

## **Brochure Supplement**

January 14, 2026

### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

**Jeffery L. Mowery, CFP®, CPA**  
**Managing Member**

Individual CRD No. 4494731

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This brochure supplement provides information about Jeffery L. Mowery that supplements the Mowery & Schoenfeld Wealth Management, LLC brochure. You should have received a copy of that brochure. If you did not receive a brochure or if you have any questions about the contents of this supplement, please contact us at 847-247-8959.

Additional information about Jeffery L. Mowery is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Jeffery L. Mowery (b. 1956) is a Managing Member of Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

BA Accounting, University of Illinois	1977
MS Accounting, University of Illinois	1978
JD, Loyola University,	1982
MA Laws, Taxation, DePaul University College of Law	1989

### B. Business Background

Managing Member Mowery & Schoenfeld Wealth Management, LLC	06/1999–Present
Partner/CPA, Mowery & Schoenfeld, LLC	11/1996–Present

### C. Professional Designations

#### **CERTIFIED FINANCIAL PLANNER® (CFP®) Professional**

Mr. Mowery is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER® professional or a CFP® professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.

- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Certified Public Accountant (CPA)**

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct, which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

In addition to the Code of Professional Conduct, AICPA members who provide personal financial planning services are required to follow the Statement on Standards in Personal Financial Planning Services (the "Statement"). Most state boards of accountancy define financial planning as the practice of public accounting and therefore have jurisdiction over CPAs practicing in this discipline; state boards would likely look to the Statement as the authoritative guidance in this practice area regardless of specific or blanket adoption of AICPA standards.

### Item 3: Disciplinary Information

Jeffery Mowery does not have any disciplinary action to report. Public information concerning his registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 4: Other Business Activities

- A. Jeffrey Mowery is not actively engaged in any other investment-related businesses or occupations.
- B. **Certified Public Accountant.** Jeffery Mowery is a Partner of Mowery & Schoenfeld, LLC, a certified public accounting firm. Clients of our firm may also be clients of Mowery & Schoenfeld, LLC. The services provided and compensation received by Mr. Mowery and Mowery & Schoenfeld, LLC for accounting-related activities are separate and distinct from any fees paid for advisory services provided by our firm. While we believe these fees are competitive, such fees may be higher than those charged by other firms providing the same or similar services.

### Item 5: Additional Compensation

Jeffery Mowery receives additional compensation through his business activities described in Item 4 above.

### Item 6: Supervision

Supervision of Jeffery Mowery is performed by Keith Schoenfeld, Chief Compliance Officer, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Keith Schoenfeld can be reached at 847-247-8959.

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January 14, 2026

### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

**Keith A. Schoenfeld, CPA**

**Managing Member**

Individual CRD No. 4494732

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email: [kschoenfeld@msllcwealth.com](mailto:kschoenfeld@msllcwealth.com)

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#### Main Office

475 Half Day Road, Suite 500

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website: [www.msllcwealth.com](http://www.msllcwealth.com)

#### Branch Offices

300 S. Wacker Dr., Suite 920

Chicago, IL 60606

550 Oakwood Avenue

Lake Forest, IL 60045

This brochure supplement provides information about Keith A. Schoenfeld that supplements the Mowery & Schoenfeld Wealth Management, LLC brochure. You should have received a copy of that brochure. If you did not receive a brochure or if you have any questions about the contents of this supplement, please contact us at 847-247-8959.

Additional information about Keith A. Schoenfeld is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Keith A. Schoenfeld (b. 1964) is a Managing Member of Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

BA Accountancy, Northern Illinois University	1986
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### B. Business Background

Chief Compliance Officer, Mowery & Schoenfeld Wealth Management, LLC	04/2022–Present
Managing Member, Mowery & Schoenfeld Wealth Management, LLC	06/1999–Present
Partner, Mowery & Schoenfeld, LLC	11/1996–Present

### C. Professional Designations

#### Certified Public Accountant (CPA)

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct, which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

In addition to the Code of Professional Conduct, AICPA members who provide personal financial planning services are required to follow the Statement on Standards in Personal Financial Planning Services (the "Statement"). Most state boards of accountancy define financial planning as the practice of public accounting and therefore have jurisdiction over CPAs practicing in this discipline; state boards would likely look to the Statement as the authoritative guidance in this practice area regardless of specific or blanket adoption of AICPA standards.

### Item 3: Disciplinary Information

Keith Schoenfeld does not have any disciplinary action to report. Public information concerning his registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 4: Other Business Activities

- A. Keith Schoenfeld is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Keith Schoenfeld, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Schoenfeld to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Schoenfeld that a client purchase an insurance commission product presents a ***conflict of interest***, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Schoenfeld. Clients are reminded that they may purchase insurance products recommended by Mr. Schoenfeld through other, non-affiliated insurance agents. **Mowery & Schoenfeld Wealth Management, LLC's Chief Compliance Officer, Keith Schoenfeld, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

**Certified Public Accountant.** Keith Schoenfeld is a Partner of Mowery & Schoenfeld, LLC, a certified public accounting firm. Clients of our firm may also be clients of Mowery & Schoenfeld, LLC. The services provided and compensation received by Mr. Schoenfeld and Mowery & Schoenfeld, LLC for accounting-related activities are separate and distinct from any fees paid for advisory services provided by our firm. While we believe these fees are competitive, such fees may be higher than those charged by other firms providing the same or similar services.

### Item 5: Additional Compensation

Keith Schoenfeld receives additional compensation through his business activities described in Item 4 above.

## **Item 6: Supervision**

As a Partner and Chief Compliance Officer of the Firm, Keith Schoenfeld is responsible for the supervision and monitoring of investment advice offered to advisory clients of Mowery & Schoenfeld Wealth Management, LLC. He can be reached at 847-247-8959. Keith Schoenfeld will oversee all material investment policy changes and ensure that client objectives and mandates are being met.



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### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

**Kristen M. McCullough**

**Managing Director of Wealth Management**

Individual CRD No. 4279790

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website: [www.msllcwealth.com](http://www.msllcwealth.com)

Branch Offices

300 S. Wacker Dr., Suite 920

Chicago, IL 60606

550 Oakwood Avenue

Lake Forest, IL 60045

This brochure supplement provides information about Kristen M. McCullough that supplements the Mowery & Schoenfeld Wealth Management, LLC brochure. You should have received a copy of that brochure. If you did not receive a brochure or if you have any questions about the contents of this supplement, please contact us at 847-247-8959.

Additional information about Kristen M. McCullough is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Kristen M. McCullough (b. 1977) is Managing Director of Wealth Management with Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

B.S Sociology, University of Kansas 1999

### B. Business Background

Managing Director of Wealth Management Mowery & Schoenfeld Wealth Management, LLC	04/2022–Present
SVP Wealth Advisor, RMB Capital Management, LLC	06/2017–04/2022
Director of Advisory Services, VennWell, LLC	08/2005–05/2017

## Item 3: Disciplinary Information

Kristen McCullough does not have any disciplinary action to report. Public information concerning her registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 4: Other Business Activities

- A. Kristen McCullough is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Kristen McCullough, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. McCullough to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. McCullough that a client purchase an insurance commission product presents a ***conflict of interest***, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. McCullough. Clients are reminded that they may purchase insurance products recommended by Ms. McCullough through other, non-affiliated insurance agents. **Mowery & Schoenfeld Wealth Management, LLC's Chief Compliance Officer, Keith Schoenfeld, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Kristen McCullough is the vice president of UnCorked Adventures NFP, a charity whose mission is to help those with Parkinson's Disease. She does not receive additional compensation through this activity.

### **Item 5: Additional Compensation**

Kristen McCullough receives additional compensation through her business activities described in Item 4 above, unless otherwise noted.

### **Item 6: Supervision**

Supervision of Kristen McCullough is performed by Keith Schoenfeld, Chief Compliance Officer, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Keith Schoenfeld can be reached at 847-247-8959.

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### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

**Michael A. Deering, CPA, PFS**  
**Member**

**Investment Adviser Representative**

Individual CRD No. 7490311

phone: 847-281-3299  
email: mdeering@msllc.com

#### Main Office

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Lake Forest, IL 60045

This brochure supplement provides information about Michael A. Deering that supplements the Mowery & Schoenfeld Wealth Management, LLC brochure. You should have received a copy of that brochure. If you did not receive a brochure or if you have any questions about the contents of this supplement, please contact us at 847-247-8959.

Additional information about Michael A. Deering is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Michael A. Deering (b. 1977) is a Member and Investment Adviser Representative with Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

BS Accountancy, Northern Illinois University	1999
Masters in Taxation, DePaul University	2008

### B. Business Background

Member & IAR, Mowery & Schoenfeld Wealth Management, LLC	01/2022–Present
Tax Partner, Mowery & Schoenfeld, LLC	09/2011–Present

### C. Professional Designations

#### Certified Public Accountant (CPA)

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct, which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

In addition to the Code of Professional Conduct, AICPA members who provide personal financial planning services are required to follow the Statement on Standards in Personal Financial Planning Services (the "Statement"). Most state boards of accountancy define financial planning as the practice of public accounting and therefore have jurisdiction over CPAs practicing in this discipline; state boards would likely look to the Statement as the authoritative guidance in this practice area regardless of specific or blanket adoption of AICPA standards.

#### Personal Financial Specialist (PFS™)

The PFS credential demonstrates that an individual has met the minimum education, experience, and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license,

certificate, or permit, none of which are in inactive status; fulfill 3,000 hours of personal financial planning business experience; complete 75 hours of personal financial planning CPE credits; pass a comprehensive financial planning exam, and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's Code of Professional Conduct and the Statement on Standards in Personal Financial Planning Services, when providing personal financial planning services. To maintain the PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

### Item 3: Disciplinary Information

Michael Deering does not have any disciplinary action to report. Public information concerning his registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 4: Other Business Activities

- A. Michael Deering is not actively engaged in any other investment-related businesses or occupations.
- B. **Certified Public Accountant.** Michael Deering is a Partner of Mowery & Schoenfeld, LLC, a certified public accounting firm. Clients of our firm may also be clients of Mowery & Schoenfeld, LLC. The services provided and compensation received by Mr. Deering and Mowery & Schoenfeld, LLC for accounting-related activities are separate and distinct from any fees paid for advisory services provided by our firm. While we believe these fees are competitive, such fees may be higher than those charged by other firms providing the same or similar services.

### Item 5: Additional Compensation

Michael Deering receives additional compensation through his business activity described in Item 4 above.

### Item 6: Supervision

Supervision of Michael Deering is performed by Keith Schoenfeld, Chief Compliance Officer, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Keith Schoenfeld can be reached at 847-247-8959.

## **Brochure Supplement**

January 14, 2026

### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

#### **Krassimira M. Marinkova Director of Portfolio Technology**

Individual CRD No. 7459896

phone: 847-281-3597  
email: mmarinkova@msllc.com

#### Main Office

475 Half Day Road, Suite 500  
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#### Branch Offices

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Lake Forest, IL 60045

This brochure supplement provides information about Krassimira M. Marinkova that supplements the Mowery & Schoenfeld Wealth Management, LLC brochure. You should have received a copy of that brochure. If you did not receive a brochure or if you have any questions about the contents of this supplement, please contact us at 847-247-8959.

Additional information about Krassimira M. Marinkova is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Krassimira M. Marinkova (b. 1965) is Director of Portfolio Technology with Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

B.S. Electrical Engineering, Technical University Sofia	1990
M.B. Business and Accounting, University of National and World Economy	1994

### B. Business Background

Director of Portfolio Technology Mowery & Schoenfeld Wealth Management, LLC	06/2022–Present
Senior Client Service Administrator, RMB Capital LLC	07/2017–05/2022
Director of Portfolio Technologies, VennWell, LLC	05/2012–07/2017

## Item 3: Disciplinary Information

Krassimira Marinkova does not have any disciplinary action to report. Public information concerning his registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 4: Other Business Activities

- A. Krassimira Marinkova is not actively engaged in any other investment-related businesses or occupations.
- B. Krassimira Marinkova is not actively engaged in any other non-investment-related businesses or occupations.

## Item 5: Additional Compensation

Krassimira Marinkova does not receive additional compensation.

## Item 6: Supervision

Supervision of Krassimira Marinkova is performed by Keith Schoenfeld, Chief Compliance Officer, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Keith Schoenfeld can be reached at 847-247-8959.



## **Brochure Supplement**

January 14, 2026

### **Mowery & Schoenfeld Wealth Management, LLC**

CRD No. 118366

**Andrew J. Hooley, CFP®, CFA®**  
**Wealth Advisor**

Individual CRD No. 6386893

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Additional information about Andrew J. Hooley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background and Business Experience

Andrew J. Hooley (b. 1991) is a Wealth Advisor of Mowery & Schoenfeld Wealth Management, LLC.

### A. Educational Background

BS Economics, DePauw University	2014
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### B. Business Background

Wealth Advisor	01/2025–Present
Mowery & Schoenfeld Wealth Management, LLC	
Wealth Manager, Badgley Phelps, LLC	04/2022–12/2024
Financial Advisor, Apella Wealth	01/2021–04/2022
Financial Advisor, Vestory LLC	12/2019–12/2020
Financial Consultant Partner, Charles Schwab & Co., Inc.	08/2018–11/2019
Associate Financial Consultant Partner, Charles Schwab & Co., Inc.	07/2016–08/2018
Financial Service Professional, Charles Schwab & Co., Inc.	08/2014–07/2016

### C. Professional Designations

#### **CERTIFIED FINANCIAL PLANNER<sup>®</sup> (CFP<sup>®</sup>) Professional**

Mr. Hooley is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER<sup>®</sup> professional or a CFP<sup>®</sup> professional, and he may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP<sup>®</sup> certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP<sup>®</sup> certification. You may find more information about the CFP<sup>®</sup> certification at [www.cfp.net](http://www.cfp.net).

CFP<sup>®</sup> professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP<sup>®</sup> professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a

CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.

- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Chartered Financial Analyst® (CFA®)**

CFA® designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst® (CFA®) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 190,000 CFA® Charterholders working in over 170 countries and regions. To earn the CFA® charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

## **Item 3: Disciplinary Information**

Andrew Hooley does not have any disciplinary action to report. Public information concerning his registration as an investment advisor representative may be found by accessing the SEC's public disclosure site at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 4: Other Business Activities**

- A. Andrew Hooley is not actively engaged in any other investment-related businesses or occupations.
- B. Andrew Hooley is not actively engaged in any other non-investment-related businesses or occupations.

## **Item 5: Additional Compensation**

Andrew Hooley does not receive additional compensation.

## **Item 6: Supervision**

Supervision of Andrew Hooley is performed by Keith Schoenfeld, Chief Compliance Officer, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Keith Schoenfeld can be reached at 847-247-8959.