

**Item 1 – Cover Page**

**Form ADV Part 2B  
Brochure Supplement  
August 17, 2020**

**Investment Committee**

Brent R. Brodeski, CPA, CFP®, CFA®, AIFA®  
Gina M. Beall, CIMA®  
U. Calvin Brown, Jr., CFP®  
Kevin M. Hrdlicka, CFP®, CFA®  
Philip R. Huber, CFA®, CFP®  
Anthony R. Spangenberg, AWMA®, CFP®, CFA®

**Investment Advisors**

Allison A. Alexander, CPA, CFP®, CDFA®  
Matthew D. Armstrong, CFP®, CRPS®, AIF®  
Sobhi Baghdadi, CFP®  
Tracy S. Beard, CFP®, AIF®  
Richard P. Bender, LUTCF, ChFC®, CLU®, CRPS®, CFP®  
Richard A. Bennett, AIF®, CFP®  
Wendy M. Blair, CFP®, ChFC®, AIF®  
Richard H. Brown, Jr., CFP®  
Brian P. Conroy, CFP®, AIF®, CRPS®  
Philip E. Corcoran, CFP®  
Edward H. Cruickshank, CFP®  
Stephen D. Cummings, Jr., ChFC®  
Joel R. Cundick, CFP®, APMA®, AIF®  
Michael T. Cyrs, JD, CFP®  
Daryl R. Dagit, CFP®, CRPS®, CEP®  
Gregory S. De Jong, CLU®, ChFC®, CFP®, CRPS®  
Nicholas J. De Jong, CPA, CFP®  
Scott F. Demler, CFP®, CRPS®  
Michael R. Denten

Joseph Peter Doyle, Jr., CPA/PFS, CFP®  
Kimberly S. Drake, CFA®  
Donald D. Duncan, CPA/PFS, CFA®, CSEP, CFP®  
Teryn A. Fitzgerald, CFP®, CTFA  
Adam J. Glassberg, CFP®, CIMA®  
Gabriel Gonzalez, CRPC®, CFP®  
Drake R. Grindle, MAS, CPA, CFP®  
William V. Gunlicks, CFP®  
Theresa A. Harezlak, CFP® CDFA®  
David J. Huber, CFP®  
Jeremy S. Joseph, CFP®  
Scott W. Kaiser, CFP®, AIF®, CRPS®  
Kevin C. Kingston, CLU®, ChFC®  
Brian J. Knabe, MD, CMP®, CFP®  
Gerard S. Korabik, AIFA®, CFP®, CRPS®  
Scott K. Laue, JD, CFP®  
Jeffrey R. Lewis, CFP®, ChFC®  
Brent A. Lindell, CTFA, CFP®, AIF®, CRPS®  
Jakob C. Loescher, CRPC®, CFP®, ChFC®, AIF®, CRPS®  
Stephen C. Lorence, CFP®  
David H. McCormick-Goodhart, CPA/PFS, CFP®, CRPS®, AIF®  
Kevin T. McFadden, CFP®, LUTCF  
Sarah E. McGinniss, CFP®, CRPS®  
Ryan G. Monette, CFP®, ChFC®  
Grant W. Moore, CFP®, MPAS®, CRPC®, AIF®, CRPS®  
Robert E. Morrison, CFP®  
Douglas R. Morton, III, CFP®  
Elizabeth N. Muldowney, CRPC®, CFP®, BFA™

Martin F. Perdoux  
Janet E. Petran, CPA, CFP®  
Kevin J. Phillips, CFP®  
Christopher R. Plagge, CPA, EA  
Ambari Prakash Pinto, JD, CFP®  
Thomas J. Ptacin, CFP®, AIF®, CRPS®  
Christopher N. Ruedi, RICP®, CFP®  
Lorene K. Shaw, CPA, CFP®, CDFA®  
Justin D. Smith, CFP®, CFA®  
Bradley R. Stewart, CFP®  
Chris A. Walters  
Robert J. Witt, CFP®, RICP®  
Maureen D. Wright, CFP®

**Financial Planning, Retirement Plan Services, Wealth Transfer and Investment Research**

Stephen A. Bergman, CFA®  
Derek A. Carter, CFP®  
Casey A. Christianson, CFP®

Daniel B. Crowley, CFP®  
Jonathan J. Fuller  
Tawn M. Jacobs, CPA/PFS, CFP®  
Jessica L. Knudsen, CFP®, CSR®, MPAS®  
Mary T. Lynch, CFP®  
Dominick J. Parillo, CFP®  
Kelli M. Peterson, CPA, CFP®, ATA  
Kathryn M. Risch, QPA, QKA, QPFC, CRC®, CTFA  
Eamon M. Verdone, CFP®, CFA®, CAIA®  
Andrew J. Welp, JD, CPA

All supervised persons can be reached at the address and telephone listed above.

Please refer to the descriptions of professional designations listed at the end of this document.

This brochure supplement provides information about our supervised persons that supplements the Savant Wealth Management brochure. You should have received a copy of that brochure. Please contact us at [info@savantwealth.com](mailto:info@savantwealth.com) if you did not receive Savant Wealth Management's brochure or if you have any questions about the contents of this supplement. Additional information about our supervised persons is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Brent R. Brodeski, CPA, CFP®, CFA®, AIFA®**

*Brent R. Brodeski (b. 1967) is the Chief Executive Officer, a financial advisor, and has a membership interest in Savant. He is on Savant's Board of Managers, Executive Team, and Ideal Futures Platform and Investment Committees. Brent has been involved in the financial services industry since 1988 and taught investment and finance courses at Rock Valley College, Rockford University, and Northern Illinois University.*

### **Item 2 – Educational Background and Business Experience**

- Northern Illinois University, DeKalb, IL, M.B.A., Finance & Accounting emphasis, 1991
- Northern Illinois University, DeKalb, IL, B.S., Finance; minor in Economics, 1988
- Leading Professional Services Firm's Seminar, 2011
- Harvard Business School/YPO President's Seminars, Harvard Business School, Boston, MA, 2012, 2013, 2015, 2017
- Accredited Investment Fiduciary Analyst™ (AIFA®), 2007
- Chartered Financial Analyst® (CFA®) 1993
- Certified Public Accountant (CPA) 1992
- CERTIFIED FINANCIAL PLANNER™ professional 1992
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 12/1992–01/2012
- Registered Representative/Financial Principal, Bates Securities, Inc., 05/1989–09/1992
- Financial Advisor, George E. Bates & Associates, Inc., 05/1989–09/1992
- Agent, Franklin Life Insurance Company, 05/1988–04/1989

### **Item 3 – Disciplinary Information**

Mr. Brodeski does not have any disciplinary action to report. Public information concerning Mr. Brodeski's registration as an investment adviser 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**

Mr. Brodeski is the owner of SCMI, Inc., which is an owner of Savant Capital, LLC.

### **Item 5 – Additional Compensation**

Other than as described above, Mr. Brodeski does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Gina M. Beall, CIMA®**

*Gina M. Beall (b. 1969) is Director of Investment Research, chairs the Investment Committee, and has a membership interest in Savant. She supervises the investment research analysts and is responsible for contributing to the management of Savant's investment strategy, conducting portfolio analysis, and managing investment processes for Savant's clients. Gina has authored various articles, papers, and commentary that appear in Savant's newsletters and website.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A., DePaul University, Chicago, IL, 1998
- B.B.A. Finance, University of San Diego, San Diego, CA, 1991
- Certified Investment Management AnalystSM (CIMA®), 2011
- NASAA Series 65, 2009
- Director of Investment Research, Savant Capital, LLC, 03/2020-Present
- Manager of Investment Research, Savant Capital, LLC, 03/2017–03/2020
- Investment Research Analyst, Savant Capital, LLC, 01/2012–02/2017
- Investment Research Analyst, Savant Capital Management, Inc., 04/2010–01/2012
- Investment Strategist, AMCORE, 01/2006–04/2010
- Consultant, Ennis Knupp & Associates, 06/2005–01/2006
- Consultant, Ennis Knupp & Associates, 08/1998–02/2004
- Private Client Services Associate, Morgan Stanley & Co., Inc., 10/1993–08/1998
- Account Executive, San Diego Trust Securities, 02/1992–08/1993
- Client Sales Assistant, Shearson Lehman Brothers, 07/1991–02/1992
- Customer Service, Bank of America, 07/1989–07/1991

### **Item 3 – Disciplinary Information**

Ms. Beall does not have any disciplinary action to report. Public information concerning Ms. Beall's registration as an investment adviser 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**

Ms. Beall does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Beall does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## U. Calvin Brown, Jr., CFP®

*U. Calvin Brown, Jr. (b. 1953) is a Financial Advisor in Savant's McLean, VA office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Investment Committee and is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Cal routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.S.T., Taxation, American University, Washington, DC, 2007
- B.S., Business Administration, University of Arkansas, Fayetteville, AR, 1975
- NASAA Series 65, 1998
- CERTIFIED FINANCIAL PLANNER™ professional, 1990
- Financial Advisor, Savant Capital, LLC, 10/2015–Present
- Financial Advisor and Market Manager, Savant Capital, LLC, 06/2012–10/2015
- Vice President, Planning, The Monitor Group, Inc., 10/2000–06/2012
- Financial Planner, Washington Square Securities, Inc., 04/1993–10/2000
- Financial Planner, Udell Calvin Brown Jr., 05/1998–10/2000

### **Item 3 – Disciplinary Information**

Mr. Brown does not have any disciplinary action to report. Public information concerning Mr. Brown's registration as an investment adviser 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**

Mr. Brown does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Brown does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Kevin M. Hrdlicka, CFP®, CFA®**

*Kevin M. Hrdlicka (b. 1986) is the Chief Operating Officer, is a member of the Executive Team, and has a membership interest in Savant. He is secretary of the Investment Committee and a member of the Fiduciary Committee, an internal panel that reviews our retirement plan service providers to comply with ERISA Section 3(16) fiduciary status. Kevin oversees the investment research, portfolio accounting, trading, and compliance departments. He is responsible for portfolio management, contributing to Savant's investment strategy, and managing investment processes for clients. He oversees the content that appears in Savant's newsletters and manages the relationships for all of Savant's custodian partners.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business Administration, emphasis in Finance, minor in Economics, Truman State University, Kirksville, MO, 2008
- Chartered Financial Analyst® (CFA®), 2012
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Chief Operating Officer, Savant Capital, LLC, 05/2020–Present
- Chief Operating Officer & Chief Compliance Officer, Savant Capital, LLC, 03/2019–05/2020
- Chief Operating Officer, Savant Capital, LLC, 01/2018–02/2019
- Director of Investments, Savant Capital, LLC, 03/2017–12/2017
- Manager of Investment Research and Trading, Savant Capital, LLC, 05/2016–02/2017
- Manager of Investment Services, Savant Capital, LLC, 03/2015–05/2016
- Manager of Trading Services, Savant Capital, LLC, 07/2013–02/2015
- Investment Research Analyst, Savant Capital, LLC, 01/2012–07/2013
- Investment Research Analyst, Savant Capital Management, Inc., 02/2011–12/2011
- Portfolio Management Systems Administrator, Savant Capital Management, Inc., 05/2008–02/2011
- Intern, Savant Capital Management, Inc., 05/2007–08/2007

### **Item 3 – Disciplinary Information**

Mr. Hrdlicka does not have any disciplinary action to report. Public information concerning Mr. Hrdlicka's registration as an investment adviser 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**

Mr. Hrdlicka does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Hrdlicka does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Philip R. Huber, CFA®, CFP®**

*Philip R. Huber (b. 1985) is the Chief Investment Officer located in the Savant Lincolnshire, IL office. He is a member of the Investment Team, Savant's Investment Committee, and has a membership interest in Savant. He is responsible for portfolio management, contributing to Savant's investment strategy, and managing investment processes for clients. He takes an active role in writing straightforward commentary to inform clients and explain the firm's investment philosophy.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business, Major in Finance, Kelley School of Business, Indiana University, Bloomington, IN, 2007
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Chartered Financial Analyst® (CFA®), 2010
- NASAA Series 63, 2007
- Chief Investment Officer, Savant Capital, LLC, 02/2020–Present
- Chief Investment Officer, Huber Financial Advisors, LLC, 05/2015–04/2020
- Senior Portfolio Manager/Wealth Manager, Huber Financial Advisors, LLC, 07/2013–04/2015
- President, Huber Financial Group, Ltd., 06/2008–07/2013

### **Item 3 – Disciplinary Information**

Mr. Huber does not have any disciplinary action to report. Public information concerning Mr. Huber's registration as an investment adviser 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**

Mr. Huber has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Huber does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Anthony R. Spangenberg, AWMA®, CFP®, CFA®**

*Anthony (Tony) R. Spangenberg (b. 1982) is a financial advisor in Savant's Wilmette, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Investment Committee and Compliance Committee and is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Philosophy, Northern Illinois University, DeKalb, IL, 2005
- Chartered Financial Analyst® (CFA®), 2016
- CERTIFIED FINANCIAL PLANNER™ professional, 2013
- Life, Health, Variable Contracts Insurance License, IL, 2012
- Accredited Wealth Management AdvisorSM (AWMA®), 2010
- Financial Advisor, Savant Capital, LLC, 09/2016–Present
- VP-Financial Consultant, Charles Schwab & Co., Inc., 3/2012–09/2016
- Investment Consultant, TD Ameritrade, Inc., 12/2008–03/2012
- Financial Advisor, Edward Jones, 11/2007–11/2008

### **Item 3 – Disciplinary Information**

Mr. Spangenberg does not have any disciplinary action to report. Public information concerning Mr. Spangenberg's registration as an investment adviser 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**

Mr. Spangenberg does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Spangenberg does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Allison A. Alexander, CPA, CFP®, CDFA®

*Allison Alexander (b. 1963) a financial advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. She is a co-founder and member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. She previously co-founded the impetus behind Savant's Women's Wealth Initiative, Savvy Women, a group created to educate and empower women to establish and maintain their financial independence. Allison is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She regularly meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Accounting, Indiana University, Kelley School of Business, Bloomington, IN, 1985
- CERTIFIED FINANCIAL PLANNER™ professional, 2017
- NASAA Series 65, 2015
- Certified Divorce Financial Analyst® (CDFA®), 2007
- Certified Public Accountant (CPA), 1986,
- Financial Advisor, Savant Capital, LLC, 02/2015–Present
- Financial Consultant, McMurr I & McMurr II, 11/2014–02/2015
- Financial Consultant, Allison A. Alexander, CPA, 01/2008–12/2010
- Accountant, Todd D. Alexander, MDSC, 07/1996–04/2006
- Accounting Manager, BCS Financial Corporation, 07/1991–02/1995
- Certified Public Accountant, PWC, 01/1989–06/1991
- Internal Auditor, Washington University-St. Louis, 01/1987–12/1988
- Certified Public Accountant, KPMG, 07/1985–01/1987

### **Item 3 – Disciplinary Information**

Ms. Alexander does not have any disciplinary action to report. Public information concerning Ms. Alexander's registration as an investment adviser 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**

Ms. Alexander does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Alexander does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



**Matthew D. Armstrong, CFP®, CRPS®, AIF®**

*Matthew Armstrong (b. 1980) is a financial advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Matt routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- B.A., Business Administration, emphasis Marketing, Augsburg College, Minneapolis, MN, 2002
- Accredited Investment Fiduciary® (AIF®), 2018
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS®), 2014
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- NASAA Series 65, 2011
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 07/2011–01/2012
- Marketing Coordinator, Savant Capital Management, Inc., 05/2005–07/2011
- Consultant, Savant Capital Management, Inc., 02/2005–05/2005
- Marketing Director, Forest Hills Country Club, 08/2002–10/2004

**Item 3 – Disciplinary Information**

Mr. Armstrong does not have any disciplinary action to report. Public information concerning Mr. Armstrong's registration as an investment adviser 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**

Mr. Armstrong does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. Armstrong does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Sobhi Baghdadi, CFP®

*Sobhi Baghdadi (b. 1986) is a Financial Advisor in Savant's St. Charles, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A., Rockford University, Rockford, IL, 05/2014–08/2015
- B.S.B.A., American University of Beirut, Lebabon, 09/2004–02/2009
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- NASAA Series 66, 2015
- NASAA Series 7, 2015
- Financial Advisor, Savant Capital, LLC, 01/2020-Present
- Financial Planner, Savant Capital, LLC, 03/2017–12/2019
- Financial Advisor Associate, Bates Financial Group, 09/2015–08/2016

### **Item 3 – Disciplinary Information**

Mr. Baghdadi does not have any disciplinary action to report. Public information concerning Mr. Baghdadi's registration as an investment adviser 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**

Mr. Baghdadi does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Baghdadi does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Tracy S. Beard, CFP®, AIF®

Tracy S. Beard (b. 1973) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Tracy routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.

### Item 2 – Educational Background and Business Experience

- M.S.F.S., Financial Services, American College, Bryn Mawr, PA, 2012
- B.S., summa cum laude, Economics/Finance, Rockford College, Rockford, IL, 1997
- Accredited Investment Fiduciary® (AIF®), 2011
- CERTIFIED FINANCIAL PLANNER™ professional, 2002
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 03/2002–01/2012
- Financial Planner, Savant Capital Management, Inc., 07/2001–03/2002
- Account Executive, Spectrum Insurance Agency, Inc., 02/1998–07/2001
- Sales Representative, Benchmark Health Insurance Company, 09/1996–02/1998

### Item 3 – Disciplinary Information

Mr. Beard does not have any disciplinary action to report. Public information concerning Mr. Beard's registration as an investment adviser 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

Mr. Beard does not have any other business activities.

### Item 5 – Additional Compensation

Mr. Beard does not receive any additional compensation for investment advisory services.

### Item 6 – Supervision

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Richard P. Bender, LUTCF, ChFC®, CLU®, CRPS®, CFP®**

*Richard P. Bender (b. 1968) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Rick regularly meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- B.S. Physical Education Sports Management, Minor in Business
- Administration, University of Wisconsin, La Crosse WI, 1990
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS®), 2013
- NASAA Series 65, 2013
- Chartered Financial Consultant® (ChFC®), 2011
- Chartered Life Underwriter (CLU®), 2001
- Life Underwriter Training Council Fellow (LUTCF), 1994
- Financial Advisor, Savant Capital, LLC, 11/2012–Present
- Consumer Product Specialist, Sentry Insurance, 08/2006–09/2012
- Registered Representative, Mass Mutual/Ferguson Financial, 05/2006–08/2006
- Registered Representative, MML Investors Services, Inc., 05/2006–08/2006
- Business Development Officer, US Bank, 12/1999–01/2006

**Item 3 – Disciplinary Information**

Mr. Bender does not have any disciplinary action to report. Public information concerning Mr. Bender's registration as an investment adviser 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**

Mr. Bender does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. Bender does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Richard A. Bennett, AIF®, CFP®**

*Richard A. Bennett (b. 1963) is Executive Vice President of Savant, is a financial advisor in Savant's Rockford, IL and Freeport, IL offices, and has a membership interest in Savant. He serves on Savant's Executive Team, Board of Directors, Investment Committee, and Advisory Council, an internal panel that provides input on ways to improve the client experience. In addition, he is a mentor and coach to the other members of the Advisory Team.*

### **Item 2 – Educational Background and Business Experience**

- ABA National Graduate Trust School, 1989
- ABA National Trust School, 1987
- McKay Barlow Company Retirement Training Program, 1986
- B.S., Business Administration, Eastern Illinois University, 1985
- Accredited Investment Fiduciary® (AIF®), 2007
- CERTIFIED FINANCIAL PLANNER™ professional, 2004
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 06/1998–01/2012
- Senior Vice President and Trust Officer, Mercantile Bank, 03/1991–06/1998
- Assistant Vice President and Trust Officer
- First American Bank, 11/1989–03/1991
- Trust Officer, Palmetto Bank, 09/1988–11/1989
- Premier Trust Services, 05/1985–09/1988

### **Item 3 – Disciplinary Information**

Mr. Bennett does not have any disciplinary action to report. Public information concerning Mr. Bennett's registration as an investment adviser 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**

Mr. Bennett does not have any other business activities.

### **Item 5 – Additional Compensation**

Other than as described above, Mr. Bennett does not receive any other compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Wendy M. Blair, CFP®, ChFC®, AIF®

*Wendy M. Blair (b. 1959) is a Financial Advisor in Savant's Freeport, IL office, is a member of the Advisory Team, serves as market manager for the Freeport market, and has a membership interest in Savant. She is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Wendy routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### Item 2 – Educational Background and Business Experience

- ABA National Graduate Trust School, 1988
- ABA National Trust School, 1986
- B.S., Marketing, Northern Illinois University, Dekalb, IL, 1981
- A.S., General Business, Highland Community College, Freeport, IL, 1979
- Accredited Investment Fiduciary® (AIF®), 2012
- Chartered Financial Consultant® (ChFC®), 2010
- CERTIFIED FINANCIAL PLANNER™ professional, 2008
- NASAA Series 65, 2007
- Financial Advisor /Market Manager, Savant Capital, LLC, 12/2017–Present
- Financial Advisor, Savant Capital, LLC, 01/2012–12/2017
- Financial Advisor, Savant Capital Management, Inc., 11/2006–01/2012
- Vice President, Relationship Manager, Trust Officer,
- US Bank NA, 06/1989–11/2006
- Trust Officer, Merchants National Bank, 06/1987–06/1989
- Assistant to President, Trust Officer, Citizens State Bank, 03/1983–06/1987

### Item 3 – Disciplinary Information

Ms. Blair does not have any disciplinary action to report. Public information concerning Ms. Blair's registration as an investment adviser 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

Ms. Blair does not have any other business activities.

### Item 5 – Additional Compensation

Ms. Blair does not receive any additional compensation for investment advisory services.

### Item 6 – Supervision

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Richard H. Brown, Jr., CFP®**

*Richard H. Brown, Jr. (b. 1985) is a Financial Advisor in Savant's Downers Grove, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Rick regularly meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Business, Calvin College, Grand Rapids, MI, 2007
- CERTIFIED FINANCIAL PLANNER™ professional, 2014
- Financial Advisor, Savant Capital, LLC 02/2018–Present
- HELM Specialist, Reverse Mortgage Funding, LLC, 01/2017–02/2018
- External Wholesaler, Inland Securities Corporation, 08/2008–10/2016
- Registered Representative, Ausdal Financial Partners, INC, 06/2008–08/2008
- Wealth Management Intern, Merrill Lynch, 02/2008–04/2008

### **Item 3 – Disciplinary Information**

Mr. Brown does not have any disciplinary action to report. Public information concerning Mr. Brown's registration as an investment adviser 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**

Mr. Brown does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Brown does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Casey A. Christianson, CFP®

*Casey A. Christianson (b. 1994) is Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Casey regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A. Business/Economics, Wheaton College, Wheaton, IL, 2016
- Chartered Financial Consultant® (ChFC®), 2020
- CERTIFIED FINANCIAL PLANNER™ professional, 2020
- NASAA Series 65, 2019
- Financial Advisor, Savant Capital Management, Inc., 06/2020-Present
- Accelerated Career Development Associate, Savant Capital Management, Inc., 09/2018-06/2020
- Bank Teller, Peoples Exchange Bank, 10/2017-08/2018
- Financial Planning/Tax Services Intern, Savant Capital Management, Inc., 05/2015-08/2015

### **Item 3 – Disciplinary Information**

Mr. Christianson does not have any disciplinary action to report. Public information concerning Mr. Christianson's registration as an investment adviser 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**

Mr. Christianson does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Christianson does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## **Brian P. Conroy, CFP®, AIF®, CRPS®**

*Brian P. Conroy (b. 1970) is a Financial Advisor in the Chicagoland area, is the manager of the Advisory Team for our offices located in St. Charles, Naperville, and Wilmette, and has a membership interest in Savant. He is a member of the Ideal Futures Committee, an internal panel that develops the processes, technology, and tools to implement the Ideal Futures Platform vision. Brian regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Certificate in Financial Planning, DePaul University, Chicago, IL, 2001
- B.A., Marketing, North Central College, Naperville, IL, 1992
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2011
- Accredited Investment Fiduciary<sup>®</sup> (AIF<sup>®</sup>), 2011
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2001
- Manager of Advisory & Business Development- Greater Chicago, Financial Advisor, Savant Capital, LLC, 01/2016–Present
- Financial Advisor, Savant Capital, LLC, 01/2012–12/2015
- Financial Advisor, Savant Capital Management, Inc., 10/2003–01/2012
- Adjunct Faculty, Northwestern University, 09/2003–2004
- Financial Planner, Reason Financial Planning, 01/2003–09/2003
- Registered Principal, TCF Securities, 03/1999–01/2003
- Manager, TCF Bank, 02/1998–03/1999
- Manager, Bank of America, 12/1995–02/1998
- Assistant Manager, First Chicago Bank, 01/1993–12/1995

### **Item 3 – Disciplinary Information**

Mr. Conroy does not have any disciplinary action to report. Public information concerning Mr. Conroy's registration as an investment adviser 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**

Mr. Conroy does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Conroy does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Philip E. Corcoran, CFP®

*Philip E. Corcoran (b. 1965) is a financial advisor in Savant's McLean, VA office, is a member of the Advisory Team, serves as managing director for the McLean/DC metro market, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. Phil is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Political Science, United States Naval Academy, Annapolis, MD, 1987
- CERTIFIED FINANCIAL PLANNER™ professional, 1996
- NASAA Series 65, 1994
- Managing Director – Savant East and Financial Advisor, Savant Capital, LLC, 10/2015–Present
- Principle and Investment Adviser Representative, The Corcoran Group, Ltd., 09/2001–10/2015
- Registered Representative, Linsco Private Ledger Corp., 10/2001–05/2003
- President- CEO, E-Stockoptions, Inc., 07/2000–07/2001
- Investment Adviser Representative, The Corcoran Group, Ltd., 07/1992–07/2000
- Financial Planner, The Corcoran Group, Ltd., 08/1992–07/2000
- Registered Representative, Linsco Private Ledger Corp., 01/1995–05/2000
- Insurance Agent, Connecticut Mutual Life Insurance Co., 08/1992–01/1995
- Registered Representative, G.R. Phelps & Co., Inc., 03/1993–01/1995

### **Item 3 – Disciplinary Information**

Mr. Corcoran does not have any disciplinary action to report. Public information concerning Mr. Corcoran's registration as an investment adviser 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**

Mr. Corcoran does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Corcoran does not receive any additional compensation other than for investment advisory services for Savant.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Edward H. Cruickshank, CFP®

*Edward Cruickshank (b. 1966) is a Financial Advisor in Savant's Lincolnshire, IL office, is a member of the Executive Team, and has a membership interest in Savant. He is a member of the Investment Committee and is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Ed regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinates effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Political Science/International Relations, University of Kansas, Lawrence, KS, 1989
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- Life, Health, Variable Contracts Insurance License, IL, 2009
- NASAA Series 66, 2005
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 07/2013–04/2020
- Wealth Manager, Huber Financial Group, Ltd., 08/2004–07/2013

### **Item 3 – Disciplinary Information**

Mr. Cruickshank does not have any disciplinary action to report. Public information concerning Mr. Cruickshank's registration as an investment adviser 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**

Mr. Cruickshank has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Cruickshank does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Stephen D. Cummings, Jr., ChFC®

*Stephen D. Cummings, Jr. (b. 1967) is a Financial Advisor in Savant's Wilmette, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- University of Arizona, attended from 1985 to 1990
- Chartered Financial Consultant® (ChFC®), 2018
- NASAA Series 65, 2007
- Financial Advisor, Savant Capital, LLC, 05/2015–Present
- Investment Adviser Representative, Orion Capital Management, Inc., 03/2007–07/2015
- Commodities Trader, Self Employed, 07/1993–11/2006

### **Item 3 – Disciplinary Information**

Mr. Cummings does not have any disciplinary action to report. Public information concerning Mr. Cummings' registration as an investment adviser 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**

Mr. Cummings does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Cummings does not receive any additional compensation other than for investment advisory services for Savant.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Joel R. Cundick, CFP®, APMA®, AIF®**

*Joel R. Cundick (b. 1976) is a Financial Advisor in Savant's McLean, VA office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. Joel is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Certificate in Financial Planning, Georgetown University, Washington, DC, 2006
- B.S., Business Management, emphasis Finance, minor in Italian, Brigham Young University, Provo, UT, 2000
- Accredited Investment Fiduciary (AIF®), 2017
- Accredited Portfolio Management Advisor® (APMA®), 2017
- CERTIFIED FINANCIAL PLANNER™ professional, 2007
- Financial Advisor, Savant Capital, LLC, 10/2015–Present
- Investment Adviser Representative, The Corcoran Group, Ltd., 07/2008–09/2015
- Director of Operations and Financial Planner, Financial Services Advisory, Inc., 10/2004–06/2008
- Director of Finance, The Ritz Carlton Hotel Co., 06/2003–09/2004

### **Item 3 – Disciplinary Information**

Mr. Cundick does not have any disciplinary action to report. Public information concerning Mr. Cundick's registration as an investment adviser 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**

Mr. Cundick does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Cundick does not receive any additional compensation other than for investment advisory services for Savant.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Michael T. Cyrs, JD, CFP®

*Michael T. Cyrs (b. 1969) is the Director of Wealth Advisory in Savant's Rockford, IL office, is a member of the Executive Team, and has a membership interest in Savant. He is a member of the Ideal Futures Committee, an internal panel that develops the processes, technology, and tools to implement the Ideal Futures Platform vision. Mike oversees the planning and wealth transfer teams and assists our financial advisors with developing complex wealth transfer and asset protection strategies. In addition, he is responsible for guiding the work of Savant Tax & Consulting, a wholly owned subsidiary of Savant Capital, LLC. Mike brings to Savant over 20 years' experience as a private attorney concentrating on complex estate and business succession planning, charitable planning, and advising clients regarding all types of trusts and estate administration.*

### **Item 2 – Educational Background and Business Experience**

- J.D., Marquette Law School, Milwaukee, WI, 1994
- M.B.A., Marquette Graduate School of Business, Milwaukee, WI, 1994
- B.A.A., Business Administration, Notre Dame, Notre Dame, IN, 1991
- CERTIFIED FINANCIAL PLANNER™ professional, 2000
- Director of Wealth Advisory, Savant Capital, LLC, 03/2017–Present
- Estate and Wealth Transfer Advisor, Savant Capital, LLC, 11/2014–02/2017
- Attorney, Williams, McCarthy, LLP, 09/1997–10/2014
- Attorney, Hinshaw and Culbertson Law Firm, 06/1994–08/1997

### **Item 3 – Disciplinary Information**

Mr. Cyrs does not have any disciplinary action to report. Public information concerning Mr. Cyrs' registration as an investment adviser 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**

Mr. Cyrs does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Cyrs does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Daryl R. Dagit, CFP®, CRPS®, CEP®

*Daryl R. Dagit (b. 1963) is Financial Advisor and Market Manager in Savant's Peoria, IL office, is a member of the Advisory Team, serves as market manager for the Peoria market, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. Daryl is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, Illinois State University, Normal, IL, 1986
- Certified Estate Planner™ (CEP®), 2015
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS®), 2014
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Variable Contract Insurance License, IL, 2007
- Accident/Health, Fire, Casualty, Life Insurance License, IL, 1987
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 06/2010–01/2012
- Mass Transfer, Morgan Stanley Smith Barney, 06/2009–06/2010
- FA Associate, Citigroup Global Markets Inc., 04/2007–06/2009
- Manager, CitiFinancial, 09/1993–04/2007

### **Item 3 – Disciplinary Information**

Mr. Dagit has not had any disciplinary action. Public information concerning Mr. Dagit's registration as an investment adviser 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**

Mr. Dagit does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Dagit does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Gregory S. De Jong, CLU®, ChFC®, CFP®, CRPS®**

*Gregory S. De Jong (b. 1959) is a Financial Advisor in Savant's Naperville, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He advises individual clients, small business owners, and retirement plan trustees and is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with other advisors, portfolio managers and planners to formulate and coordinate a client's planning, investment and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- B.A., English, Calvin College, Grand Rapids, MI, 1981
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2013
- NASAA Series 65, 1994
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 1992
- Chartered Financial Consultant<sup>®</sup> (ChFC<sup>®</sup>), 1990
- Chartered Life Underwriter (CLU<sup>®</sup>), 1987
- Financial Advisor, Savant Capital, LLC, 01/2014–Present
- President, Advisory Rep., Paragon Advisors, LLC, 05/1995–03/2014
- Registered Rep., Securities Service Network, 09/2009–12/2013
- Registered Rep., Transamerica Financial Advisors, Inc., 12/1988–09/2009
- Registered Rep., Transamerica Securities Sales Corp., 12/1988–07/1995

**Item 3 – Disciplinary Information**

Mr. De Jong does not have any disciplinary action to report. Public information concerning Mr. De Jong's registration as an investment adviser 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**

Mr. De Jong does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. De Jong does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## Nicholas J. De Jong, CPA, CFP®

*Nicholas J. De Jong (b. 1989) is a Financial Advisor in Savant's Naperville, IL office and a member of the Advisory Team. He is a member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. He is also a member of the Information Security Committee, an internal panel that provides guidance and leadership in the protection of Savant's information, assets, and technology. Nick is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.A.S., Accounting, Northern Illinois University, DeKalb, IL, 2012
- B.S., Accountancy, Northern Illinois University, DeKalb, IL, 2011
- Business Administration Major, Dordt College, Sioux Center, IA, Attended 2007–2008
- CERTIFIED FINANCIAL PLANNER™ professional, 2016
- NASAA Series 65, 2014
- Certified Public Accountant (CPA), 2013
- Financial Advisor, Savant Capital, LLC, 04/2016–Present
- Accelerated Career Development Program Associate, Savant Capital, LLC, 07/2015–03/2016
- Senior Associate, CPA, DiGiovine, Hnilo, Jordan & Johnson, Ltd, 08/2012-07/2015
- Associate, DiGiovine, Hnilo, Jordan & Johnson, Financial Advisors, Ltd., 08/2012-07/2015

### **Item 3 – Disciplinary Information**

Mr. De Jong does not have any disciplinary action to report. Public information concerning Mr. De Jong's registration as an investment adviser 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**

Mr. De Jong does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. De Jong does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Scott F. Demler, CFP®, CRPS®

*Scott F. Demler (b. 1967) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Scott routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Marketing, Northern Illinois University, DeKalb, IL, 2005
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2015
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2013
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 03/2011–01/2012
- Financial Advisor, Edward Jones, 07/2007–03/2011
- Sales, Carpet One, 12/1996–07/2007

### **Item 3 – Disciplinary Information**

Mr. Demler does not have any disciplinary action to report. Public information concerning Mr. Demler's registration as an investment adviser 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**

Mr. Demler does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Demler does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Michael R. Denten

*Michael R. Denten (b. 1955) is a Financial Advisor in Savant's Wilmette, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business Administration/Economics, University of Tulsa, Tulsa, OK, 1978
- NASAA Series 65, 1997
- Financial Advisor, Savant Capital, LLC, 05/2015–Present
- Director of Research and Investment Adviser Representative, Orion Capital Management, Inc., 01/1996–07/2015
- Commodity Broker/Trader, Self Employed, 06/1995–10/1995
- Commodity Broker/Trader, Michael R. Denten, LTD., 01/1980–06/1995

### **Item 3 – Disciplinary Information**

Mr. Denten does not have any disciplinary action to report. Public information concerning Mr. Denten's registration as an investment adviser 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**

Mr. Denten does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Denten does not receive any additional compensation other than for investment advisory services for Savant.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Joseph Peter Doyle, Jr., CPA/PFS, CFP®

*J. Peter Doyle, Jr. (b. 1960) is a Financial Advisor in Savant's Lincolnshire, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Pete regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Accounting, Miami University, Oxford, OH, 1982
- CERTIFIED FINANCIAL PLANNER™ professional, 2003
- Personal Financial Specialist (PFS), 2002
- Certified Public Accountant (CPA), 1983
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 07/2013–04/2020
- President, Doyle Financial, Ltd., 01/2007–Present
- Chief Compliance Officer, Huber Financial Advisors, LLC, 07/2013-03/2018
- Chief Compliance Officer, Huber Financial Group, Ltd., 01/2012-07/2013
- Wealth Manager, Huber Financial Group, Ltd., 09/2009-07/2013

### **Item 3 – Disciplinary Information**

Mr. Doyle does not have any disciplinary action to report. Public information concerning Mr. Doyle's registration as an investment adviser 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**

Mr. Doyle is President and Owner of Doyle Financial, Ltd. which is a tax consulting firm. Clients may use (but are not obligated to use) the services of Doyle Financial for tax return preparation.

### **Item 5 – Additional Compensation**

Mr. Doyle does not receive any additional compensation for investment advisory services. Mr. Doyle may receive compensation in the form of payment for preparation of tax returns prepared by clients who choose to use the services provided by Doyle Financial. Full disclosure of any charges are approved by each client prior to any services. Clients are not obligated to use Doyle Financial for tax preparation.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Kimberly S. Drake, CFA®

*Kimberly S. Drake (b. 1961) is a Financial Advisor in Savant's Lincolnshire, IL office, is a member of the Advisory Team, and has a membership interest in Savant. She is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Kim regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies. She specializes in women, specifically their life transitions and how these changes affect their financial lives.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A., Northwestern University Kellogg Graduate School of Management, Evanston, IL, 1987
- B.A., Psychology, with minor in Economics, Denison University, Granville, OH, 1983
- Chartered Financial Analyst® (CFA®), 1991
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 07/2013-04/2020
- Client Service Director, Huber Financial Group, Ltd., 10/2011-07/2013

### **Item 3 – Disciplinary Information**

Ms. Drake does not have any disciplinary action to report. Public information concerning Ms. Drake's registration as an investment adviser 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**

Ms. Drake does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Drake does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Donald D. Duncan, CPA/PFS, CFA®, CSEP, CFP®**

*Donald D. Duncan (b. 1956) is a Financial Advisor in Savant's Santa Fe, Chicago, and Downers Grove offices, is a member of the Executive Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Don formulates and coordinates effective planning, investment and tax strategies to help clients Build their Ideal Future. He focuses on high income and/or \$1 million net worth clients.*

**Item 2 – Educational Background and Business Experience**

- M.B.A., DePaul University, Chicago, IL, 1987
- B.S., Triple major in Finance, Operations Management and Human Resource Management, Illinois State University, Normal, IL, 1980
- Personal Financial Specialist (PFS), 2006
- CERTIFIED FINANCIAL PLANNER™ professional, 2001
- Certified Specialist In Estate Planning (CSEP), 1997
- Chartered Financial Analyst® (CFA®), 1992
- Certified Public Accountant (CPA), 1985
- Financial Advisor, Savant Capital, LLC, 10/2018–Present
- Owner and Managing Member, D3 Financial Counselors, LLC, 03/1997–12/2018
- V.P., Assistant Division Manager, Northern Trust Co., 01/1986–03/1997
- Portfolio Management Technology Development and Systems Planning, Northern Trust Co., 01/1986–12/1997
- Director of Credit Research, Northern Trust Co., 01/1989–12/1991
- Trust Operations Supervisor, Planning Officer, Strategic Planning Officer, Financial Analyst, Northern Trust Co., 06/1980–12/1986

**Item 3 – Disciplinary Information**

Mr. Duncan does not have any disciplinary action to report. Public information concerning Mr. Duncan's registration as an investment adviser 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**

Mr. Duncan does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. Duncan does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Teryn A. Fitzgerald, CFP®, CTFA**

*Teryn A. Fitzgerald (b. 1989) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. She is a member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. Teryn is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

B.S., Business Administration, Indiana University, Richmond, IN, 2014

Certified Trust & Financial Advisor (CTFA), 2019

CERTIFIED FINANCIAL PLANNER™ professional, 2018

Financial Advisor, Savant Capital, LLC, 01/2020-Present

Financial Planner, Savant Capital, LLC, 09/2015–12/2019

Administrative Assistant, Rockford Bank & Trust, 08/2014–09/2015

### **Item 3 – Disciplinary Information**

Ms. Fitzgerald does not have any disciplinary action to report. Public information concerning Ms. Fitzgerald's registration as an investment adviser 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**

Ms. Fitzgerald does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Fitzgerald does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Adam J. Glassberg, CFP®, CIMA®**

*Adam J. Glassberg (b. 1986) is a Financial Advisor in Savant's Downers Grove, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Investment Committee and is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Adam regularly meets with clients, other advisors, portfolio managers and planners to formulate and coordinate effective planning, investment and tax strategies. He specializes in helping young professionals and young doctors who need assistance with tax savings, budgeting, loan repayment, and investment strategies.*

### **Item 2 – Educational Background and Business Experience**

- Certificate in Financial Planning, DePaul University, Chicago, IL, 2009
- B.S., Finance, Eastern Illinois University, Charleston, IL, 2008
- Certified Investment Management Analyst® (CIMA), 2012
- CERTIFIED FINANCIAL PLANNER™ professional, 2011
- Financial Advisor, Savant Capital, LLC, 10/2018–Present
- Co-Owner and Financial Counselor, D3 Financial Counselors, LLC, 01/2015–12/2018
- Senior Financial Planner, Co-Portfolio Manager, D3 Financial Counselors, LLC, 12/2013–12/2014
- Financial Planner, D3 Financial Counselors, LLC, 12/2011–12/2013
- Junior Financial Planner, D3 Financial Counselors, LLC, 05/2008–12/2011

### **Item 3 – Disciplinary Information**

Mr. Glassberg does not have any disciplinary action to report. Public information concerning Mr. Glassberg's registration as an investment adviser 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**

Mr. Glassberg does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Glassberg does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## **Gabriel Gonzalez, CRPC®, CFP®**

*Gabriel Gonzalez (b. 1977) is a Financial Advisor in Savant's St. Charles, Hoffman Estates, and Chicago, IL offices, is a member of the Advisory Team, and has a membership interest in Savant. He has been involved in the financial services industry since 2003 and has helped numerous families over the years turn assorted financial goals and interests into unified, integrated financial plans. He is responsible for managing all aspects of the financial planning and investment process for clients. Gabe routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies. He particularly enjoys discussing multi-generational wealth planning, tax-efficient investing, and wealth accumulation strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Finance, University of Phoenix, Phoenix, AZ, 2008
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Chartered Retirement Planning Counselor™ (CRPC®), 2010
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 07/2011–01/2012
- Principal, AJ Gabriel Group, LLC, 05/2009–09/2011
- Financial Advisor Training Program, Merrill Lynch & Co, 11/2007–02/2009
- Licensed Sales Associate, State Farm Insurance, Karen Ayers & Ann Nolan Agencies, 05/2003–11/2007
- Marketing Representative, East Coast AD Efx, 09/2001–5/2003

### **Item 3 – Disciplinary Information**

Mr. Gonzalez does not have any disciplinary action to report. Public information concerning Mr. Gonzalez's registration as an investment adviser 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**

Mr. Gonzalez does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Gonzalez does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Drake R. Grindle, MAS, CPA, CFP®**

*Drake R. Grindle (b. 1992) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Drake regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Master of Accounting Science, University of Illinois, Urbana-Champaign, Illinois, 2015
- B.S., Accountancy, University of Illinois, Urbana-Champaign, Illinois, 2014
- B.A., Arts, Rock Valley Community College, Rockford, Illinois, 2012
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- Certified Public Accountant (CPA), 2016
- Financial Advisor, Savant Capital, LLC, 01/2019–Present
- Accelerated Career Development Program Associate, Savant Capital, LLC, 12/2017–12/2018
- Senior Assurance Associate, BDO USA, LLP, 08/2017–11/2017
- Assurance Associate, BDO USA, LLP, 10/2015–08/2017

### **Item 3 – Disciplinary Information**

Mr. Grindle does not have any disciplinary action to report. Public information concerning Mr. Grindle's registration as an investment adviser 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**

Mr. Grindle does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Grindle does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## William V. Gunlicks, CFP®

*William V. Gunlicks (b. 1979) is a Financial Advisor in Savant's Lincolnshire and Chicago, IL offices, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Will regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business Administration, University of Denver, Daniels College of Business, Denver, CO, 2001
- Life, Health, Variable Contracts Insurance License, IL, 2015
- CERTIFIED FINANCIAL PLANNER™ professional, 2007
- NASAA Series 65, 2006
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 09/2014-04/2020
- Financial Advisor/Wealth Manager, Cantor Fitzgerald, Wealth Partners/Mariner Wealth Advisors, 09/2011-09/2014
- Financial Planner, Clune & Associates, 06/2010-08/2011

### **Item 3 – Disciplinary Information**

Mr. Gunlicks does not have any disciplinary action to report. Public information concerning Mr. Gunlicks' registration as an investment adviser 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**

Mr. Gunlicks has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Gunlicks does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Theresa A. Harezlak, CFP® CDFA®

*Theresa A. Harezlak (b. 1966) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. She is a co-founder and member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. She previously co-founded the impetus behind Savant's Women's Wealth Initiative, Savvy Women, a group created to educate and empower women to establish and maintain their financial independence. Theresa is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Business Administration, University of Iowa, Iowa City, IA, 1988
- Certified Divorce Financial Analyst® (CDFA®), 2016
- CERTIFIED FINANCIAL PLANNER™ professional, 1995
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 09/2007–01/2012
- Financial Advisor, AMCORE Investment Group, 07/1988–06/2007

### **Item 3 – Disciplinary Information**

Ms. Harezlak does not have any disciplinary action to report. Public information concerning Ms. Harezlak's registration as an investment adviser 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**

Ms. Harezlak does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Harezlak does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## David J. Huber, CFP®

*David J. Huber (b. 1956) is a Managing Director and Financial Advisor in Savant's Lincolnshire, IL office and has more than 40 years of experience in the financial services industry. He founded Huber Financial Advisors in 1988 and served as its chief executive officer until it joined with Savant in February 2020. Dave earned a bachelor's degree in business administration from St. Norbert College. In 2007 he was named one of Chicago's Notable Financial Advisors by Crain's Chicago Business. Since 2008, Dave has served on the Board of Directors of the Chicago Lighthouse, an organization in Chicago that has served the blind and visually impaired for more than 100 years.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Business Administration, St Norbert College, 1978
- Life, Health, Variable Contracts Insurance Producer License, IL
- CERTIFIED FINANCIAL PLANNER™ professional, 1988
- Managing Director and Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Chief Executive Officer, Huber Financial Advisors, LLC, 04/2010-04/2020
- Chief Executive Officer, Huber Financial Group, Ltd., 10/1988-03/2013

### **Item 3 – Disciplinary Information**

Mr. Huber does not have any disciplinary action to report. Public information concerning Mr. Huber's registration as an investment adviser 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**

Mr. Huber has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Huber does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Jeremy S. Joseph, CFP®

*Jeremy S. Joseph (b. 1984) is a Financial Advisor in Savant's Lincolnshire, IL office and a member of the Advisory Team. He works closely with Savant's clients to create, implement, and monitor their comprehensive wealth management plans.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Communication Studies, University of Kansas, Lawrence KS, 2006
- Life, Health, Variable Contracts Insurance License, IL, 2017
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- NASAA Series 66, 2007
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 12/2018-04/2020
- Senior Financial Consultant, TD Ameritrade, Inc., 05/2018-12/2018
- Financial Consultant, Fidelity Brokerage Services LLC, 08/2016-05/2018
- Investment Consultant, TD Ameritrade, Inc., 11/2012-08/2016
- Independent Advisor Representative, Wayne Messmer & Associates, Madison Avenue Advisors, Inc., Madison Avenue Securities, Inc., 03/2008-11/2012
- Financial Advisor, Ameriprise Financial Services, Inc., 05/2006-03/2008

### **Item 3 – Disciplinary Information**

Mr. Joseph does not have any disciplinary information to report. Mr. Joseph has been the subject of a bankruptcy petition within the last 10 years. The petition was filed on August 19, 2010 and terminated on December 21, 2010. There is no action pending. Public information concerning Mr. Joseph's registration as an investment adviser 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**

Mr. Joseph has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Joseph does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Scott W. Kaiser, CFP®, AIF®, CRPS®

*Scott W. Kaiser (b. 1963) is a Financial Advisor in Savant's Rockford and Sterling, IL offices, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. Scott is responsible for managing all aspects of the financial planning and investment processes for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies. He spends a good portion of his time assisting business owners, including farm owners, in addressing their unique needs.*

### **Item 2 – Educational Background and Business Experience**

- B.S. Business Administration, emphasis Finance, Rockford College, Rockford, IL, 1986
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS®), 2014
- Accredited Investment Fiduciary (AIF®), 2012
- CERTIFIED FINANCIAL PLANNER™ professional, 2011
- NASAA Series 65, 2010
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 03/2010–01/2012
- Business Manager, Savant Capital Management, Inc., 10/1999–03/2010

### **Item 3 – Disciplinary Information**

Mr. Kaiser does not have any disciplinary action to report. Public information concerning Mr. Kaiser's registration as an investment adviser 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**

Mr. Kaiser does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Kaiser does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Kevin C. Kingston, CLU®, ChFC®

*Kevin C. Kingston (b. 1954) is a Financial Advisor in Savant's Bloomington, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Kevin routinely meets with clients, other advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S. Business Administration, Illinois State University, Normal, IL, 1976
- Chartered Financial Consultant® (ChFC®), 1984
- Chartered Life Underwriter (CLU®), 1982
- NASAA Series 65, 1999
- NASAA Series 7, 1999
- Financial Advisor, Savant Capital, LLC, 10/2019–Present
- Investment Advisor, Valmark Advisers, Inc., 06/2007–12/2019
- Registered Representative, Valmark Securities, Inc., 06/2007–12/2019
- Financial Advisor, Kingston Wealth Management, 06/1976-12/2019
- Professional Life Underwriter, Evlico New York New York, 06/1976-12/2019
- Representative, The Equitable Life Assurance, Society of the United States, 06/1976-12/2019
- Representative, EQ Financial Consultants, Inc., 06/1976-12/2019
- Representative, AXA Advisors, LLC, 06/1976-12/2019

### **Item 3 – Disciplinary Information**

Mr. Kingston does not have any disciplinary action to report. Public information concerning Mr. Kingston's registration as an investment adviser 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**

Mr. Kingston does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Kingston does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



**Brian J. Knabe, MD, CMP®, CFP®**

*Brian J. Knabe (b. 1967) is a Financial Advisor in Savant's Rockford, IL and Park Falls, WI offices, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Brian routinely meets with clients, advisors, portfolio managers, and planners in order to develop comprehensive planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- Certificate in Financial Planning, Marquette University, Milwaukee, WI, 2007
- Family Practice Residency, University of Illinois College of Medicine, Chicago, IL, 1996
- M.D., University of Illinois College of Medicine, Chicago, IL, 1993
- B.S., Honors, Biomedical Engineering, Marquette University, Milwaukee, WI, 1989
- CERTIFIED FINANCIAL PLANNER™ professional, 2010
- Certified Medical Planner (CMP®), 2010
- NASAA Series 65, 2008
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 02/2008–01/2012
- Consultant, Savant Capital Management, Inc., 01/2007–02/2008
- Clinical Assistant Professor of Family Medicine, Residency Faculty, UICOM-R, 02/2008–5/2017
- Medical Director, Swedish American Cardiopulmonary Rehabilitation Program, 2000–2001
- Family Physician, Swedish American Health System, 09/1996–01/2008

**Item 3 – Disciplinary Information**

Dr. Knabe does not have any disciplinary action to report. Public information concerning Dr. Knabe's registration as an investment adviser 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**

Dr. Knabe works as an emergency room physician on a part time basis.

**Item 5 – Additional Compensation**

Dr. Knabe does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Gerard S. Korabik, AIFA®, CFP®, CRPS®

*Gerard S. Korabik (b. 1968) is a Financial Advisor in Savant's Rockford, IL and suburban Chicago offices, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. He is also a member of the Fiduciary Committee, an internal panel that reviews our retirement plan service providers to comply with ERISA Section 3(16) fiduciary status. Jerry advises individual clients as well as retirement plans and not-for-profit organizations. He is responsible for managing all aspects of the financial planning and investment processes for Savant's clients. He regularly meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, University of Illinois, Champaign, IL, 1991
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2011
- Accredited Investment Fiduciary Analyst<sup>®</sup> (AIFA<sup>®</sup>), 2007
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 1997
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 01/2007–01/2012
- Vice President – Financial Communications, Morningstar/Ibbotson, 01/2000–06/2006
- Senior Manager – Financial Planning Solutions, PriceWaterhouseCoopers, 12/1997–12/1999
- Senior Analyst – Pensions and Investments, Arthur Andersen, 06/1994–12/1997
- Financial Analyst, Arthur Andersen, 05/1991–06/1994

### **Item 3 – Disciplinary Information**

Mr. Korabik does not have any disciplinary action to report. Public information concerning Mr. Korabik's registration as an investment adviser 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**

Mr. Korabik does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Korabik does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Scott K. Laue, JD, CFP®

*Scott K. Laue (b. 1960) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients and also advises not-for-profit organizations and consults on the plan design and ongoing administration of retirement plan clients. Scott routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Certified Pension Trustee Program – Illinois, Public Pension Fund, 2005
- Certified Retirement Plan Specialist program, Cannon Financial Institute, 1995
- J.D., Valparaiso University School of Law, Valparaiso, IN, 1986
- B.S., Marketing, Bradley University, Peoria, IL, 1983
- CERTIFIED FINANCIAL PLANNER™ professional, 2010
- NASAA Series 65, 2008
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 02/2008–01/2012
- Vice President & Trust Officer, AMCORE Investment Group NA, 03/1998–02/2008
- Vice President, Bank One, and its predecessor First National Bank, Rockford IL, 06/1991–03/1998

### **Item 3 – Disciplinary Information**

Mr. Laue does not have any disciplinary action to report. Public information concerning Mr. Laue's registration as an investment adviser 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**

Mr. Laue does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Laue does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Jeffrey R. Lewis, CFP®, ChFC®, CRPS®

*Jeffrey R. Lewis (b. 1993) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Jeff regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S, Economics, Northern Illinois University, Dekalb, IL, 2015
- A.A.S. General Studies, Rock Valley Community College, Rockford, IL, 2013
- Chartered Retirement Plans Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2020
- Chartered Financial Consultant<sup>®</sup> (ChFC<sup>®</sup>), 2019
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2019
- NASAA Series 65, 2018
- Financial Advisor, Savant Capital, LLC., 09/2019-Present
- Advisor Development Program Associate, Savant Capital, LLC, 04/2019–09/2019
- Investment Research Analyst, Savant Capital, LLC., 03/2017–04/2019
- Portfolio Accountant, Savant Capital, LLC., 05/2015–03/2017

### **Item 3 – Disciplinary Information**

Mr. Lewis does not have any disciplinary action to report. Public information concerning Mr. Lewis' registration as an investment adviser 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**

Mr. Lewis does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Lewis does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Brent A. Lindell, CTFA, CFP®, AIF®, CRPS®**

*Brent A. Lindell (b. 1967) is a Financial Advisor in Savant's Madison, WI office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Brent routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies. He advises clients on numerous financial strategies to help them accumulate, maintain, and preserve their wealth.*

### **Item 2 – Educational Background and Business Experience**

- Cannon Trust School, University of Notre Dame, Notre Dame, IN, 2000
- B.A., Economics, University of Iowa, Iowa City, IA, 1990
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2014
- Accredited Investment Fiduciary (AIF<sup>®</sup>), 2011
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2010
- NASAA Series 65, 2007
- Certified Trust & Financial Advisor (CTFA), 2000
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 03/2007–01/2012
- Vice President, Wealth Management Consultant, US Bank, 09/1995–03/2007
- Account Executive, Dean Witter Reynolds, Inc., 06/1994–05/1995
- Sales Support Representative, Kemper Financial Services, Inc., 01/1992–06/1993

### **Item 3 – Disciplinary Information**

Mr. Lindell does not have any disciplinary action to report. Public information concerning Mr. Lindell's registration as an investment adviser 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**

Mr. Lindell does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Lindell does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Jakob C. Loescher, CRPC®, CFP®, ChFC®, AIF®, CRPS®**

*Jakob C. Loescher (b. 1986) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Advisory Council, an internal panel that provides input on ways to improve the client experience. Jake is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- B.S., Finance, minor History, Northern Illinois University, DeKalb, IL, 2008
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2013
- Accredited Investment Fiduciary (AIF<sup>®</sup>), 2012
- Chartered Financial Consultant<sup>®</sup> (ChFC<sup>®</sup>), 2011
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2010
- Chartered Retirement Planning Counselor<sup>™</sup> (CRPC<sup>®</sup>), 2010
- NASAA Series 65, 2009
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 07/2011–01/2012
- Financial Planner, Savant Capital Management, Inc., 06/2010–07/2011
- Paraplanner, Savant Capital Management, Inc., 12/2008–06/2010

**Item 3 – Disciplinary Information**

Mr. Loescher does not have any disciplinary action to report. Public information concerning Mr. Loescher's registration as an investment adviser 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**

Mr. Loescher does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. Loescher does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Stephen C. Lorence, CFP®

*Stephen C. Lorence (b. 1992) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, Kansas State University, Manhattan, KS, 2015
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- NASAA Series 65, 2014
- Financial Advisor, Savant Capital, LLC, 01/2017–Present
- Relationship Manager, United Capital, Northbrook, IL, 08/2015–11/2016
- Guidance Specialist, United Capital, Dallas, TX, 06/2015–08/2015
- Intern, United Capital, Rockford, IL, 05/2013–05/2015

### **Item 3 – Disciplinary Information**

Mr. Lorence does not have any disciplinary action to report. Public information concerning Mr. Lorence's registration as an investment adviser 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**

Mr. Lorence does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Lorence does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**David H. McCormick-Goodhart, CPA/PFS, CFP®, CRPS®, AIF®**

*David H. McCormick-Goodhart (b. 1981) is a Financial Advisor in Savant's McLean, VA, office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- M.B.A., Finance, Mount St. Mary's University, Emmitsburg, MD, 2008
- B.S., Accounting, Mount St. Mary's University, Emmitsburg, MD, 2005
- Accredited Investment Fiduciary (AIF®), 2017
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS®), 2016
- Personal Financial Specialist (PFS), 2015
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Certified Public Accountant (CPA), 2009
- NASAA Series 65, 2014
- Financial Advisor, Savant Capital, LLC., 05/2015–Present
- Financial Advisor, Triton Wealth Management, LLC, 10/2013–05/2015
- Senior Tax Accountant, Cardoni Waddell, LLC, 05/2011–10/2013
- Staff-In-Charge Accountant, Dembo, Jones, Healy,
- Pennington & Marshall PC, 05/2005–05/2011

**Item 3 – Disciplinary Information**

Mr. McCormick-Goodhart does not have any disciplinary action to report. Public information concerning Mr. McCormick-Goodhart's registration as an investment adviser 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**

Mr. McCormick-Goodhart does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. McCormick-Goodhart does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## Kevin T. McFadden, CFP®, LUTCF

*Kevin T. McFadden (b. 1985) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Kevin routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S.B.A., Accounting with Finance Minor, Columbia College of MO, Elgin, IL, 2012
- A.A.S., Business Management, McHenry County College, McHenry County College, Crystal Lake, IL, 2007
- Life Underwriter Training Council Fellow (LUTCF), 2016
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Financial Advisor, Savant Capital, LLC., 01/2019–Present
- Financial Advisor/Senior Financial Planner, Savant Capital, LLC., 01/2018–12/2018
- Senior Financial Planner, Savant Capital, LLC., 09/2015–01/2018
- Licensed Private Client Group Relationship Manager, PNC Investments, 05/2015–09/2015
- Investment Adviser Representative, Raymond James, 05/2014–05/2015
- Investment Associate, Raymond James, 07/2012–05/2014
- Risk and Trust Operations, Castle Bank, 10/2007–07/2012

### **Item 3 – Disciplinary Information**

Mr. McFadden does not have any disciplinary action to report. Public information concerning Mr. McFadden's registration as an investment adviser 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**

Mr. McFadden does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. McFadden does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Sarah E. McGinniss, CFP®, CRPS®**

*Sarah E. McGinniss (b. 1988) is a Financial Advisor in Savant's Madison, WI office, is a member of the Advisory Team, and has a membership interest in Savant. She is a co-founder and member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. Sarah is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, University of Illinois, Urbana-Champaign, IL, 2010
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2017
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2017
- NASAA Series 65, 2015
- Financial Advisor, Savant Capital, LLC., 04/2015–Present
- Consultant, Slalom Consulting, 04/2013–04/2015
- Consultant, FTI Consulting, 09/2010–04/2013
- Intern, Allstate Financial, 06/2009–08/2009
- Intern, Rockford Local Development Corp., 06/2008–08/2008
- Resident Advisor, University of Illinois, 05/2007–12/2007
- Intern, Savant Capital Management, Inc. (winter breaks and summers), 12/2006–08/2008

### **Item 3 – Disciplinary Information**

Ms. McGinniss does not have any disciplinary action to report. Public information concerning Ms. McGinniss' registration as an investment adviser 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**

Ms. McGinniss does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. McGinniss does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Ryan G. Monette, CFP®, ChFC®

*Ryan G. Monette (b. 1984) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is a member of the Ideal Futures Committee, an internal panel that develops the processes, technology, and tools to implement the Ideal Futures Platform vision. Ryan is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and financial planners to determine and coordinate effective planning, investment, and tax strategies. Ryan has expertise in Social Security retirement planning, which includes helping clients evaluate their various Social Security retirement income claiming strategies, and helps clients understand the value of their Social Security benefits in their overall financial plan.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, minor Economics, Northern Illinois University, DeKalb, IL, 2007
- Chartered Financial Consultant® (ChFC®), 2013
- CERTIFIED FINANCIAL PLANNER™ professional, 2011
- Financial Advisor, Savant Capital, LLC., 07/2015–Present
- Financial Advisor/Assigned Planner, Savant Capital, LLC., 07/2014–07/2015
- Assigned Planner, Savant Capital, LLC., 01/2014–05-2014
- Financial Planner, Savant Capital, LLC., 01/2012–01/2014
- Financial Planner, Savant Capital Management, Inc., 01/2011–01/2012
- Trader, Savant Capital Management, Inc., 01/2008–01/2011
- Intern, Savant Capital Management, Inc., 05/2006–01/2008

### **Item 3 – Disciplinary Information**

Mr. Monette does not have any disciplinary action to report. Public information concerning Mr. Monette's registration as an investment adviser 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**

Mr. Monette does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Monette does not receive any additional compensation for investment advisory services. **Item 6 – Supervision** Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Grant W. Moore, CFP®, MPAS®, CRPC®, AIF®, CRPS®**

*Grant W. Moore (b. 1984) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

**Item 2 – Educational Background and Business Experience**

- M.B.A., Marquette University, Milwaukee, WI, 2010
- B.S. Business Administration, Marquette University, Milwaukee, WI, 2006
- Master Planner Advanced Studies<sup>SM</sup> (MPAS<sup>®</sup>), 2019
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2013
- Accredited Investment Fiduciary (AIF<sup>®</sup>), 2012
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2008
- Chartered Retirement Planning Counselor (CRPC<sup>®</sup>), 2008
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 02/2010–01/2012
- Financial Planner, Savant Capital Management, Inc., 02/2008–02/2010
- Paraplanner, Savant Capital Management, Inc., 05/2006–02/2008

**Item 3 – Disciplinary Information**

Mr. Moore does not have any disciplinary action to report. Public information concerning Mr. Moore's registration as an investment adviser 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**

Mr. Moore does not have any other business activities.

**Item 5 – Additional Compensation**

Mr. Moore does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Robert E. Morrison, CFP®

*Robert E. Morrison (b. 1971) is a Chief Strategy and Innovation Officer in Savant's Lincolnshire, IL office, is a member of the Executive Team, and has a membership interest in Savant.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business, Minor in Communications,
- DePaul University, Chicago, IL, 1993
- CERTIFIED FINANCIAL PLANNER™ professional, 2009
- Life, Health, Variable Contracts Insurance License, IL, 2003
- NASAA Series 66, 2000
- Chief Strategy and Innovation Officer, Savant Capital, LLC, 02/2020–Present
- President, Huber Financial Advisors, LLC, 07/2013–04/2020
- President, Huber Financial Group, Ltd., 01/2012-07/2013
- Financial Advisor, Huber Financial Group, Ltd., 01/2001-12/2011

### **Item 3 – Disciplinary Information**

Mr. Morrison does not have any disciplinary action to report. Public information concerning Mr. Morrison's registration as an investment adviser 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**

Mr. Morrison does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Morrison does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Douglas R. Morton, III, CFP®

*Douglas R. Morton, III (b. 1977) is a Financial Advisor in Savant's Lincolnshire, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Doug regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Economics and Business Administration, Hope College, Holland, MI, 2000
- Life, Health, Variable Contracts Insurance License, IL, 2008
- CERTIFIED FINANCIAL PLANNER™ professional, 2004
- NASAA Series 65, 2002
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 01/2017-04/2020
- Wealth Advisor/Managing Director, United Capital Financial Advisers, LLC, 09/2008-11/2016
- Investment Analyst/Financial Advisor, Integrated Financial Management, Inc., 03/2001-09/2008

### **Item 3 – Disciplinary Information**

Mr. Morton does not have any disciplinary action to report. Public information concerning Mr. Morton's registration as an investment adviser 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**

Mr. Morton has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Morton does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Elizabeth N. Muldowney, CRPC®, CFP®, BFA™

*Libby N. Muldowney (b. 1979) is a Financial Advisor in Savant's Rockford, IL office and a member of the Advisory Team. She is a co-founder and member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. She previously co-founded the impetus behind Savant's Women's Wealth Initiative, Savvy Women, a group created to educate and empower women to establish and maintain their financial independence. Libby is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Economics, emphasis finance, Rockford College, Rockford, IL, 2002
- Behavioral Financial Advisor™ (BFA™), 2018
- CERTIFIED FINANCIAL PLANNER™ professional, 2014
- Chartered Retirement Planning Counselor (CRPC®), 2010
- NASAA Series 65, 2010
- Financial Advisor, Savant Capital, LLC, 07/2014–Present
- Client Service Representative, Savant Capital, LLC., 01/2012–06/2014
- Client Service Representative, Savant Capital Management, Inc., 09/2008–01/2012
- Customer Services, Fifth Third Bank, 12/2002–07/2008
- Platform Rep, Fifth Third Bank, 11/2004–07/2008

### **Item 3 – Disciplinary Information**

Ms. Muldowney does not have any disciplinary action to report. Public information concerning Ms. Muldowney's registration as an investment adviser 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**

Ms. Muldowney does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Muldowney does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Martin F. Perdoux

*Martin F. Perdoux (b. 1964) is a Financial Advisor in Savant's Wilmette, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Master of Arts in Art Therapy and Counseling, School of Art Institute, Chicago, IL, 1995
- Bachelor of Arts Sculpture emphasis, San Diego State University, San Diego, CA, 1990
- NASAA Series 7, 2013
- NASAA Series 66, 2013
- Financial Advisor, Savant Capital, LLC, 02/2019–Present
- Financial Advisor, Wells Fargo Clearing Services, LLC, 11/2016–02/2019
- Financial Advisor, Wells Fargo Advisors, LLC, 12/2015–11/2016
- Financial Advisor, Edward Jones, 05/2013–12/2015

### **Item 3 – Disciplinary Information**

Mr. Perdoux does not have any disciplinary action to report. Public information concerning Mr. Perdoux's registration as an investment adviser 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**

Mr. Perdoux does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Perdoux does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## Janet E. Petran, CPA, CFP®

*Janet E. Petran (b. 1959) is a Financial Advisor in Savant's Lincolnshire, IL office and a member of the Advisory Team. She is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Janet regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Business Administration, University of Michigan, Steven M. Ross School of Business, Ann Arbor, MI, 1982
- CERTIFIED FINANCIAL PLANNER™ professional, 2011
- Certified Public Accountant (CPA), 1983
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 01/2014-04/2020
- Client Service Associate, Forum Financial, 01/2012-10/2013
- Financial Planner, Trinity Financial, 10/2011-01/2012
- Financial Planner, Balasa Dinverno Foltz, 01/2010-06/2011

### **Item 3 – Disciplinary Information**

Ms. Petran does not have any disciplinary action to report. Public information concerning Ms. Petran's registration as an investment adviser 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**

Ms. Petran does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Petran does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Kevin J. Phillips, CFP®

*Kevin J. Phillips (b. 1982) is a Financial Advisor in Savant's Naperville, IL, office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. He regularly meets with clients, other advisors, portfolio managers, accountants, attorneys, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S. in Public Affairs, emphasis Public Financial Management, minor
- Public Management, Business, Indiana University, Bloomington, IN, 2005
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- Financial Advisor, Savant Capital, LLC, 12/2014–Present
- Registered Representative and Investment Advisor Representative, Securian Financial Services, Inc., 08/2011–12/2014
- Agent, Minnesota Life 08/2011–12/2014
- Agent, GCG Financial, 08/2011–12/2014
- Proprietary Equity Trader, Great Point Capital, LLC, 06/2005–08/2011
- Sales, Christiana Capital, 10/2010–03/2011
- Clerk, International Futures & Options Independent Traders, 06/1999–01/2005
- Analyst, CME Group/Kevin K. Phillips, 12/2004–01/2005

### **Item 3 – Disciplinary Information**

Mr. Phillips does not have any disciplinary action to report. Public information concerning Mr. Phillip's registration as an investment adviser 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**

Mr. Phillips does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Phillips does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Christopher R. Plagge, CPA, EA

*Christopher R. Plagge (b. 1961) is a Principal and the Managing Director of Savant Tax & Consulting, a wholly owned subsidiary of Savant Capital, LLC. He has been involved in the tax and financial services industry since 1983. Prior to joining Savant, Chris was the managing partner of Green, Plagge & Shaw, where he specialized in income tax planning and preparation, financial reporting and analysis, financial modeling, and general business management consulting. Chris is a Certified Public Accountant and an Enrolled Agent, licensed by the Department of Treasury to practice before the Internal Revenue Service.*

### **Item 2 – Educational Background and Business Experience**

- B.S. in accounting, Elmhurst College, Elmhurst, IL, 1983
- NASAA Series 65, 2017
- Certified Public Accountant (CPA), 1997
- Enrolled Agent (EA), 1989
- Principal, Managing Director, Savant Tax & Consulting, 01/2015–Present
- Principal, Green, Plagge & Shaw, 05/1983–12/2014

### **Item 3 – Disciplinary Information**

Mr. Plagge does not have any disciplinary action to report. Public information concerning Mr. Plagge’s registration as an investment adviser 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**

Mr. Plagge does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Plagge does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Ambari Prakash Pinto, JD, CFP®**

*Ambari Prakash Pinto (b. 1970) is a Financial Advisor in Savant's McLean, VA, office and a member of the Advisory Team. She is a member of the Women's Wealth Initiative committee, an internal panel that helps guide corporate efforts to empower, inform, and inspire women about financial issues. Ambari is responsible for managing all aspects of the financial planning and investment process for Savant's clients. She regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- CERTIFIED FINANCIAL PLANNER™ professional, 2017
- Certificate of Financial Planning, Georgetown School of Professional and Continuing Studies, Washington, D.C., 2011
- J.D., Georgetown University Law Center, Washington D.C., 1997
- B.A., Political Science/Spanish, University of Vermont, Burlington, VT., 1992
- Financial Advisor, Savant Capital, LLC, 01/2017–Present
- Financial Planner, Growing Tree Financial Consultants, LLC, 08/2011–12/2016
- Investment Adviser Representative, Metlife Premier Client Group, 08/2014–05/2015
- Financial Advisor, Focus Wealth Management, 04/2015–07/2015
- Legal Counsel, Real Networks, 04/2004–12/2010
- Senior Associate, Thelen Reid & Priest, LLP, 04/1998–03/2004,

### **Item 3 – Disciplinary Information**

Ms. Prakash Pinto does not have any disciplinary action to report. Public information concerning Ms. Prakash Pinto's registration as an investment adviser 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**

Ms. Prakash Pinto does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Prakash Pinto does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Thomas J. Ptacin, CFP®, AIF®, CRPS®**

*Thomas J. Ptacin (b. 1975) is a Financial Advisor in Savant's Rockford, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Tom routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A., University of Montana, Missoula, MT, 2003
- B.S., Business, Finance and Economics, University of Wisconsin, Eau Claire, WI, 1998
- Chartered Retirement Plan Specialist<sup>SM</sup> (CRPS<sup>®</sup>), 2014
- Accredited Investment Fiduciary (AIF<sup>®</sup>), 2012
- CERTIFIED FINANCIAL PLANNER<sup>™</sup> professional, 2006
- Financial Advisor, Savant Capital, LLC, 01/2012–Present
- Financial Advisor, Savant Capital Management, Inc., 08/2006–01/2012
- Trader, Savant Capital Management, Inc., 05/2004–07/2006
- Director of Supervision – Investment Operations
- Northwestern Mutual, 09/1998–12/2003

### **Item 3 – Disciplinary Information**

Mr. Ptacin does not have any disciplinary action to report. Public information concerning Mr. Ptacin's registration as an investment adviser 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**

Mr. Ptacin does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Ptacin does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Christopher N. Ruedi, RICP®, CFP®**

*Christopher N. Ruedi (b. 1986) is a Financial Advisor in Savant's Bloomington, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Chris routinely meets with clients, other advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A. Economics, St. Louis University, John Cook School of Business, St. Louis, MO, 2011
- B.S. Finance, University of Illinois, Urbana-Champaign, IL, 2008
- Retirement Income Certified Professional, 2018
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- NASAA Series 66, 2013
- NASAA Series 7, 2012
- Financial Advisor, Savant Capital, LLC, 10/2019–Present
- Investment Advisor, Valmark Advisers, Inc., 03/2014–12/2019
- Registered Representative, Valmark Securities, Inc., 10/2012–12/2019
- Financial Advisor, Kingston Wealth Management, 07/2012-12/2019

### **Item 3 – Disciplinary Information**

Mr. Ruedi does not have any disciplinary action to report. Public information concerning Mr. Ruedi's registration as an investment adviser 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**

Mr. Ruedi does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Ruedi does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Lorene K. Shaw, CPA, CFP®, CDFA®**

*Lorene (Rene) K. Shaw (b. 1960) is a Principal of Savant Tax & Consulting, a wholly owned subsidiary of Savant Capital, LLC. She has a membership interest in Savant. She is responsible for overseeing Tax & Accounting Services at our St. Charles, IL location.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Accounting, Northern Illinois University, DeKalb, IL, 1981
- Certified Divorce Financial Analyst® (CDFA®), 2010
- CERTIFIED FINANCIAL PLANNER™ professional, 2002
- Certified Public Accountant (CPA), 1982
- Tax & Business Services Senior Manager, Savant Capital, LLC, 03/2020-Present
- Principal, Savant Tax & Consulting, 01/2015–03/2020
- Partner, Green, Plagge & Shaw, Ltd., 05/2008–12/2014
- Accountant, Green, Plagge & Shaw, Ltd., 09/1999–04/2008

### **Item 3 – Disciplinary Information**

Ms. Shaw does not have any disciplinary action to report. Public information concerning Ms. Shaw's registration as an investment adviser 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**

Ms. Shaw does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Shaw does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Justin D. Smith, CFP®, CFA®

*Justin D. Smith (b. 1982) is a Financial Advisor in Savant's Phoenix, AZ office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Justin routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Finance, University of Michigan, Ann Arbor, MI, 2005
- CERTIFIED FINANCIAL PLANNER™ professional, 2015
- Chartered Financial Analyst® (CFA®), 2010
- Financial Advisor, Savant Capital, LLC, 05/2019–Present
- Portfolio Manager/Partner, Slayton Lewis, 04/2010–05/2019
- Business Development, Logan Stone Capital, 06/2009–03/2010
- Financial Advisor Associate, JP Morgan Chase, 04/2009–06/2009

### **Item 3 – Disciplinary Information**

Mr. Smith does not have any disciplinary action to report. Public information concerning Mr. Smith's registration as an investment adviser 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**

Mr. Smith does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Smith does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## **Bradley R. Stewart, CFP®**

*Bradley R. Stewart (b. 1991) is a Financial Advisor in Savant's Freeport, IL office and a member of the Advisory Team. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Brad routinely meets with clients, advisors, portfolio managers, and planners to determine and coordinate effective planning, investment, and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, Northern Illinois University, DeKalb, IL, 2013
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- NASAA Series 65, 2017
- Financial Advisor, Savant Capital, LLC, 07/2017–Present
- Investment Research Analyst, Savant Capital, LLC, 05/2015–06/2017
- Portfolio Accountant, Savant Capital, LLC, 05/2013–12/2013
- Intern, Savant Capital, LLC, 05/2013–12/2013

### **Item 3 – Disciplinary Information**

Mr. Stewart does not have any disciplinary action to report. Public information concerning Mr. Stewart's registration as an investment adviser 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**

Mr. Stewart does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Stewart does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Chris A. Walters

*Chris A. Walters (b. 1963) is the Midwest Advisory & Development Manager in Savant's Rockford, IL office and a member of the Advisory Team. He has oversight responsibility for Savant's advisory business in its Midwest markets outside of the Chicago metropolitan area.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Economics, California State University, Long Beach, CA
- NASAA Series 65, 2016
- Midwest Advisory & Development Manager, Savant Capital, LLC, 09/2019-Present
- Principal, Lighthouse Advisory, 08/2017-Present
- IAR, Clarity Capital Partners, , 07/2019-09/2019
- Managing Director, Genspring Family Offices, 06/2015-08/2017
- Executive Vice President, Rabobank, N.A., 11/2013-05/2015
- Registered Rep, LPL Financial, 07/2011-07/2012
- UVEST Financial Services Group, Inc, 10/2008-07/2012
- Executive Vice President, Citizens Business Bank, 06/2007-07/2012

### **Item 3 – Disciplinary Information**

Mr. Walters does not have any disciplinary action to report. Public information concerning Mr. Walter's registration as an investment adviser 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**

Mr. Walters is currently engaged in an outside business activity with Lighthouse Advisory where he provides non-investment related consulting to ultra-high net worth families. No time is dedicated to this business during normal business hours.

### **Item 5 – Additional Compensation**

Mr. Walters does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Robert J. Witt, CFP®, RICP®**

*Robert J. Witt (b. 1971) is a Financial Advisor in Savant's Lincolnshire, IL office, is a member of the Advisory Team, and has a membership interest in Savant. He is responsible for managing all aspects of the financial planning and investment process for Savant's clients. Bob regularly meets with clients, other advisors, portfolio managers, and financial planners to formulate and coordinate effective planning, investment and tax strategies.*

### **Item 2 – Educational Background and Business Experience**

- Bachelor of Science, University of WI, 1995
- Retirement Income Certified Professional®, (RICP®), 2016
- CERTIFIED FINANCIAL PLANNER™ professional, 2001
- NASAA Series 63, 1997
- Life, Health, Variable Contracts Insurance License, WI, 1997
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Wealth Advisor, Huber Financial Advisors, LLC, 07/2013-04/2020
- Wealth Manager, Huber Financial Group, Ltd., 08/2007-07/2013

### **Item 3 – Disciplinary Information**

Mr. Witt does not have any disciplinary action to report. Public information concerning Mr. Witt's registration as an investment adviser 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**

Mr. Witt has no other business activities.

### **Item 5 – Additional Compensation**

Mr. Witt does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Maureen D. Wright, CFP®

*Maureen D. Wright (b. 1991) is a Financial Advisor in Savant's Chicago, IL office and a member of the Advisory Team. She works closely with Savant's clients to create, implement, and monitor their comprehensive wealth management plans.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, Illinois State University, Normal, IL, 2013
- CERTIFIED FINANCIAL PLANNER™ professional, 2016
- Financial Advisor, Savant Capital, LLC, 02/2020–Present
- Financial Advisor, Huber Financial Advisors, LLC, 06/2019-04/2020
- Financial Planner, Huber Financial Advisors, LLC, 09-2017-06/2019
- Client Service Director, Huber Financial Advisors, LLC, 11/2015-09/2017
- Client Service Associate, Huber Financial Advisors, LLC, 05/2013-11/2015

### **Item 3 – Disciplinary Information**

Ms. Wright does not have any disciplinary action to report. Public information concerning Mr. Wright's registration as an investment adviser 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**

Ms. Wright does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Wright does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Stephen A. Bergman, CFA®

*Stephen A. Bergman (b. 1990) is a Portfolio Manager in Savant's Chicago, IL office and a member of the Investment Team. He is a member of the Investment Committee and is responsible for trading, investment research, and analyzing client portfolios.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Economics and Art History, Ohio State University, Columbus, OH, 2013
- Chartered Financial Analyst® (CFA®), 2019
- NASAA Series 65, 2017
- Portfolio Manager, Savant Capital, LLC, 02/2020–Present
- Portfolio Manager, Huber Financial Advisors, LLC, 05/2018–04/2020
- Portfolio Specialist, Vivaldi Capital Management, 06/2017-05/2018
- Investment Trade and Research Analyst, Hedgehold Capital Management, LLC, 09/2013-06/2017

### **Item 3 – Disciplinary Information**

Mr. Bergman does not have any disciplinary action to report. Public information concerning Mr. Bergman's registration as an investment adviser 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**

Mr. Bergman does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Bergman does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Derek A. Carter, CFP®

*Derek A. Carter (b. 1973) is a Due Diligence, Onboarding and Integration Manager in Savant's Rockford, IL office, is a member of the Investment Research Team, and has a membership interest in Savant. He is responsible for investment research, portfolio management, complex portfolio conversions and implementation, and specialty trading. He focuses much of his energy on effectively managing key special projects.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A., Edgewood College, Madison, WI, 2002
- B.S., Political Science, University of Wisconsin, Madison, WI, 1995
- CERTIFIED FINANCIAL PLANNER™ professional, 2012
- Due Diligence, Onboarding and Integration Manager, Savant Capital, LLC, 03/2020-Present
- Investment Research Analyst/Portfolio Integration Manager, Savant Capital, LLC, 03/2015–03/2020
- Investment Research Analyst, Savant Capital, LLC, 03/2014–02/2015
- Trader/Portfolio Coordinator, Savant Capital, LLC, 01/2012–03/2014
- Trader/Portfolio Coordinator, Savant Capital Management, Inc., 03/2008–01/2012
- Trader, Savant Capital Management, Inc., 06/2003–03/2008

### **Item 3 – Disciplinary Information**

Mr. Carter does not have any disciplinary action to report. Public information concerning Mr. Carter's registration as an investment adviser 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**

Mr. Carter does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Carter does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Daniel B. Crowley, CFP®

*Daniel B. Crowley (b. 1995) is an Investment Research Analyst in Savant's Chicago, IL office and a member of the Investment Team. He is responsible for creating investment analysis reports and conducting portfolio reviews to assist the financial advisors in developing optimal planning and investment strategies for clients.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Finance, Illinois State University, Normal, IL, 2016
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- Investment Research Analyst, Savant Capital, LLC, 10/2019-Present
- Financial Planner, Savant Capital, LLC, 10/2018–10/2019
- Junior Financial Planner, D3 Financial Counselors, 06/2017–09/2018
- Wealth Management Intern, Country Financial, 05/2016-04/2017

### **Item 3 – Disciplinary Information**

Mr. Crowley does not have any disciplinary action to report. Public information concerning Mr. Crowley's registration as an investment adviser 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**

Mr. Crowley does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Crowley does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Jonathan J. Fuller

*Jonathan J. Fuller (b. 1993) is an Investment Research Analyst in Savant's Rockford, IL office and a member of the Investment Team. He is responsible for creating investment analysis reports and conducting portfolio reviews to assist the financial advisors in developing optimal planning and investment strategies. He contributes to Savant newsletters, market commentary, and fund due diligence for potential inclusion in Savant investment strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.S., Business Economics, Beloit College, College, WI, 2016
- NASAA Series 65, 2018
- Investment Research Analyst, Savant Capital, LLC, 07/2017–Present

### **Item 3 – Disciplinary Information**

Mr. Fuller does not have any disciplinary action to report. Public information concerning Mr. Fuller's registration as an investment adviser 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**

Mr. Fuller does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Fuller does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## **Tawn M. Jacobs, CPA/PFS, CFP®**

*Tawn M. Jacobs (b. 1962) is the Director of Financial Planning and Tax Services with Savant Capital, LLC. She serves as secretary for the Ideal Futures Committee, an internal panel that develops the processes, technology, and tools to implement the Ideal Futures Platform vision. Tawn has direct responsibility for the framing, development, and execution of all of Savant's financial planning opportunities in a cross-functional manner.*

### **Item 2 – Educational Background and Business Experience**

- M.S.T., DePaul University, Chicago, IL, 1992
- B.S. Accounting, Northern Illinois University, Dekalb, IL, 1989
- Personal Financial Specialist (PFS), 2011
- CERTIFIED FINANCIAL PLANNER™ professional, 2000
- Certified Public Accountant (CPA), 1989
- Director of Financial Planning, Savant Capital, LLC, 03/2019–Present
- Manager of Financial Planning, Savant Capital, LLC, 01/2013–02/2019
- Director of Financial Planning, Savant Capital, LLC, 01/2012–01/2013
- Senior Financial Planner, Savant Capital Management, Inc., 05/2004–01/2012
- Tax Preparation/Review, Siepert & Company, 02/2004–04/2004
- Tax Review, Loescher & Associates, 02/2004–04/2004
- Tax Preparation/Review, Diversified Financial Management Corp., 08/2002–08/2003
- Tax Preparation, RSM McGladrey, Inc., 01/2002–04/2002
- Registered Rep, Birchtree Financial Services, Inc., 03/2001–05/2001
- Tax Manager, RSM McGladrey, Inc., 06/1997–05/2001
- CPA, Owner, Jacobs & Jacobs, CPA's, 01/1994–05/1997
- Tax Accounting Officer, AMCORE Financial, Inc., 05/1992–01/1994
- Senior Tax Specialist, KPMG Peat Marwick, 07/1989–05/1992

### **Item 3 – Disciplinary Information**

Ms. Jacobs does not have any disciplinary action to report. Public information concerning Ms. Jacobs' registration as an investment adviser 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**

Ms. Jacobs does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Jacobs does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

**Jessica L. Knudsen, CFP®, CSRP®, MPAS®**

*Jessica L. Knudsen (b. 1979) is a Financial Planning Supervisor in Savant's Rockford, IL office within the Financial Planning and Tax Team and has a membership interest in Savant. She works closely with Savant's financial advisors to prepare comprehensive client financial plans and coordinate plan implementation. She also specializes in creating analyses to determine Roth conversion opportunities and optimal cash flow distributions in retirement. Jessica is a firm expert in developing complex Excel spreadsheets and proprietary analytical tools.*

**Item 2 – Educational Background and Business Experience**

- M.S., Personal Financial Planning, College for Financial Planning, 2016
- B.S., Economics, emphasis in Finance, Rockford College, Rockford, IL, 2001
- Master Planner Advanced Studies<sup>SM</sup>, 2016
- Certified Specialist in Retirement Planning<sup>SM</sup> (CSRP®), 2009
- CERTIFIED FINANCIAL PLANNER™ professional, 2006
- Financial Planning Supervisor, Savant Capital, LLC, 03/2018–Present
- Senior Financial Planner, Savant Capital, LLC, 01/2012–02/2018
- Financial Planner, Savant Capital Management, Inc., 08/2004–12/2011
- Cashier/Supervisor, Sam's Club, 03/2002–12/2004
- Paraplanner, American Express Financial Advisor, 06/2001–04/2003

**Item 3 – Disciplinary Information**

Ms. Knudsen does not have any disciplinary action to report. Public information concerning Ms. Knudsen's registration as an investment adviser 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**

Ms. Knudsen does not have any other business activities.

**Item 5 – Additional Compensation**

Ms. Knudsen does not receive any additional compensation for investment advisory services.

**Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Mary T. Lynch, CFP®

*Mary T. Lynch (b. 1966) is a Financial Planner in Savant's Madison, WI office and a member of the Planning Team. She works closely with the Advisory Team to prepare client financial plans and develop tax strategies for clients. She is also responsible for gathering, organizing, and synthesizing client data to support financial advisors in developing planning and investment strategies.*

### **Item 2 – Educational Background and Business Experience**

- M.B.A. General Management, University of Chicago, Booth School of Business, Chicago, IL, 2005
- B.A., Art History, Northwestern University, Evanston, IL, 1989
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- Wealth Transfer Specialist, Savant Capital LLC, 03/2020-Present
- Financial Planner, Savant Capital, LLC, 05/2016–03/2020
- Financial Planning Associate, Boyden Financial, Mt. Horeb, WI, 09/2011–02/2016

### **Item 3 – Disciplinary Information**

Ms. Lynch does not have any disciplinary action to report. Public information concerning Ms. Lynch's registration as an investment adviser 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**

Ms. Lynch does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Lynch does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Dominick J. Parillo, CFP®**

*Dominick J. Parillo (b. 1989) is a Wealth Transfer Advisor in Savant's McLean, VA office within the Planning Team and has a membership interest in Savant. He works closely with the Advisory Team to analyze client estate plans, develop wealth transfer and asset protection strategies, and assist with trust and estate administration. Dominick is also knowledgeable in many other financial planning areas including retirement planning, income tax, estate and gift tax, education planning, risk management, and investment planning.*

### **Item 2 – Educational Background and Business Experience**

- B.S. in Finance, Northern Illinois University, DeKalb, IL, 2011
- CERTIFIED FINANCIAL PLANNER™ professional, 2014
- Director of Wealth Transfer, Savant Capital, LLC, 03/2020-Present
- Wealth Transfer Advisor, Savant Capital, LLC, 05/2017–03/2020
- Senior Financial Planner, Savant Capital, LLC, 03/2013–05/2017
- Financial Paraplanner, Savant Capital, LLC, 01/2011–02/2013

### **Item 3 – Disciplinary Information**

Mr. Parillo does not have any disciplinary action to report. Public information concerning Mr. Parillo's registration as an investment adviser 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**

Mr. Parillo does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Parillo does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Kelli M. Peterson, CPA, CFP®, ATA**

*Kelli M. Peterson (b. 1988) is a Financial Planning & Tax Specialist in Savant's Rockford, IL office and a member of the Planning Team. She works closely with the Advisory Team to prepare client financial plans, develop tax strategies for clients, and assist with the implementation of tax planning and consulting opportunities. Kelli also works closely with Savant Tax & Consulting, a wholly owned subsidiary of Savant Capital, LLC, during tax season, preparing and reviewing personal and business income tax returns.*

### **Item 2 – Educational Background and Business Experience**

- M.P.A., U.W. Whitewater, Whitewater, WI, 2011
- B.S. in Business Administration, U.W. Whitewater, Whitewater, WI, 2010
- Accredited Tax Advisor (ATA), 2020
- CERTIFIED FINANCIAL PLANNER™ professional, 2018
- Certified Public Accountant (CPA), 2013
- Tax and Business Services Supervisor, Savant Capital, LLC, 03/2020-Present
- Financial Planning & Tax Specialist, Savant Capital, LLC, 11/2017–03/2020
- Financial Planner, Savant Capital, LLC, 09/2015–11/2017
- Tax Accountant, Kerry Group, 01/2011–09/2015

### **Item 3 – Disciplinary Information**

Ms. Peterson does not have any disciplinary action to report. Public information concerning Ms. Peterson's registration as an investment adviser 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**

Ms. Peterson does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Peterson does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Kathryn M. Risch, QPA, QKA, QPFC, CRC®, CTFA**

*Kathryn M. Risch (b. 1964) is a Senior Financial Planner in Savant's McLean, VA, office and a member of the Planning Team. She works closely with the Advisory Team to deliver retirement projections, prepare client financial plans, and work on tax strategies for clients. She is also responsible for gathering, organizing, and synthesizing client data to support financial advisors in developing ideal planning and wealth transfer strategies.*

### **Item 2 – Educational Background and Business Experience**

- B.A., Marketing, University of Wisconsin, Milwaukee, WI, 1986
- Certified Trust and Financial Advisor, 2020
- Certified Retirement Counselor (CRC®), 2011
- Qualified Plan Financial Consultant (QPFC), 2009
- NASAA Series 65, 2008
- Qualified 401(k) Administrator (QKA), 2000
- Qualified Pension Administrator (QPA), 1992
- Wealth Transfer Specialist, Savant Capital, LLC, 03/2020-Present
- Senior Financial Planner, Savant Capital, LLC, 12/2017–03/2020
- Qualified Retirement Plan Coordinator, Savant Capital, LLC, 10/2013–12/2017
- Investment Services, Petersen Hastings Investment Management, Inc., 11/2006–10/2013
- Office Manager, Cicotte Law Firm, 09/2004–11/2006
- Qualified Retirement Plan Administration Procedures Architect, Daybridge, Inc., 11/2000–12/2009
- VP Qualified Retirement Plan Administration, Petersen Hastings Investment Management, Inc., 10/1992–11/2000
- Registered Representative, The Codrick Financial Group, Inc., 01/1995–02/1999
- Pension Consultant, Benefits Northwest, Inc., 10/1992–01/1995
- Registered Representative, First Cascade Securities, Inc., 10/1992–12/1994

### **Item 3 – Disciplinary Information**

Ms. Risch does not have any disciplinary action to report. Public information concerning Ms. Risch's registration as an investment adviser 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**

Ms. Risch does not have any other business activities.

### **Item 5 – Additional Compensation**

Ms. Risch does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## **Eamon M. Verdone, CFP®, CFA®, CAIA®**

*Eamon M. Verdone (b. 1991) is an Investment Research Analyst in Savant's Rockford, IL office and a member of the Investment Research Team. He focuses on quantitative and qualitative due diligence of asset classes, fund managers, and individual funds. Eamon leads development of risk premia models and contributes to the evolution of Savant's forward-looking return methodologies. He analyzes prospect and client portfolios, writes market commentaries, supports the Investment Committee, and serves as a resource for the Advisory Team in providing high quality support for complex individual client needs. In addition to his role on the Investment Research Team, Eamon performs financial modeling and due diligence of M&A candidate firms for Savant's Corporate Development Team and assists the Executive Team with analysis and implementation of strategic initiatives.*

### **Item 2 – Educational Background and Business Experience**

- B.S. in Finance, Northern Illinois University, Dekalb, IL, 2013
- CERTIFIED FINANCIAL PLANNER™ professional, 2019
- Chartered Alternative Investment Analyst®(CAIA®), 2018
- Chartered Financial Analyst® (CFA®), 2018
- Senior Investment Research Analyst, Savant Capital, LLC, 11/2018–Present
- Investment Research Analyst, Savant Capital, LLC, 01/2014–11/2018

### **Item 3 – Disciplinary Information**

Mr. Verdone does not have any disciplinary action to report. Public information concerning Mr. Verdone's registration as an investment adviser 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**

Mr. Verdone does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Verdone does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.

## Andrew J. Welp, JD, CPA

*Andrew Welp (b. 1982) is a Wealth Transfer Advisor with Savant Capital, LLC. He works closely with the Advisory Team to analyze client estate plans, develop wealth transfer and asset protection strategies, and assist with trust and estate administration. Andy is knowledgeable in many financial planning areas including retirement, tax, education, risk management, and investment planning. He also oversees Savant Private Trust, Savant's corporate trustee solution with National Advisors Trust Company, FSB.*

### **Item 2 – Educational Background and Business Experience**

- JD, College of Law, Northern Illinois University, DeKalb, IL, 2010
- B.S., Accounting, Bradley University, Peoria, IL, 2006
- Certified Public Accountant (CPA), 2013
- NASAA Series 66, 2011
- NASAA Series 7, 2011
- Director of Savant Private Trust, Savant Capital, LLC, 03/2020-Present
- Wealth Transfer Advisor, Savant Capital, LLC, 10/2017–03/2020
- CFO, Bates Financial Group, Inc., 01/2011–10/2017
- Compliance, Bates Securities, Inc., 01/2011–10/2017
- Deputy Operations, Kilbride for Supreme Court, 10/2010–11/2010
- Research Assistant, Daniel Schneider, 06/2010–09/2010
- Clerk, Charles Brown, ESQ, 01/2010–05/2010
- Research Assistant, Northern Illinois University, 05/2008–05/2010
- Auditor, Liberty Mutual Insurance, 06/2006–05/2007

### **Item 3 – Disciplinary Information**

Mr. Welp does not have any disciplinary action to report. Public information concerning Mr. Welp's registration as an investment adviser 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**

Mr. Welp does not have any other business activities.

### **Item 5 – Additional Compensation**

Mr. Welp does not receive any additional compensation for investment advisory services.

### **Item 6 – Supervision**

Brian Conroy, Chris Walters, Philip Corcoran, and Donald Duncan review the investment advisory activities of our supervised persons. They each report to Douglas Moffitt, Chief Advisory & Development Officer. In addition, Margaret M. Baer, Chief Compliance Officer, performs overall compliance supervision of our firm and its financial professionals. These individuals can be reached at (815) 227-0300.



## APPENDIX A

### Professional Designations and Certifications

#### **Accredited Investment Fiduciary® (AIF®)**

Administered by fi360, the Accredited Investment Fiduciary® (AIF®) professional designation demonstrates knowledge and competency in the area of fiduciary responsibility and communicates a commitment to standards of investment fiduciary excellence. Holders of the AIF® mark have successfully completed a specialized program on investment fiduciary standards and subsequently passed a comprehensive examination.

#### **Accredited Investment Fiduciary Analyst™ (AIFA®)**

Administered by fi360, the Accredited Investment Fiduciary Analyst™ (AIFA®) professional designation focuses on the process of conducting fiduciary assessments. The AIFA designation not only signifies the same thorough knowledge of the prudent process for investment fiduciaries that the AIF designation represents, but also the ability to perform assessments of that process. AIFA designees' primary function is to perform, or assist in, assessments of an investment steward's, advisor's, or manager's conformance to a Global Fiduciary Standard of Excellence using fi360's ISO-like procedure of assessment. AIFA designees possess the ability and knowledge to advise clients of deficiencies in investment processes. It is also the required mark to perform a CEFEX Fiduciary Certification, the independent recognition of a fiduciary's conformity to all fiduciary practices and criteria. To become an AIFA, one must have graduated from fi360's AIF training. In addition, there are specific prerequisite work experiences.

#### **Accredited Portfolio Management AdvisorSM (APMA®)**

Issued by the College for Financial Planning, the Accredited Portfolio Management AdvisorSM program is a graduate-level introduction to portfolio construction and management. Individuals who hold the APMA® designation have gained hands-on experience involving investment policy statement analysis, portfolio building, and critical asset allocation decision making.

#### **Accredited Tax Advisor (ATA)**

The Accredited Tax Advisor (ATA) is a leading national credential for practitioners who handle sophisticated tax planning issues, including planning for owners of closely held businesses, planning for the highly compensated, choosing qualified retirement plans and performing estate tax planning. In order to become an ATA, candidates must pass the ATA examination and meet a three-year experience requirement. The Accreditation Council for Accountancy and Taxation® (ACAT) seeks to ensure that all accredited individuals possess the theoretical and practical knowledge necessary to be successful practitioners

#### **Accredited Wealth Management AdvisorSM (AWMA®)**

Individuals who hold the AWMA® designation have completed a course of study encompassing wealth strategies, equity-based compensation plans, tax reduction alternatives, and asset protection alternatives. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

#### **Behavioral Financial Advisor™ (BFA™)**

The Behavioral Financial Advisor™ (BFA™) is a professional certification developed by Kaplan to provide training to deepen client relationships through professional and personal financial planning consultation. The program is designed to help advisors mentor and coach individuals regarding their financial decisions. To attain the right to use the BFA™, an individual must complete two comprehensive courses and pass a certifying examination.

#### **Chartered Alternative Investment Analyst® (CAIA®)**

The Chartered Alternative Investment Analyst® (CAIA®) designation is conferred by the CAIA Association. The CAIA® is the globally recognized credential for professionals managing, analyzing, distributing, or regulating alternative investments. The CAIA® designation is awarded to candidates who have successfully passed the Level I and Level II examinations and met the other requirements specified by the CAIA Association.

#### **Certified Divorce Financial Analyst® (CDFA®)**

The Certified Divorce Financial Analyst® (CDFA®) is a professional certification granted in the by the Institute for Divorce Financial Analysts™ (IDFA™). To attain the right to use the CDFA®, an individual must satisfactorily complete a comprehensive course of study approved by the IDFA and pass a four-part Certification Examination that tests their understanding and knowledge of the financial aspects of divorce. In addition, candidates must demonstrate the practical application of this knowledge in the divorce process.

#### **Certified Estate Planner™ (CEP®)**

The CEP® (CERTIFIED ESTATE PLANNER™) is a trademark registered with the United States Patent and Trademark Office, and solely owned by the National Institute of Certified Estate Planners, Inc. This certification mark is awarded to individuals who successfully complete the NICEP certification requirements and who also comply with annual maintenance requirements.

### **Certified Financial Planner™(CFP®)**

The CFP® program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP® Board's code of ethics and professional responsibility and financial planning standards and complete 30 hours of continuing education every two years.

### **Certified Investment Management Analyst (CIMA)**

The Certified Investment Management Analyst (CIMA) certification program is the only credential designed specifically for financial professionals who want to attain a level of competency as an advanced investment consultant. The CIMA professional integrates a complex body of investment knowledge to provide objective investment advice and guidance to individuals and institutions. That knowledge is applied systematically and ethically to assist clients in making prudent investment decisions. This CIMA designation focuses on asset allocation, ethics, due diligence, risk measurement, investment policy and performance measurement. The CIMA certification program requires that candidates meet all eligibility requirements, including experience, education, examination and ethics.

### **Certified Medical Planner (CMP®)**

A Certified Medical Planner® undertakes a year-long study of topics specifically related to financial planning for medical professionals. A CMP® has an expertise in catering to the needs of doctors in order to meet their specific financial goals.

### **Certified Retirement Counselor (CRC®)**

The Certified Retirement Counselor® (CRC®) designation, offered through The International Foundation for Retirement Education (InFRE), recognizes retirement planning professionals who demonstrate a mastery of subject matter, a commitment to the retirement planning profession, and adherence to a code of ethics and continuing education requirements.

### **Certified Specialist in Retirement Planning® (CSRP)**

The Certified Specialist in Retirement Planning® (CSRP) designation is conferred by the National Institute for Excellence in Professional Education, LLC. Candidates must complete a curriculum of five core and two elective courses and pass a related exam for each.

### **Certified Specialist in Estate Planning® (CSEP)**

The Certified Specialist in Estate Planning® (CSEP) designation is conferred by the National Institute for

Excellence in Professional Education, LLC. Candidates must complete a curriculum of six core and two elective courses and pass a related exam for each.

### **Certified Trust and Financial Advisor (CTFA)**

The Certified Trust and Financial Advisor (CTFA) designation signifies that an individual working in this field has attained comprehensive training in the following professional knowledge areas: Fiduciary & Trust Activities, Financial Planning, Tax Law & Planning, Investment Management, and Ethics. Candidates must meet the experience, education, ethics and examination requirements determined to be competency measures for wealth management professionals.

### **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. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own.

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

The Chartered Financial Analyst® (CFA®) designation is conferred by the CFA Institute. To obtain the CFA charter, candidates must successfully complete three exams and gain at least three years of qualifying work experience, among other requirements. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis.

### **Chartered Financial Consultant® (ChFC®)**

The Chartered Financial Consultant® (ChFC®) designation program focuses on the comprehensive financial planning process as an organized way to collect and analyze information on a client's total financial situation; to identify and establish specific financial goals; and to formulate, implement, and monitor a comprehensive plan to achieve those goals. The ChFC® program provides financial planners and others in the financial services industry with in-depth knowledge of the skills needed to perform comprehensive financial planning for their clients. Candidates must pass an examination for six required courses and two elective courses to earn the ChFC designation.

### **Chartered Life Underwriter® (CLU®)**

The Chartered Life Underwriter® (CLU®) credential is specifically designed to enhance the knowledge of people employed in the life insurance industry. Most, but not all, individuals who seek or have earned this designation are also licensed insurance agents or brokers. The CLU is conferred only upon successful completion of a ten-part course of study that covers fundamentals of economics, finance, taxation, investments, and other areas of risk management as they apply to life insurance. The course of study can be completed through home study or by attendance of courses offered by either a branch of the American Society of Chartered Life Underwriters or an affiliated college or university.

### **Chartered Retirement Planning CounselorSM (CRPC®)**

The Chartered Retirement Planning CounselorSM (CRPC®) program is offered through the College for Financial Planning® and focuses on the pre- and post-retirement needs of individuals, asset management, estate planning, and the entire retirement planning process using models and techniques from real client situations. Candidates must pass an end-of-course, multiple-choice examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

### **Chartered Retirement Plans SpecialistSM (CRPS®)**

The Chartered Retirement Planning SpecialistSM (CRPS®) program is offered through the College for Financial Planning® and focuses on the design, installation, maintenance, and administration of retirement plans. The curriculum for the CRPS designation encompasses specific content covering both theory and practical application. Candidates must pass an end-of-course, multiple-choice examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

### **Enrolled Agent (EA)**

An Enrolled Agent has earned the right to represent taxpayers before the Internal Revenue Service worldwide.

Enrolled Agents, like attorneys and certified public accountants (CPAs), may represent all taxpayers, from individuals with simple tax returns to Fortune 100 tax returns. Enrolled Agents face no restrictions on the types of tax matters they can handle and the IRS offices before which they can practice. Enrolled Agents are licensed by the Department of Treasury and can represent taxpayers throughout the United States and overseas.

### **Life Underwriter Training Council Fellow (LUTCF)**

The LUTCF designation combines essential product knowledge with the skills financial professionals must have to advise individuals and businesses effectively on their insurance and planning needs. A key to the program is ethical selling practices, and Ethics for the Financial Services Professional is required for every designee. LUTCF candidates must complete six courses, one required and five electives and pass an exam for each course. Candidates must be a member of NAIFA to be awarded the designation following completion of all of the educational requirements.

### **Master Planner Advanced StudiesSM (MPAS®)**

The MPAS® designation is offered to individuals who have completed a Master of Science degree with a major in personal financial planning or financial analysis. The individual must demonstrate critical thinking skills and complex problem-solving techniques while completing assignments, projects, research and various papers to meet graduation requirements. The issuing organization is the College for Financial Planning®. To be eligible to pursue the MPAS® designation, a candidate must have earned a Bachelors or Graduate degree from a regionally-accredited college or university. The curriculum for the MPAS® designation encompasses specific content covering both theory and practical application. Candidates are required to complete their combination of assignments, projects, research and papers with a minimum cumulative 3.0 GPA.

### **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. The PFS credential is administered through the AICPA.

### **Professional Plan Consultant (PPC™)**

The PPC designation signifies an ability to employ best practices that help plan sponsors run successful and compliant practices and is awarded to those that complete a curriculum based on ERISA regulations and industry best practices as it pertains to the management of a qualified plan. The issuing organization is Financial Service Standards, LLC ("FSS").

**Qualified 401(k) Administrator (QKA)**

The Qualified 401(k) Administrator (QKA) credential is offered for retirement plan professionals who work primarily with 401(k) plans. Applicants for the QKA credentials are from various professional disciplines. They typically assist employers and consultants with the recordkeeping, non-discrimination testing and the administrative aspects of 401(k) and related defined contribution plans. A minimum of two years' experience in retirement plan related matters is required along with completion of ASPPA's QKA examination series to be a candidate for this credential.

**Qualified Pension Administrator (QPA)**

The Qualified Pension Administrator (QPA) credential was created by ASPPA to recognize professionals who are qualified to perform the technical and administrative functions of qualified plan administration. QPAs assist employers, actuaries, and consultants in performing functions such as determination of eligibility benefits, computation of benefits, plan recordkeeping, trust accounting and disclosure, and compliance requirements. A minimum of two years' experience in retirement plan related matters is required along with completion of ASPPA's QPA examination series to be a candidate for this credential.

**Qualified Plan Financial Consultant (QPFC)**

QPFC is the professional credential for financial professionals who sell, advise, market or support qualified retirement plans. The QPFC program provides an understanding of general retirement planning concepts, terminology, distinctive features of qualified plans and the role of retirement plan professionals. QPFC is not an entry-level credential. A candidate will be expected to demonstrate a general proficiency of plan administration, compliance, investment, fiduciary, and ethics issues. A minimum of two years' experience in retirement plan related matters is required along with completion of ASPPA's QPA examination series to be a candidate for this credential.

**Retirement Plans Associate (RPA®)**

The Retirement Plans Associate (RPA) designation is earned by individuals in the group benefits arena who complete the extensive four-course curriculum and successfully pass the examination.

**Retirement Income Certified Professional (RICP®)**

The Retirement Income Certified Professional (RICP) designation is offered and recognized by the American College. Candidates must have three (3) years of industry experience and pass three self-paced courses covering the full retirement planning process.