contract employee of PrairieView Tax, and as a result a conflict of interest may exist to the extent that PrairieView clients utilize the tax preparation and planning services and PrairieView would directly benefit from the receipt of service fees paid by customers.

ITEM 5 - ADDITIONAL COMPENSATION:

Currently, Mr. Morvice has no additional compensation.

ITEM 6 - SUPERVISION

See page 2.



PRAIRIEVIEW
WEALTH PARTNERS

Brochure Supplement

(Part 2B of Form ADV)

Effective: 12/30/2024

28 W. Nebraska St.

Frankfort, IL 60423

Telephone: 708-326-4750

Prairieviewwealthpartners.com

This Brochure Supplement provides information about the following Supervised Persons:

Timothy A. Regan, CFP® (CRD# 2812034)

This brochure supplements the PrairieView Wealth Partners, LLC ("PrairieView") Brochure (Part 2A of Form ADV). You should have received a copy of PrairieView's Brochure (Part 2A of Form ADV). Please contact Michelle McCarthy, Chief Compliance Officer at 513-832-5447 or by email at michelle.mccarthy@dinsmorecomplianceservices.com if you did not receive PrairieView's Brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Regan is available on the SEC's Investment Advisor Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his individual CRD# 2812034.

EDUCATION AND BUSINESS STANDARDS

PrairieView requires that any employee whose function involves determining or giving investment advice be properly licensed for all advisory activities in which they are engaged.

SUPERVISION

All Supervised Persons (i.e. PrairieView's professional team) listed on the front page of this Brochure Supplement provide advice to clients. This advice is monitored by other members of PrairieView's professional team. Robert Morvice is the Director of Operations for PrairieView and he supervises all activities of the Firm. All Supervised Person's compliance-related activities are monitored by PrairieView's Chief Compliance Officer, Michelle McCarthy. Michelle McCarthy's compliance-related activities are monitored by Timothy Regan. Mr. Regan can all be reached at 708-326-4750.

ITEM 2 - EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Timothy Regan – Wealth Advisor

Education Background:

- Year of Birth: 1977
- Millikin University – 1996 / Purdue University - 2004

Business Background:

Mr. Regan has over 20 years of experience providing financial advice to clients. Mr. Regan's business background includes the following:

- *PrairieView Wealth Partners, LLC - Wealth Advisor (10/2023 – Present)*
- *Thrivent Advisor Network, LLC – Wealth Advisor (07/2020 – 10/2023)*
- *Purshe Kaplan Sterling Investments ("PKS")– Registered Representative - (07/2020 – 10/2023)*
- *Thrivent Financial – Wealth Advisor (07/2002 – 07/2020)*

Business Address:

28 W. Nebraska St.

Frankfort, IL 60423

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP®, and federally registered CFP® (with flame design) marks

(collectively, the “CFP® marks”) are professional certification marks granted in the United States by CERTIFIED FINANCIAL PLANNER™ Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 87,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real-world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP®.

Chartered Financial Consultant™ (“ChFC®”)

The Chartered Financial Consultant™ (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals, and small business owners. You'll gain a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments, and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course-specific proctored exams. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Objectives:

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions.
- Apply in-depth knowledge in a holistic manner from a variety of disciplines, namely, estate planning, retirement planning, or non-qualified deferred compensation.

Fraternal Insurance Counselor™ (“FIC®”)

Designation granted by the Fraternal Field Managers Association (FFMA). The designation is awarded after completion of courses on fraternal benefit societies, ethics, and the fundamentals of life insurance and estate planning for individuals, families, and businesses. An individual is required to work for a minimum of 12 consecutive months with a fraternal benefit society that is a member of the American Fraternal Alliance and the FFMA.

ITEM 3 - DISCIPLINARY INFORMATION

There are no legal, civil or disciplinary events to disclose regarding Mr. Regan. Mr. Regan has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Regan.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Regan.

ITEM 4 - OTHER BUSINESS ACTIVITIES:

Insurance Agency Affiliations

Mr. Regan is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Regan's role with PrairieView. As an insurance professional, Mr. Regan will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Regan is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This practice presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Regan or the Advisor. Mr. Regan spends approximately 10% of his time per month in this capacity.

Tax Services Affiliations

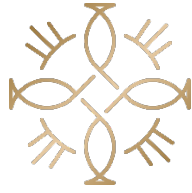
Mr. Regan also owns PrairieView Tax, and as a result a conflict of interest may exist to the extent that PrairieView clients utilize the tax preparation and planning services and PrairieView would directly benefit from the receipt of service fees paid by customers.

ITEM 5 - ADDITIONAL COMPENSATION:

Currently, Mr. Regan has no additional compensation.

ITEM 6 - SUPERVISION

See page 2.



PRAIRIEVIEW
WEALTH PARTNERS

Brochure Supplement

(Part 2B of Form ADV)

Effective: 12/30/2024

28 W. Nebraska St.

Frankfort, IL 60423

Telephone: 708-326-4750

Prairieviewwealthpartners.com

This Brochure Supplement provides information about the following Supervised Persons:

Rachel D. Thomas (CRD# 4940052)

This brochure supplements the PrairieView Wealth Partners, LLC ("PrairieView") Brochure (Part 2A of Form ADV). You should have received a copy of PrairieView's Brochure (Part 2A of Form ADV). Please contact Michelle McCarthy, Chief Compliance Officer at 513-832-5447 or by email at michelle.mccarthy@dinsmorecomplianceservices.com if you did not receive PrairieView's Brochure or if you have any questions about the contents of this supplement.

Additional information about Ms. Thomas is available on the SEC's Investment Advisor Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her individual CRD# 4940052.

EDUCATION AND BUSINESS STANDARDS

PrairieView requires that any employee whose function involves determining or giving investment advice be properly licensed for all advisory activities in which they are engaged.

SUPERVISION

All Supervised Persons (i.e. PrairieView's professional team) listed on the front page of this Brochure Supplement provide advice to clients. This advice is monitored by other members of PrairieView's professional team. Robert Morvice is the Director of Operations for PrairieView and he supervises all activities of the Firm. All Supervised Person's compliance-related activities are monitored by PrairieView's Chief Compliance Officer, Michelle McCarthy. Michelle McCarthy's compliance-related activities are monitored by Timothy Regan. Mr. Regan can all be reached at 708-326-4750.

ITEM 2 - EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Rachel D. Thomas – Client Service Manager

Education Background:

- Year of Birth: 1983
- South Suburban College
- Prairie State College
-

Business Background:

Ms. Thomas's business background includes the following:

- *PrairieView Wealth Partners, LLC – Client Service Manager (11/2023 – Present)*
- *Thrivent Advisor Network, LLC – Registered Representative 11/2022 – 11/2023)*
- *Thaddeus Regan – Field Office Administrator (01/201912/2008)*

Business Address:

28 W. Nebraska St.

Frankfort, IL 60423

ITEM 3 - DISCIPLINARY INFORMATION

There are no legal, civil or disciplinary events to disclose regarding Ms. Thomas. Ms. Thomas has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Thomas.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Thomas.

ITEM 4 - OTHER BUSINESS ACTIVITIES:

Tax Services Affiliations

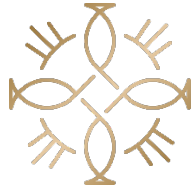
Ms. Thomas is a contract employee of PrairieView Tax, and as a result a conflict of interest may exist to the extent that PrairieView clients utilize the tax preparation and planning services and PrairieView would directly benefit from the receipt of service fees paid by customers.

ITEM 5 - ADDITIONAL COMPENSATION:

Currently, Ms. Thomas has no additional compensation.

ITEM 6 - SUPERVISION

See page 2.



PRAIRIEVIEW
WEALTH PARTNERS

Brochure Supplement

(Part 2B of Form ADV)

Effective: 12/30/2024

28 W. Nebraska St.

Frankfort, IL 60423

Telephone: 708-326-4750

Prairieviewwealthpartners.com

This Brochure Supplement provides information about the following Supervised Persons:

Gerard T. Quinn, CFP®, CIMA® (CRD# 6244594)

This brochure supplements the PrairieView Wealth Partners, LLC ("PrairieView") Brochure (Part 2A of Form ADV). You should have received a copy of PrairieView's Brochure (Part 2A of Form ADV). Please contact Michelle McCarthy, Chief Compliance Officer at 513-832-5447 or by email at michelle.mccarthy@dinsmorecomplianceservices.com if you did not receive PrairieView's Brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Quinn is available on the SEC's Investment Advisor Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his individual CRD# 6244594.

EDUCATION AND BUSINESS STANDARDS

PrairieView requires that any employee whose function involves determining or giving investment advice be properly licensed for all advisory activities in which they are engaged.

SUPERVISION

All Supervised Persons (i.e. PrairieView's professional team) listed on the front page of this Brochure Supplement provide advice to clients. This advice is monitored by other members of PrairieView's professional team. Robert Morvice is the Director of Operations for PrairieView and he supervises all activities of the Firm. All Supervised Person's compliance-related activities are monitored by PrairieView's Chief Compliance Officer, Michelle McCarthy. Michelle McCarthy's compliance-related activities are monitored by Timothy Regan. Mr. Regan can all be reached at 708-326-4750.

ITEM 2 - EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Gerard T. Quinn – Financial Advisor

Education Background:

- Year of Birth: 1990
- Ohio State University – BA - Economics
- Wright State University – MA – Business Administration

Business Background:

Mr. Quinn has over 5 years of experience providing financial advice to clients. Mr. Quinn's business background includes the following:

- PrairieView Wealth Partners, LLC – Financial Advisor (10/2024 – Present)
- Focus Forward – Head of Financial Planning (08/2024 – Present)
- Vorisek Financial/Osaic Wealth, Inc. – Director of Financial Planning (11/2023-08/2024)
- FSC Securities Corp. – Director of Financial Planning (11/2022-11/2023)
- Chen Wealth Services, Inc. – Financial Advisor (04/2022-11/2022)
- Raymond James Financial Services, Inc. – Registered Representative (02/2019-04/2022)
- Raymond James Financial Advisors, Inc. – Investment Adviser (02/2019-03/2022)
- Merrill Lynch, Pierce, Fenner Smith Inc. – Registered Client Associate/Investment Adviser/Registered Representative (04/2016-02/2019)

Business Address:

28 W. Nebraska St.

Frankfort, IL 60423

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP®, and federally registered CFP® (with flame design) marks

(collectively, the “CFP® marks”) are professional certification marks granted in the United States by CERTIFIED FINANCIAL PLANNER™ Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 87,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real-world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP®.

Certified Investment Management AnalystSM (CIMA®)

The CIMA® certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA® certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA® certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, and pass a Certification Examination. CIMA® designees are required to adhere to Investments & Wealth Institute's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA® designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through the Investments & Wealth InstituteTM formerly known as Investment Management Consultants Association (IMCA®).

ITEM 3 - DISCIPLINARY INFORMATION

There are no legal, civil or disciplinary events to disclose regarding Mr. Quinn. Mr. Quinn has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Quinn.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges

violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Quinn.

ITEM 4 - OTHER BUSINESS ACTIVITIES:

Currently, Mr. Quinn works for Focus Forward. He provides financial planning support to clients of Focus Forward (RIA Firms that have outsourced their financial planning duties to Focus Forward).

ITEM 5 - ADDITIONAL COMPENSATION:

Currently, Mr. Quinn receives compensation from Focus Forward for the financial planning support provided.

ITEM 6 - SUPERVISION

See page 2.