



*Doing Business As:*

Parallel Financial  
135 S Main St Suite 600  
Greenville, SC 29601  
864-385-7999

Parallel Financial  
26 Parkway Commons Way  
Greer, SC 29650  
864-385-7999

Parallel Financial  
916 E North 1st Street  
Seneca, SC 29678  
864-385-7999

Parallel Financial  
149 W Main Street Suite B  
Spartanburg, SC 29306  
864-385-7999

Parallel Financial  
100 Elks Club Rd  
Brevard, NC 28712  
864-385-7999

Parallel Financial  
300 Perimeter Ctr N Suite 300  
Atlanta, GA 30346  
864-385-7999

Parallel Financial  
532 Governor Morrison St  
Suite 200  
Charlotte, NC 28211  
864-385-7999

Parallel Financial  
309 Wade Drive  
Greenville, NC 27858

Altum Wealth Alliance  
110 Traders Cross  
Okatie, SC 29909  
404-984-2620

Echelon Financial Management  
4201 Bee Cave Rd Suite C-101  
Austin, TX 78746  
512-381-4500

Creative Retirement Solutions  
Group  
14460 Lakeside Circle  
Suite 140  
Sterling Heights, MI 48313  
877-907-8625

Coble Wealth Management  
146 E Carolina Ave  
Hartsville, SC 29550  
843-383-4088

Bridgeway Wealth Strategies  
1912 Eastchester Dr Suite 106-K  
High Point, NC 27265  
336-256-9775

Elm Wealth Advisors  
100 East Town Place, Suite 101  
St. Augustine, FL 32092  
904-940-9555

Merrimack Wealth Management,  
LLC  
461 Main Street  
Tewksbury, MA 01876  
978-851-4411

Stewardship Investments, Inc.  
691 98<sup>th</sup> AVE N  
Naples, FL 34108  
218-420-0708

Stewardship Investments, Inc.  
24414 Daniel Lake Dr.  
Bagley, MN 56621  
218-420-0708

Kingdom Wealth Management  
624 West 21<sup>st</sup> Street  
Houston, TX 77008  
832-474-7381

Norris Lake Retirement Planning  
2850 Cutters Grove Ave Suite 102  
Anoka, MN 55303  
763-400-3200

Morrow Wealth Advisory Group  
350 Pine St, Suite 730  
Beaumont, TX 77701  
409-291-8923

Guard Legacy  
4055 Lake Washington Blvd  
Suite 100  
Kirkland, WA 98033  
Mailing: PO Box 838  
Seahurst, WA 98062  
206-647-0047

Longview Advisors, LLC  
201 Ridley Avenue, Suite A  
LaGrange, GA 30240  
706-350-1884

Stella Maris Wealth  
17 E Stone Ave  
Greenville, SC 29609  
864-315-9398

David Dunn Wealth  
10900 NE 4<sup>th</sup> St Suite 2300  
Bellevue, WA 98004  
(425) 321-3000

## Form ADV Part 2B – Brochure Supplement

**Brian Boughner**  
Managing Member  
CRD# 4152328

**Gina Rose Salamin**  
Investment Advisor  
Representative  
CRD# 2714163

**Peyton Hoppes**  
Investment Advisor  
Representative  
CRD# 6848340

**Robert Moses**  
Investment Advisor  
Representative  
CRD# 4132113

**Joseph Nelson**  
Investment Advisor  
Representative  
CRD# 4637736

**Edgar Lawrence  
McLean IV**  
Investment Advisor  
Representative  
CRD# 5322814

**Jonathan Taylor Dick**  
Investment Advisor  
Representative  
CRD# 7683195

**Chris Balcerowiak**  
Investment Advisor  
Representative  
CRD# 1568743

**James Royals, Jr.**  
Investment Advisor  
Representative  
CRD# 3198993

**William Townson Grasty**  
Investment Advisor  
Representative  
CRD# 3090316

**Anthony Mahfood**  
Investment Advisor Rep  
CRD# 2959577

**Steven Tolleson**  
Investment Advisor  
Representative  
CRD# 6276568

**Jordan Roberts**  
Investment Advisor  
Representative  
CRD# 6531315

**Christopher Wilbratte**  
Investment Advisor  
Representative  
CRD# 2990339

**Brian Dick**  
Investment Advisor  
Representative  
CRD# 5290334

**Matthew James Myrick**  
Investment Advisor  
Representative  
CRD# 6908597

**Tabitha Lundstrom**  
Investment Advisor  
Representative  
CRD# 6446482

**Justin Chastain**  
Investment Advisor  
Representative  
CRD# 6157453

**Dylan W. Martin**  
Investment Advisor  
Representative  
CRD# 7119436

**Kyle W. Crawford**  
Investment Advisor  
Representative  
CRD# 4565459

**Gregory Towner**  
Chief Investment Officer  
CRD# 3262601

**David Chudyk**  
Investment Advisor  
Representative  
CRD# 4606891

**Susan Harvell**  
Investment Advisor  
Representative  
CRD# 4442833

**Barry Dick**  
Investment Advisor  
Representative  
CRD# 2441904

**Randall Neighbour**  
Investment Advisor  
Representative  
CRD# 6002976

**Ted Erhart**  
Investment Advisor  
Representative  
CRD# 5426314

**Matthew A. Keefe**  
Investment Advisor  
Representative  
CRD# 7780377

**Anna F. Wolford**  
Investment Advisor  
Representative  
CRD# 7368855

**David J. Morrow**  
Investment Advisor  
Representative  
CRD# 2178372

**Joe Barrow Tracy**  
Investment Advisor  
Representative  
CRD# 2302139

**Daniel L. Phillips**  
Investment Advisor  
Representative  
*CRD# 2776440*

**Dean St. Marie**  
Investment Advisor  
Representative  
*CRD# 2029154*

**Sam A. Parail**  
Investment Advisor  
Representative  
*CRD# 4562948*

**Richard A. Sampley**  
Investment Advisor  
Representative  
*CRD# 409802*

**Gracie Olson**  
Investment Advisor  
Representative  
*CRD# 6167995*

**Timothy Dick**  
Investment Advisor  
Representative  
*CRD# 6971025*

**Katrina Whitlinger**  
Investment Advisor  
Representative  
*CRD# 7011574*

**David Dunn**  
Investment Advisor  
Representative  
*CRD# 1858090*

**John Coble**  
Investment Advisor  
Representative  
*CRD# 4287621*

**Christopher Klein**  
Investment Advisor  
Representative  
*CRD# 4705193*

**Damian Lombardi**  
Investment Advisor  
Representative  
*CRD# 6823417*

**Kevin Dick**  
Investment Advisor  
Representative  
*CRD# 7128809*

**Stephen Harvey**  
Investment Advisor  
Representative  
*CRD# 7509290*

**Thomas Russo, Jr.**  
Investment Advisor  
Representative  
*CRD# 8103046*

**Brianna Madren**  
Investment Advisor  
Representative  
*CRD# 6686584*

**C. Tracy Leonard**  
Investment Advisor  
Representative  
*CRD# 7916204*

This brochure supplement provides information about the above listed that supplements the Fiduciary Alliance LLC ("The Fiduciary Alliance") brochure. A copy of that brochure precedes this supplement. Please contact Susan Harvell if the Fiduciary Alliance brochure is not included with this supplement or if you have any questions about the contents of this supplement.

Additional information is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) which can be found using their identification numbers ("CRD Number").

# Item 2: Educational Background and Business Experience

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## Brian Boughner, CFA®

Born: 1973

### **Educational Background**

- 1994 – BS, Marketing, Florida State University

### **Business Experience**

- 08/2016 – Present, Fiduciary Alliance LLC, Managing Member
- 03/2013 – Present, Parallel Financial, Principal
- 08/2008 – 03/2013, BB&T Asset Management, Portfolio Manager
- 01/2006 – 08/2008, Bank of America, Portfolio Manager

## Anthony Mahfood

Born: 1974

### **Educational Background**

- 2002 – MBA, Finance and Operations, University of Tennessee, Knoxville
- 1997 – BA, Communications and Business, John Carroll University

### **Business Experience**

- 08/2016 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 03/2013 – Present, Parallel Financial, Investment Advisor Representative
- 01/2004 – 03/2013, BB&T Wealth Management, Wealth Advisor

## Gregory Towner, CFA®

Born: 1972

### **Educational Background**

- 1999 – MBA, University of Central Florida
- 1993 – BA, Sport Management with Minor in Business Administration, University of Mount Union

### **Business Experience**

- 08/2016 – Present, Fiduciary Alliance, LLC, Chief Investment Officer
- 11/2014 – 08/2016, Lakeview Capital Partners, LLC, Portfolio Manager
- 12/2013 – 11/2014, Thoughtful Investments, LLC, Owner
- 08/2008 – 10/2013, Sterling Capital Management, Portfolio Manager

## Jordan Roberts

Born: 1985

### **Educational Background**

- 2014 – Juris Doctor, Charleston School of Law
- 2008 – BA, Biological Sciences & BA Modern Languages: Spanish, Clemson University

### **Business Experience**

- 09/2020 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 06/2019 – 07/2020, UBS Financial Services, Registered Representative
- 06/2015 – 05/2019, Black Cypress Capital Management, General Counsel & Chief Compliance Officer

## Gina Rose Salamin

Born: 1972

### **Educational Background**

- 2022 – MBA, University of New South Wales, AGSM
- 1994 – BS, International Business, Messiah College,

### **Business Experience**

- 06/2022 – Present, Fiduciary Alliance LLC, Trader/Analyst
- 08/2019 – 06/2022, Greenville County Schools, Math Teacher
- 10/2007 – 08/2019, Retired, Stay at Home Parent

## Susan Harvell

Born: 1974

### **Educational Background**

- 1997 – BA, Finance, Wofford College

### **Business Experience**

- 09/2020 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 05/2016 – 08/2020, Foster Victor Wealth Management, Investment Specialist
- 10/2009 – 05/2016, Robert T Victor, Administrative Assistant
- 05/2004 – 03/2009, Regions Bank, Branch Manager
- 06/1997 – 05/2004, Wachovia, Branch Manager

## Steve W. Tolleson

Born: 1983

### **Educational Background**

- 2011 – BA, Business and Finance, University of South Carolina, Columbia

### **Business Experience**

- 11/2016 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 07/2005 – 10/2016, Major League Baseball Player, various teams

## David Chudyk

Born: 1973

### **Educational Background**

- 1996 – BS, Interdisciplinary Studies, Coastal Carolina University

### **Business Experience**

- 07/2022 – Present, All of My Assets, LLC, Owner
- 08/2019 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 03/2005 – Present, Nationwide Insurance, Agent
- 08/2008 – 07/2019, Nationwide Securities, Inc., Mass Transfer
- 04/2005 – 07/2019, Nationwide Securities, Registered Representative
- 04/2004 – 03/2005, New York Life Insurance Co, Agent

## Christopher Wilbratte, CEPA

Born: 1967

### **Educational Background**

- 1990 – BBA, Finance and Marketing, University of Texas at Austin

### **Business Experience**

- 02/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 10/2013 – Present, Quantum Pension Services Mgmt. Corp, Adviser
- 05/2013 – Present, Osborn Morano Getzen CPAS, Partner
- 05/2013 – Present, Echelon Financial, Partner
- 12/1992 – Present, Quantum Pension Services Inc, Owner/Sales
- 02/2021 – 02/2025, Purshe Kaplan Sterling Investments, Registered Representative
- 01/2005 – 02/2021, GWN Securities, Registered Representative
- 09/2005 – 12/2016, C&B Wilbratte LP, Owner

## Peyton Hoppes, CEPA

Born: 1993

### **Educational Background**

- 2016 – BS, Economics, Clemson University

### **Business Experience**

- 10/2019 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 08/2017 – 08/2019, Ameriprise Financial Services, Registered Representative
- 04/2017 – 08/2018, Hughes Investment, Assistant Property Manager
- 03/2017 – 04/2018, Southern MEP, Electrician
- 10/2016 – 03/2017, Palmetto Athletics, Coach
- 05/2016 – 10/2016, Enterprise Rent-A-Car, Management Trainee
- 04/2013 – 05/2016, Carolina Cheer and Dance, Coach
- 04/2012 – 08/2014, Camp Highlander, Camp Counselor
- 11/2009 – 04/2012, Dickeys BBQ, Kitchen Staff

## **Barry Raymond Dick**

Born: 1967

### **Educational Background**

- 1989 – BS, Finance, Business Management Minor, Nichols College

### **Business Experience**

- 03/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 12/2009 – Present, Dick Insurance Agency, Owner
- 02/2002 – Present, Merrimack Financial, Registered Representative
- 05/2007 – 03/2021, First Financial Advisors, Registered Representative

## **Robert Moses**

Born: 1960

### **Educational Background**

- 1983 – BA in Applied Science/Engineering, Miami University

### **Business Experience**

- 11/2020 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 11/2020 – 11/2024, Purshe Kaplan Sterling Investments, Registered Representative
- 06/2000 – 10/2020, Hornor Townsend and Kent, Inc, Registered Representative

## **Edgar Lawrence McLean IV**

Born: 1984

### **Educational Background**

- 2006 – BS, Religious Studies, Berean College, Jacksonville

### **Business Experience**

- 03/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 03/2007 – 03/2021, First Financial Advisors, Registered Representative

## **Joseph Nelson, CFP®**

Born: 1963

### **Educational Background**

- 1993 – MBA, University of St. Thomas – Opus College of Business
- 1985 – BS, Biblical Studies & Business Mgt., Northwestern College

### **Business Experience**

- 06/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 06/2021 – 11/2024, Fortune Financial Services, Inc., Registered Representative
- 01/2007 – Present, Stewardship Investments, Inc., Owner
- 01/2007 – 06/2015, Sigma Financial, Registered Representative
- 03/1994 – 12/2002, Project Funding Coordinator, Wycliffe Bible Translators

**Randall Neighbour, RICP®, APMA®**

Born: 1962

**Educational Background**

- 1981– 82, Attended Northwestern Bible College

**Business Experience**

- 07/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 07/2021 – 07/2022, Fortune Financial Services, Inc., Registered Representative
- 06/2018 – Present, Kingdom Wealth Management, Owner
- 02/1990 – Present, Touch Outreach Ministries, President
- 03/2013 – 09/2018, Lincoln Financial Advisors, Registered Representative

**Matthew James Myrick, CFP®**

Born: 1991

**Educational Background**

- 2016 – MBA, Ohio Christian University
- 2013 – BS, Economics, Bemidji State University

**Business Experience**

- 06/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 07/2018 – 06/2021, SPC., Registered Representative
- 05/2018 – 06/2021, Sigma Financial, Registered Representative
- 02/2018 – Present, Stewardship Investments, Inc., Wealth Manager
- 06/2014 – 02/2018, Oaks Hills Christian College, Director of Financial Aid
- 06/2013 – 06/2014, Roger's Two-Way Radio, Sales Representative

**Brian H. Dick**

Born: 1967

**Educational Background**

- 1989 – BS, Business Administration, Nichol College

**Business Experience**

- 07/2021 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 01/2009 – Present, Dick Insurance Agency, Co-Owner
- 09/2002 – Present, Merrimack Wealth Management, President
- 02/2022 – Present, Merrimack Wealth Management, Owner

## Jonathan Taylor Dick

Born: 1994

### **Educational Background**

- 2017 – BS, Pharmaceutical Sciences, University of Rhode Island

### **Business Experience**

- 01/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 01/2023 – Present, Merrimack Wealth Management, Financial Advisor
- 06/2020 – Present, Dick Insurance Agency, Account Executive
- 06/2020 – 01/2023, Merrimack Wealth Management, Account Executive
- 06/2018 – 05/2020, Lonza Biologics, QC Analyst II
- 12/2017 – 03/2018, Pharmaleucence, QC Analyst

## Ted Erhart, CFP®

Born: 1984

### **Educational Background**

- 2007 – BS, Finance, St. Cloud State University
- 2005 – AA, General Education, Anoka Ramsey Community College

### **Business Experience**

- 02/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 02/2023 – Present, Norris Lake Retirement Planning, LLC, Founder/Owner
- 02/2010 – Present, Ted Erhart, Sole Proprietor, Owner
- 02/2018 – 02/2023, LaSalle Street Securities, LLC, Registered Representative
- 02/2018 – 02/2023, Trott Brook Financial, LLC, Investment Advisor Representative
- 11/2015 – 02/2023, Trott Brook Financial, Inc., Chief Investment Officer

## Tabitha Lundstrom

Born: 1986

### **Educational Background**

- 2008 – BSc, Psychology, Bemidji State University

### **Business Experience**

- 04/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 08/2023 – Present, Stewardship Investments, Inc., Operations & Compliance Manager
- 02/2015 – 08/2023, Stewardship Investments, Inc., Administrative Assistant

**Chris Balcerowiak, CFP®**

Born: 1960

**Educational Background**

- 1985 – BS, Finance, Lawrence Technological University

**Business Experience**

- 05/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 12/2017 – Present, Creative Retirement Solutions Group, LLC, Founder/Owner
- 10/2009 – 05/2023, Ameriprise Financial Services, Financial Advisor Professional

**Matthew A. Keefe**

Born: 1994

**Educational Background**

- 2012-16 – Attended Rivier University

**Business Experience**

- 07/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 07/2023 – Present, Merrimack Wealth Management, Financial Advisor
- 01/2020 – 07/2023, Merrimack Wealth Management, Account Executive
- 01/2020 – Present, Dick Insurance Agency, Account Executive
- 06/2016– 01/2020, Play Ball, LLC, Director of Operations

**Anna F. Wolford, CFP®**

Born: 1992

**Educational Background**

- 2013 – BA, Foreign Languages, George Mason University

**Business Experience**

- 07/2023 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 07/2023 – Present, Parallel Financial LLC, Associated Financial Advisor
- 03/2023 – 07/2023, Unemployed
- 11/2021 – 02/2023, Syntrinsic Investment Counsel, Associate Consultant
- 03/2017 – 12/2020, CDA Group, Paraplanner

**Justin Chastain, CFP®**

Born: 1983

**Educational Background**

- 2012 – BA, Business, Furman University

**Business Experience**

- 02/2024 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 09/2019 – 02/2024, Southern Bank, Financial Wellness Manager
- 06/2018 – 09/2019, Strategy Corps, Client Manager

## David Morrow

Born: 1965

### **Educational Background**

- 1988 – BS, Individualized Studies, University of Minnesota – Twin Cities

### **Business Experience**

- 03/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 04/2018 – Present, Morrow Wealth Advisory, Financial Advisor
- 04/2018 – 04/2024, Raymond James, Registered Representative
- 04/2018 – 03/2024, Raymond James, Investment Adviser Representative
- 08/2008 – 04/2018, Morgan Stanley, Financial Advisor/Branch Manager

## James Royals, Jr.

Born: 1960

### **Educational Background**

- 1981 – BS, Accounting, Gardner-Webb College

### **Business Experience**

- 04/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 04/2016 – Present, Bridgeway Wealth Strategies, Partner
- 04/2024 – 12/2025, Fortune Financial Services, Registered Representative
- 04/2016 – 03/2024, Kestra Advisory Services, Investment Adviser Representative
- 10/2004 – 03/2024, Kestra Investment Services, Registered Representative

## Dylan W. Martin, CFP®

Born: 1996

### **Educational Background**

- 2020 – BS, Financial Management / Financial Planning, Clemson University

### **Business Experience**

- 06/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 06/2024 – Present, Stewardship Investments, Inc., Financial Advisor
- 11/2022 – 06/2024, Northwestern Mutual Wealth Management Co., Representative
- 11/2022 – 05/2024, Northwestern Mutual Investment Services, LLC, Registered Representative
- 02/2024 – 06/2024, Bridgeview Enterprises, LLC, Entity Advisor
- 10/2022 – 02/2024, Tyler Layne, Associate Agent
- 06/2021 – 10/2022, Thrivent, Financial Advisor
- 06/2020 – 05/2021, The Budd Group, Consultant
- 05/2020 – 08/2020, Apartment Movers, Mover
- 06/2015 – 06/2020, Clemson University, Student

## Joe Barrow Tracy

Born: 1970

### **Educational Background**

- 1992 – Bachelor of Arts, Economics / French (Double Major), Denison University

### **Business Experience**

- 07/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 07/2024 – Present, Parallel Financial, Financial Advisor
- 08/2011 – 06/2024, Bison Wealth, Investment Advisor

## William Townson Grasty

Born: 1970

### **Educational Background**

- 1992 – Bachelor of Arts, Political Science and Spanish, University of North Carolina – Chapel Hill
- 2001 – Master of Business Administration, Vanderbilt University – Owen School of Business

### **Business Experience**

- 08/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 08/2024 – Present, Parallel Financial, Financial Advisor
- 01/2022 – 06/2024, Bison Wealth, Managing Director
- 08/2013 – 12/2021, Lakeview Capital Partners, Managing Director

## Kyle W. Crawford, CFP®

Born: 1969

### **Educational Background**

- 1991 – Bachelor of Business Administration, Finance, University of Georgia

### **Business Experience**

- 10/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 01/2014 – 10/2024, Bison Wealth, LLC, Director

## Daniel L. Phillips

Born: 1963

### **Educational Background**

- 1990 – Master of Business Administration, Finance, University of Virginia Darden School
- 1985 – Bachelor of Science, Industrial Engineering, Auburn University

### **Business Experience**

- 10/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 05/2017 – 10/2024, Madison Park Capital Advisors, Financial Advisor

### Sam Parail

Born: 1975

#### **Educational Background**

- 1990 – Bachelor of Science, Aviation Business Administration, Embry Riddle Aeronautical University

#### **Business Experience**

- 11/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 7/2024 – 10/1/2024 – Self Employed
- 11/2020 – 7/2024 – Merrill Lynch, Financial Advisor

### Richard Sampley, CFP®

Born: 1947

#### **Educational Background**

- 1971 – Bachelor of Arts, English, Tennessee Technological University

#### **Business Experience**

- 11/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 11/2014 – 11/2024 – Bison Wealth, LLC, Financial Adviser

### Dean St. Marie, CFP®, CEPA

Born: 1959

#### **Educational Background**

- 1986 – Bachelor of Arts, Business, Barry University
- 1982 – Associate of Arts, General Studies, Broward Community College

#### **Business Experience**

- 12/2024 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 04/2019 – 06/2024, Bison Wealth, LLC, Financial Adviser
- 11/2013 – 08/2019, St. Marie Financial Advisor, Financial Adviser

### Timothy Dick, CFP®

Born: 1996

#### **Educational Background**

- 2020 – Bachelor of Science, Economics, Georgetown University

#### **Business Experience**

- 01/2025 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 05/2022 – 01/2025, Dakota Wealth Management, Associate Adviser
- 11/2020 – 04/2022, John Hancock Retirement, Rollover Education Specialist

**Katrina Whitlinger, ChFC®**

Born: 1984

**Educational Background**

- 2008 – Bachelor of Science, Economics, University of Tennessee at Martin

**Business Experience**

- 03/2025 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 12/2024 – 03/2025, Broadstreet Global Advisors, Investment Advisor
- 09/2018 – 11/2024, Edward Jones, Financial Advisor

**Gracie Olson**

Born: 1997

**Educational Background**

- 2020 – Bachelor of Science, Psychology & Biblical Studies, Oaks Hills Christian College

**Business Experience**

- 03/2025 – Present, Fiduciary Alliance LLC/Stewardship Investments, Investment Adviser Representative
- 05/2020 – 03/2025, Stewardship Investments, Marketing and Customer Service

**John Coble**

Born: 1975

**Educational Background**

- 1997 – Bachelor of Science, Business, Winthrop University

**Business Experience**

- 04/2025 – Present, Fiduciary Alliance LLC/Coble Wealth Management, Investment Adviser Representative
- 04/2025 – Present, Aurora Securities, Registered Representative
- 06/2018 – 04/2025, Ameriprise Financial, Registered Representative
- 12/2010 – 09/2018, Investment Professionals, Inc., Investment Adviser Representative
- 12/2003 – 12/2010, Wells Fargo Advisors, LLC, Investment Adviser Representative

## Christopher Klein

Born: 1974

### **Educational Background**

- 1997 – Bachelor of Science, Communication and Aviation, Minnesota State University

### **Business Experience**

- 04/2025 – Present, Fiduciary Alliance LLC/Stewardship Investments, Investment Adviser Representative
- 01/2023 – Present, FlexJet, LLC, Commercial Pilot
- 04/2022 – Present, Klein Aviation Services, LLC, Pilot and owner
- 12/2013 – 01/2025, Lifeplan Financial, LLC, Investment Adviser Representative
- 03/2019 – 03/2023, WSE Massey Engineering & Survey, Controller

## David Dunn, CPA/PFS™, CFP®, CPWA®

Born: 1962

### **Educational Background**

- 1986 – Bachelor of Arts, Business Administration, Accounting, Washington State University

### **Business Experience**

- 05/2025 – Present, Fiduciary Alliance LLC/David Dunn Wealth, Investment Adviser Representative
- 01/2014 – 04/2025, Capital Planning, LLC, Wealth Advisor
- 04/1989 – 01/2014, Capital Planning Corporation, Wealth Advisor
- 06/1988 – 07/2009, Financial Network Investment Corporation, Registered Representative

## Damian Lombardi

Born: 1958

### **Educational Background**

- 1992 – BA, Business, Geneva College

### **Business Experience**

- 06/2025 – Present, Fiduciary Alliance LLC, Investment Adviser Representative
- 09/2017 – 06/2025, Porter Investments, Investment Advisor Representative
- 06/2000 – 01/2016, Verizon Business, Project Manager/Network Engineer

## Kevin Dick

Born: 1996

### **Educational Background**

- 2018 – BS, Finance, Stonehill College

### **Business Experience**

- 06/2025 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 08/2023 – 06/2025, JMP Securities, LLC, Portfolio Manager
- 08/2018 – 06/2025, Citizens Bank, NA, Commercial Banking

## Stephen Harvey

Born: 1993

### **Educational Background**

- 2015 – BA, Political Science, California Baptist University

### **Business Experience**

- 09/2025 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 11/2024 – 08/2025, Lendmire, LLC, Mortgage Loan Originator
- 02/2022 – 11/2024, CX Institutional, Paraplanner
- 04/2021 – 02/2022, STRATA Trust Company, Client Service Associate
- 07/2020 – 04/2021, Home Zone Furniture, Sales Associate

## Thomas Russo, Jr.

Born: 2005

### **Educational Background**

- No formal post high school education

### **Business Experience**

- 10/2025 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 06/2025 – 09/2025, LPL Enterprise, Registered Representative
- 12/2024 – 06/2025, Student
- 04/2024 – 12/2024, Globe Life, Licensed Insurance Agent
- 08/2022 – 04/2024, Student
- 05/2022 – 08/2022, H&H Landing Cleaning, Mechanic's Assistant
- 08/2021 – 05/2022, Student
- 05/2021 – 08/2021, D.F. Owens & Co., Laborer
- 08/2020 – 05/2021, Student

## Brianna Madren

Born: 1992

### **Educational Background**

- 2016 – Bachelor of Science, Financial Counseling and Planning, Purdue University

### **Business Experience**

- 01/2026 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 09/2023 – 11/2025, Invst, LLC, Investment Advisor Representative
- 08/2016 – 09/2023, Edward Jones, Financial Advisor

## Tracy Leonard

Born: 1972

### **Educational Background**

- 2000 – Master of Science, Operations Management, University of Arkansas
- 1999 – Bachelor of Science, Management Information, Park University

## Business Experience

- 01/2026 – Present, Fiduciary Alliance LLC, Investment Advisor Representative
- 10/2025 – 01/2026, Forthright Capital Advisory LLC, Investment Advisor Representative
- 10/2025 – 01/2026, Forthright Capital Partners LLC, Insurance Agent
- 11/2024 – 10/2025, Fiduciary Alliance LLC, Investment Adviser Representative
- 05/2022 – 10/2024, McKellar & Company, Independent Insurance Agent

## Professional Designations, Licensing & Exams

**Chartered Financial Analyst® (CFA®):** The CFA® Program is a graduate-level self-study program that combines a broad-based curriculum of investment principles with professional conduct requirements. It is designed to prepare charterholders for a wide range of investment specialties that apply in every market all over the world. To earn a CFA® charter, applicants study for three exams (Levels I, II, III) using an assigned curriculum. Upon passing all three exams and meeting the professional and ethical requirements, they are awarded a charter.

**CFP® (Certified Financial Planner®):** CFP® certificants must have a minimum of three years' workplace experience in financial planning and develop their theoretical and practical financial planning knowledge by completing a comprehensive course of study approved by CFP® Board. They must pass a comprehensive 2-day, 10-hour CFP® Certification Examination that tests their ability to apply financial planning knowledge in an integrated format. As a final step to certification, CFP® practitioners agree to abide by a strict code of professional conduct.

**CDFA® (Certified Divorce Financial Analyst®):** CDFA® certificants must have three years of professional experience in finance or divorce and a bachelor's degree. They must pass four certification exams (online, proctored, closed book). They are required to take 15 divorce-related hours of continuing education every two years.

**RICP® (Retired Income Certified Professional®):** RICP® Three years' experience in financial planning or a related profession before you can use the RICP® designation. Participation in the annual Professional Recertification Program (PRP) is required to maintain the designation.

**APMA® (Accredited Portfolio Management Advisor®):** APMA® 11 module focusing on program concepts. Online instructor-led graduate course involving direct application of program topics. 16 hours of continuing education every two years is required.

**CEPA (Certified Exit Planning Advisor):** The CEPA designation is awarded by the Exit Planning Institute. The candidate must complete a five-day MBA style program that concludes with a proctored exam. Additionally, candidates must also have five years of full-time or equivalent

experience working directly with business owners as a financial advisor, attorney, CPA, business broker, investment banker, commercial lender, estate planner, insurance professional, business consultant or in a related capacity and hold an undergraduate degree from a qualifying institution. To retain the CEPA designation the designee must obtain 40 hours of Continuing Education (“CE”) every three years and remain in good standing with Exit Planning Institute.

**ChFC® (Chartered Financial Consultant®):** A ChFC® (Chartered Financial Consultant) is a professional designation awarded by The American College of Financial Services to financial professionals who complete a comprehensive program of study in financial planning, demonstrating expertise in areas like retirement, insurance, taxation, and investment management.

#### **CERTIFIED PRIVATE WEALTH ADVISOR® (CPWA®)**

The CPWA designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. Prerequisites for the CPWA designation are: a Bachelor’s degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC®, or CPA license; have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements and five years of experience in financial services or delivering services to high-net-worth clients. CPWA designees have completed a rigorous educational process that includes executive education requirements and successful completion of a comprehensive examination. CPWA designees are required to adhere to the Investments & Wealth Institute Code of Professional Responsibility and Rules and Guidelines for Use of the Marks. CPWA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through the Investments & Wealth Institute.

## Item 3: Disciplinary Information

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We have never been involved in an arbitration claim of any kind or been found liable in a civil, self-regulatory organization, or administrative proceeding.

# Item 4: Other Business Activities

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Anthony Mahfood, Steve Tolleson, Susan Harvell, David Chudyk, Peyton Hoppes, Jordan Roberts, Anna Wolford, Randall Neighbour, Joseph Nelson, Christopher Wilbratte, Robert Moses, Brian Dick, Barry Dick, Jonathan Dick, Ted Erhart, Chris Balcerowiak, Justin Chastain, Edgar McLean, Matthew A. Keefe, James Royals, Jr., William Grasty, Dean St. Marie, Katrina Whitlinger, David Dunn, and Tracy Leonard are licensed to sell life and health insurance and may engage in product sales with our clients, for which they will receive additional compensation. Any commissions received through life or health insurance sales do not offset advisory fees the client may pay for advisory services under The Fiduciary Alliance.

Brian Boughner is the majority owner of Parallel Financial, LLC.

Joseph Nelson and Matthew Myrick are owners of Stewardship Investments, Inc.

Robert Moses is the owner of the Altum Wealth Alliance.

Barry and Brian Dick are owners of Merrimack Financial.

Ted Erhart is the owner of Norris Lake Financial Planning.

Randall Neighbour is the owner of Kingdom Wealth Management.

David Morrow is the owner of Morrow Wealth Advisory Group.

James Royals, Jr. is the partner of Bridgeway Wealth Strategies.

John Coble is the owner of Coble Wealth Management.

David Dunn is the owner of David Dunn Wealth, LLC.

David Chudyk is appointed with Nationwide Insurance Companies and their affiliates to sell fixed insurance/annuity products as well as property/casualty insurance. Mr. Chudyk is also the sole owner of The David Chudyk Agency, acting as an insurance agent. Any commissions received through this business do not offset advisory fees the client may pay for advisory services under The Fiduciary Alliance.

Mr. Klein is a commercial pilot for FlexJet, LLC and the owner of Klein Aviation Services, LLC.

Mr. Chudyk also works as a Board member/Secretary at Crime Stoppers of Oconee County.

Mr. Chudyk is the owner of All Of My Assets, LLC, a business valuation and consulting company.

Mr. Wilbratte is also an owner in Quantum Pension Services Management Corp and Quantum Pension Services.

Mr. Wilbratte is a Partner with Osborn Morano Getzen CPAS as well as Echelon Financial Management.

Mr. Wilbratte also does tax preparation work at Echelon Financial.

Mr. Wilbratte is on the board of the Rise School of Austin and a founding member of the Austin Round Table.

John Coble is a Registered Representative with Aurora Securities.

Jordan Roberts is a licensed attorney.

Barry Dick and Brian Dick are co-owners of Dick Insurance Agency and is involved in Property & Casualty and Life Sales.

Mr. Chastain is an instructor for Dalton Education teaching CFP classes.

Kyle Crawford is a Planning and Zoning Board Member for the City of LaGrange. He also owns and manages real estate.

Dean St. Marie is the owner of St. Marie Properties, LLC.

Daniel Phillips is cofounder and 10% owner of Bloxx, LLC, an electronic privacy protection company. He also owns rental homes.

Mr. Parail is licensed to and may sell insurance products in the state of Washington.

Mr. Dunn is the owner of Norton Lakes, LLC.

Mr. Leonard is licensed to and may sell insurance products in the state of Arkansas.

## Item 5: Additional Compensation

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We do not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through The Fiduciary Alliance LLC.

## Item 6: Supervision

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Susan Harvell, Chief Compliance Officer of The Fiduciary Alliance LLC, is responsible for supervision. She may be contacted at 864-385-7999.