

Brochure Supplements

September 4, 2015

Savant Capital, LLC dba Savant Capital Management

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This brochure supplement provides information about the qualifications and business practices of Savant Capital, LLC dba Savant Capital Management investment managers and investment advisors that supplements the Savant brochure. You should have received a copy of that brochure. If you did not receive a Savant brochure, or if you have any questions about the contents of this supplement, please contact us at info@savantcapital.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Savant Capital, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

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Founders

Thomas A. Muldowney, CLU[®], ChFC[®], CFP[®], CRC[®], CMP[®], AIF[®]

Thomas A. Muldowney (b. 1952) is Chairman of the Board (COB), a Principal and a financial advisor of Savant Capital, LLC. SCMI, Inc. (formerly known as Savant Capital Management, Inc.) is the owner of Savant Capital, LLC. He has been involved in the banking, investment, insurance and financial services industries since 1983. Tom has taught consumer education courses at Rock Valley and Sauk Valley Community Colleges. He has served as a contributing author for the *"Elder Law Portfolio Series"* published by the Law and Business Division of Wolters and Kluwer through Aspen Publishers. Tom's topics include "Financial Planning for the Elderly" and "Postmortem Estate Planning."

Tom earned a Bachelor of Arts degree from Rockford College and a Masters in Financial Services (MSFS) from the American College. He is a Chartered Life Underwriter[®] (CLU[®]), Chartered Financial Consultant[®] (ChFC[®]), Certified Retirement Counselor[®] (CRC[®]), CERTIFIED FINANCIAL PLANNER[™] professional, Certified Medical Planner[™] (CMP[®]), and an Accredited Investment Fiduciary[®] (AIF[®]).

Tom is and has been an active member of many professional organizations including: National Association of Personal Financial Advisors (NAPFA), the Financial Planning Association (FPA), and the Society of Financial Service Professionals (FSP). From 2004-2008, Tom represented Savant on Medical Economics magazine's list of "Top 150 Best Financial Advisers for Doctors." He is a former member of the TD Ameritrade Advisory Panel and is a member of the Association of Fundraising Professionals. The local, national, and industry media frequently seek out and quote him.

Tom is a chair of the Finance Committee and board member for the St. Anthony Medical Center Foundation, chair of the Investment Committee and treasurer of the Boylan Education Foundation Board of Directors, and is the vice-chairman on the Board of Trustees for Rockford College. Tom is a former board member of the Discovery Center Museum.

A lifelong Catholic, Tom is a member of Equestrian Order of the Holy Sepulchre of Jerusalem, and has been awarded the Order of St. Gregory by the Secretary of State of Vatican City through the aegis of His Excellency, Bishop Thomas G. Doran. In 2010, Tom was honored with the "Spirit of Caring" award by Crusader Community Health. Tom serves as a mentor to Savant's financial advisors.

Educational Background

M.S.F.S., Financial Services American College, Bryn Mawr, PA	1985
B.A., Rockford College, Rockford, IL	1974

Professional Designations and Licenses

Accredited Investment Fiduciary® (AIF®)	2007
Certified Medical Planner (CMP®)	2004
Certified Retirement Counselor (CRC®)	2004
CERTIFIED FINANCIAL PLANNER™ professional	1987
Chartered Financial Consultant® (ChFC®)	1982
Chartered Life Underwriter (CLU®)	1978

Business Background

Financial Advisor, Savant Capital, LLC	01/2012–Present
Financial Advisor, Savant Capital Management, Inc.	01/1986–01/2012
Registered Investment Advisor	05/1984–12/1992
Sales Agent, Massachusetts Mutual Life Ins. Co.	08/1974–01/1986
Registered Representative, MML Investors Service, Inc.	01/1983–01/1986
Special Financial Services Agent, American National Bank & Trust Co.	01/1983–01/1986

Disciplinary Information

Mr. Muldowney does not have any disciplinary action to report. Public information concerning Mr. Muldowney's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

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

Additional Compensation

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

Glenn G. Kautt, CFP[®], EA, AIFA[®]

Glenn Kautt (b. 1948) is Vice Chairman of the Board, Chief Governance Officer, a Principal, and a financial advisor for Savant. Engaged in financial planning and consulting since 1981, Glenn Kautt received his MBA from Harvard Business School and is a President's Distinguished Scholar graduate of Purdue University.

He is a member of the Financial Planning Association (FPA), the National Association of Enrolled Agents, is a Graduate Fellow of the National Tax Practice Institute and an Accredited Investment Fiduciary Analyst[™]. He currently serves on the Charles Schwab Advisor Services Advisory Board. He is a former Chairman of the Financial Planning Association of the National Capital Area. He was a member of the Board of Trustees of the Foundation for Financial Planning for six years and chaired the Investment Committee for three years.

Glenn has been named repeatedly by *Barron's*, *Worth*, *Mutual Funds*, and *Medical Economics* magazines as one of the nation's top investment advisors. *Washingtonian* magazine recently again named Glenn to their list of top financial professionals in the greater Washington, D.C. metro area. J.K. Lasser's *New Rules for Estate and Tax Planning* continues to note Glenn on their "Top Professional Advisor" list.

Glenn is a recognized author, speaker, and expert in advanced financial planning techniques and business organization and development. He is a regular columnist for the industry's leading publication, *Financial Planning* magazine. A former member of the Editorial Advisory Board for the *Journal of Financial Planning*, he has four professional contributions published in the Journal. He authored the book *Stochastic Modeling: The New Way to Predict Your Financial Future*, a chapter in *The Invincibility Shield for Investors* with other leading financial planners, and contributed to *Secrets of the Wealth Makers* by Michael Lane.

Glenn has appeared on national television including PBS, CNBC, CNN, Fox News and Bloomberg, and is regularly quoted in financial industry publications, *USA Today*, *Newsweek*, the *Wall Street Journal*, and other publications. Presenting to audiences for over 40 years, he continues to speak on advanced financial planning and wealth management topics to professionals across the country.

Glenn's prior professional experience includes being president of a nationally recognized wealth management firm, a principal in two other wealth management firms, and service as a U. S Naval Officer.

Educational Background

M.B.A., Harvard Business School, Cambridge, MA	1979
B.S. Purdue University, West Lafayette, IN	1973

Professional Designations and Licenses

Accredited Investment Fiduciary Analyst™ (AIFA®)	2008
Enrolled Agent (EA)	1996
CERTIFIED FINANCIAL PLANNER™ professional	1987

Business Background

Financial Advisor, Savant Capital, LLC	06/2012–Present
President, Chief Compliance Officer, The Monitor Group, Inc.	05/1999–06/2012
President, Chief Compliance Officer, TMG Investment Advisory Company	09/2004–06/2012
Managing Member, Chief Compliance Officer, The Monitor Group, LLC	03/2008–06/2012
President, Aviation Associates, Inc.	03/2004–Present
President, Kautt Financial Services, Inc.	02/1992–04/1999

Disciplinary Information

Mr. Kautt does not have any disciplinary action to report. Public information concerning Mr. Kautt's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Kautt is the owner of The Monitor Group, LLC, which is an owner of Savant Capital, LLC.

Additional Compensation

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

Investment Committee

Brent R. Brodeski, CPA, CFP[®], CFA[®], AIFA[®]

Brent R. Brodeski (b. 1967) is Chief Executive Officer (CEO), a Principal and a financial advisor of Savant Capital, LLC. SCMI, Inc. (formerly known as Savant Capital Management, Inc.) is the owner of Savant Capital, LLC. He has been involved in the financial services industry since 1988. He has previously taught investment and finance courses at Rock Valley College, Rockford College, and Northern Illinois University.

Brent earned a Bachelor of Science degree in finance and economics and an MBA, with an emphasis in accounting, from Northern Illinois University. He is a Certified Public Accountant (CPA), CERTIFIED FINANCIAL PLANNER[™] professional, Chartered Financial Analyst (CFA), and an Accredited Investment Fiduciary Analyst[®] (AIFA[®]).

Brent was formerly the president of the Illinois CPA Society and a board member of the Northern Illinois Estate Planning Council. He is a co-founder and the past president of Zero Alpha Group (ZAG), an industry association, and was an officer of Stateline Angels, an angel investment group. He was also a long-term participant in Vistage (previously known as TEC), and The Strategic Coach[™]. He is currently a member and board member of Young President's Organization (YPO) and serves on the boards of several community organizations and the Northern Illinois University Foundation.

Brent received the Distinguished Finance Alumnus Award from Northern Illinois University. He represented Savant for the seventh year on *Barron's* list of the "Top 100 Independent Financial Advisors" in the country. From 1997 until the survey ended in 2008, Brent represented Savant on *Robb Report Worth* magazine's "The Nation's 100 Most Exclusive Wealth Advisors" list. He was named by *Chicago* magazine as the #1 independent financial advisor in the Chicagoland area in 2009 and as one of the nation's top professional advisors in *J.K. Lasser's*. In 2011, Brent was ranked the 10th "Most Experienced Financial Advisor" in the nation by Bloomberg *BusinessWeek*. Brent is regularly featured in the *Wall Street Journal* and is often quoted by local, national, and industry media.

Educational Background

M.B.A., Finance & Accounting emphasis	
Northern Illinois University, DeKalb, IL	1991
B.S., Finance; minor in Economics	
Northern Illinois University, DeKalb, IL	1988
Leading Professional Services Firm's Seminar	2011
Harvard Business School/YPO President's Seminars	
Harvard Business School, Boston, MA	2010, 2012, 2013

Professional Designations and Licenses

Accredited Investment Fiduciary Analyst™ (AIFA®)	2007
Chartered Financial Analyst® (CFA®)	1993
Certified Public Accountant (CPA)	1992
CERTIFIED FINANCIAL PLANNER™ professional	1992

Business Background

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

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.

Other Business Activities

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

Mr. Brodeski serves as an officer of the Zero Alpha Group, LLC ("ZAG"). ZAG members share a common investment philosophy based on the principles of *Modern Portfolio Theory*, which emphasizes passive investment strategy. ZAG members are geographically diverse and meet periodically to share investment information, strategic and marketing plans, and research related to passive investment management.

Additional Compensation

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

Richard A. Bennett, AIF[®], CFP[®]

Richard A. Bennett (b. 1963) is Chief Wealth Management Officer, a Principal and a financial advisor of Savant Capital, LLC. SCMI, Inc. (formerly known as Savant Capital Management, Inc.) is the owner of Savant Capital, LLC. He began his career as a trust officer and financial advisor in 1985.

Prior to joining Savant, Dick was the Regional Director of Trust and Senior Vice President for Mercantile Bank, where he was responsible for supervising client investment portfolios and managing a \$350 million trust department.

Dick earned a Bachelor of Science degree in business administration from Eastern Illinois University. He is a CERTIFIED FINANCIAL PLANNER[™] professional and an Accredited Investment Fiduciary[®] (AIF[®]). He is also a graduate of the ABA National Trust School, the ABA National Graduate Trust School, and the Freeport Leadership Institute.

Dick serves on the board of the Forrestville Valley School Foundation, the YMCA of Rock River Valley and is a past board member of the Rockford Memorial Development Foundation and Heart of Memorial Trust. He served as a past president and a founding board member of the Freeport Public Library Foundation.

Educational Background

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

Professional Designations and Licenses

Accredited Investment Fiduciary [®] (AIF [®])	2007
CERTIFIED FINANCIAL PLANNER [™] professional	2004

Business Background

Chief Wealth Management Officer, Savant Capital, LLC	03/2015-Present
Chief Administrative Officer, Savant Capital, LLC	07/2014-02/2015
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	05/1985-9/1988

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.

Other Business Activities

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

Additional Compensation

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

Adam W. Larson, CFA®

Adam W. Larson (b. 1978) is the Chief Operating Officer of Savant Capital, LLC. He has been involved in the financial services and financial analyst industries since 2001. He is responsible for overseeing Savant's day-to-day operations that are critical to helping Savant fulfill its mission to serve clients. This includes oversight of Trading, the Data Team, Compliance, and Facilities. He is a member of the Investment Committee and has authored various articles, papers, and commentaries that appear in Savant's newsletters and website.

Prior to joining Savant, Adam gained experience in finance and accounting working as a financial analyst for several local manufacturing companies. Adam earned a Bachelor of Science degree in finance with an emphasis in investments from Northern Illinois University. He is also a Chartered Financial Analyst® (CFA).

Educational Background

B.S., Finance, emphasis in Investments, Northern Illinois University, Dekalb, IL	2000
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Professional Designations and Licenses

Chartered Financial Analyst® (CFA®)	2005
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Business Background

Chief Operating Officer, Savant Capital, LLC	03/2015-Present
Manager of Investment Research, Savant Capital, LLC	03/2012–03/2015
Investment Research Team Lead, Savant Capital, LLC	01/2012–03/2012
Senior Investment Research Analyst, Savant Capital Management, Inc.	10/2007–01/2012
Financial Analyst, Greenlee Textron	04/2007-10/2007
Financial Analyst, Kerry Ingredients	12/2005-04/2007
Financial Analyst, Hamilton Sundstrand	06/2001-12/2005

Disciplinary Information

Mr. Larson does not have any disciplinary action to report. Public information concerning Mr. Larson's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Larson does not have any other business activities.

Additional Compensation

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

Gina M. Beall, CIMA®

Gina M. Beall (b. 1969) is a Lead Investment Research Analyst and a member of the Investment Research Team. She has been involved in the financial services industry since 1989. She is responsible for contributing to the management of Savant's investment strategy, conducting portfolio analysis and managing investment processes for Savant's clients. She is a member of the Investment Committee and has authored various articles, papers, and commentary that appear in Savant's newsletters and website.

Prior to joining Savant, she spent a number of years with a local trust and investment group where she served as a vice president, specializing in investment strategy research and advising high net worth individuals and institutional clients. She also worked as an institutional investment consultant, focused on providing investment manager research and asset allocation advice to pension plans, endowments, and foundations.

Gina earned a bachelor degree in business administration with an emphasis in finance from the University of San Diego and an MBA from DePaul University. She is also a Certified Investment Management AnalystSM (CIMA®).

Educational Background

M.B.A., DePaul University, Chicago, IL	1998
B.B.A. Finance, University of San Diego, San Diego, CA	1991

Professional Designations and Licenses

Certified Investment Management Analyst SM (CIMA®)	2011
NASAA Series 65	2009

Business Background

Lead Investment Research Analyst, Savant Capital, LLC	01/2013–Present
Senior Investment Research Analyst, Savant Capital, LLC	01/2012–01/2013
Senior 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
Customer Service, Bank of America

07/1991-02/1992
07/1989-07/1991

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.

Other Business Activities

Ms. Beall does not have any other business activities.

Additional Compensation

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

Kevin M. Hrdlicka, CFP[®], CFA[®]

Kevin M. Hrdlicka (b. 1986) is the Manager of Investment Services and a member of the Investment Committee. He is responsible for the investment research and trading functions which include portfolio management, contributing to Savant's investment strategy, and managing investment processes for clients. Kevin oversees the content that appears in Savant's newsletters and website. He previously worked as an investment research analyst and provided investment research, performance tracking, and portfolio analysis. Prior to that role, Kevin worked as an assistant trader for Savant and led a variety of portfolio management tasks.

Kevin earned a bachelor of science degree in business administration with an emphasis in finance and a minor in economics from Truman State University. He is a CERTIFIED FINANCIAL PLANNER[™] (CFP[®]) professional and has attained his Chartered Financial Analyst[®] (CFA[®]) designation.

Educational Background

B.S., Business Administration, emphasis in Finance, minor in Economics, Truman State University, Kirksville, MO	2008
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Professional Designations and Licenses

Chartered Financial Analyst [®] (CFA [®])	2012
CERTIFIED FINANCIAL PLANNER [™] professional	2012

Business Background

Manager of Investment Services, Savant Capital, LLC	03/2015-Present
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

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.

Other Business Activities

Mr. Hrdlicka does not have any other business activities.

Additional Compensation

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

Investment Advisor Representatives

Allison A. Alexander, CPA, CDFATM, CVA

Allison Alexander (b. 1963) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Accounting, Indiana University, Kelley School of Business Bloomington, IN	1985
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Professional Designations and Licenses

NASAA Series 65	2015
Certified Valuation Analyst	2008
Certified Divorce Financial Analyst [®] (CDFA TM)	2007
Certified Public Accountant (CPA)	1986

Business Background

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

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.

Other Business Activities

Ms. Alexander does not have any other business activities.

Additional Compensation

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

Matthew D. Armstrong, CFP[®], CRPS[®]

Matthew Armstrong (b. 1980) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Business Administration, emphasis Marketing, Augsburg College, Minneapolis, MN	2002
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2014
CERTIFIED FINANCIAL PLANNER [™] professional	2012
NASAA Series 65	2011

Business Background

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

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.

Other Business Activities

Mr. Armstrong does not have any other business activities.

Additional Compensation

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

David F. Barton, CLU[®], ChFC[®]

David F. Barton (b. 1954) is Director of Advisory and Business Development with Savant Capital, LLC.

Educational Background

B.S., Business Administration, University of Mary, Bismarck, ND	1976
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Professional Designations and Licenses

Board Certified in Estate Planning, Institute of Business and Finance	2008
Life, Health, Variable Contracts Insurance License, IL	2002
Chartered Financial Consultant [®] (ChFC [®])	1989
Chartered Life Underwriter (CLU [®])	1985

Business Background

Director of Advisory and Business Development, Savant Capital, LLC	01/2012–Present
Director of Advisory and Business Development, Savant Capital Management, Inc.	03/2011–01/2012
Divisional Sales Manager, Second Vice President Protective Life Insurance Company	03/2006-03/2011
Partner, Producers Financial Group Midwest	09/2002-03/2006
Vice President Life and Annuity Division Bankers Mutual Life Insurance Co.	08/1990-09/2002

Disciplinary Information

Mr. Barton does not have any disciplinary action to report. Public information concerning Mr. Barton's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Barton does not have any other business activities.

Additional Compensation

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

Tracy S. Beard, CFP[®], AIF[®]

Tracy S. Beard (b. 1973) is a Financial Advisor with Savant Capital, LLC.

Educational Background

M.S.F.S., Financial Services	
American College, Bryn Mawr, PA	2012
B.S., summa cum laude, Economics/Finance	
Rockford College, Rockford, IL	1997

Professional Designations and Licenses

Accredited Investment Fiduciary [®] (AIF [®])	2011
CERTIFIED FINANCIAL PLANNER [™] professional	2002

Business Background

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

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.

Other Business Activities

Mr. Beard does not have any other business activities.

Additional Compensation

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

Richard P. Bender, LUTCF, ChFC[®], CLU[®], CRPS[®], CFP[®]

Richard P. Bender (b. 1968) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S. Physical Education Sports Management, Minor in Business Administration, University of Wisconsin, La Crosse WI	1990
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER [™] professional	2015
Certified Retirement Plan Specialist SM (CRPS [®])	2013
NASAA Series 65	2013
Chartered Financial Consultant [®] (ChFC [®])	2011
Chartered Life Underwriter (CLU [®])	2001
Life Underwriter Training Council Fellow (LUTCF)	1994

Business Background

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 – 1/2006

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.

Other Business Activities

Mr. Bender does not have any other business activities.

Additional Compensation

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

Wendy M. Blair, CFP[®], ChFC[®], AIF[®]

Wendy M. Blair (b. 1959) is a Financial Advisor with Savant Capital, LLC.

Educational Background

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

Professional Designations and Licenses

Accredited Investment Fiduciary [®] (AIF [®])	2012
Chartered Financial Consultant [®] (ChFC [®])	2010
CERTIFIED FINANCIAL PLANNER [™] professional	2008
NASAA Series 65	2007

Business Background

Financial Advisor, Savant Capital, LLC	01/2012–Present
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

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.

Other Business Activities

Ms. Blair does not have any other business activities.

Additional Compensation

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

U. Calvin Brown, Jr., CFP®

U. Calvin Brown, Jr., (b. 1953) is a Financial Advisor and Market Manager with Savant Capital, LLC.

Educational Background

M.S.T., Taxation, American University, Washington, DC	2007
B.S., Business Administration, University of Arkansas Fayetteville, AR	1975

Professional Designations and Licenses

NASAA Series 65	1998
CERTIFIED FINANCIAL PLANNER™ professional	1990

Business Background

Financial Advisor and Market Manager, Savant Capital, LLC	06/2012–Present
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

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.

Other Business Activities

Mr. Brown does not have any other business activities.

Additional Compensation

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

Kim S. Cady, PPC™

Kim S. Cady (b. 1962) is the Manager of Savant Institutional with Savant Capital, LLC

Educational Background

Attended Rock Valley College	2003 - 2004
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Professional Designations and Licenses

Professional Plan Consultant (PPC™)	2008
NASAA Series 65	2008

Business Background

Manager of Savant Institutional, Savant Capital, LLC	06/2012–Present
Retirement Plan Administrator, Savant Capital, LLC	01/2012–06/2012
Retirement Plan Administrator, Savant Capital Management, Inc.	07/2007–12/2011
Director of Retirement Plan Services, RSM McGladrey	10/2001–04/2007
Retirement Plan Coordinator, Bank One NA	09/1984–05/2001

Disciplinary Information

Ms. Cady does not have any disciplinary action to report. Public information concerning Ms. Cady's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Ms. Cady does not have any other business activities.

Additional Compensation

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

Derek A. Carter, CFP®

Derek A. Carter (b. 1973) is a Senior Investment Research Analyst with Savant Capital, LLC.

Educational Background

M.B.A., Edgewood College, Madison, WI	2002
B.S., Political Science, University of Wisconsin, Madison, WI	1995

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2012
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Business Background

Senior Investment Research Analyst/Portfolio Integration Manager, Savant Capital, LLC	03/2015–Present
Senior 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

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.

Other Business Activities

Mr. Carter does not have any other business activities.

Additional Compensation

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

Brian P. Conroy, CFP[®], AIF[®], CRPS[®]

Brian P. Conroy (b. 1970) is a Financial Advisor and Market Manager with Savant Capital, LLC.

Educational Background

Certificate in Financial Planning, DePaul University, Chicago, IL	2001
B.A., Marketing, North Central College, Naperville, IL	1992

Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2011
Accredited Investment Fiduciary [®] (AIF [®])	2011
CERTIFIED FINANCIAL PLANNER [™] professional	2001

Business Background

Financial Advisor and Market Manager, Savant Capital, LLC	03/2014–Present
Financial Advisor, Savant Capital, LLC	01/2012–03/2014
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

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.

Other Business Activities

Mr. Conroy does not have any other business activities.

Additional Compensation

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

Stephen D. Cummings, Jr.

Stephen D. Cummings, Jr. (b. 1967) is a Financial Advisor with Savant Capital, LLC.

Educational Background

University of Arizona	attended from 1985 to 1990
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Professional Designations and Licenses

NASAA Series 65	2007
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Business Background

Financial Advisor, Savant Capital, LLC	05/2015–Present
Investment Adviser Representative, Orion Capital Management, Inc.	03/2007–06/2015
Commodities Trader, Self Employed	07/1993–11/2006

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.

Other Business Activities

Mr. Cummings does not have any other business activities.

Additional Compensation

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

Michael T. Cyrs, JD, CFP®

Michael T. Cyrs (b. 1969) is an Estate and Wealth Transfer Advisor with Savant Capital, LLC.

Educational Background

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

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2000
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Business Background

Estate and Wealth Transfer Advisor, Savant Capital, LLC	11/2014–Present
Attorney, Williams, McCarthy, LLP	09/1997–10/2014
Attorney, Hinshaw and Culbertson Law Firm	06/1994–08/1997

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.

Other Business Activities

Mr. Cyrs does not have any other business activities.

Additional Compensation

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

Daryl R. Dagit, CFP[®], CRPS[®]

Daryl R. Dagit (b. 1963) is a Financial Advisor and Market Manager with Savant Capital, LLC.

Educational Background

B.S., Finance, Illinois State University, Normal, IL	1986
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2014
CERTIFIED FINANCIAL PLANNER [™] professional	2012
Variable Contract Insurance License, IL	2007
Accident/Health, Fire, Casualty, Life Insurance License, IL	1987

Business Background

Financial Advisor and Market Manager, Savant Capital, LLC	03/2014–Present
Financial Advisor, Savant Capital, LLC	01/2012–03/2014
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

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.

Other Business Activities

Mr. Dagit does not have any other business activities.

Additional Compensation

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

Gregory S. De Jong, CLU[®], ChFC[®], CFP[®], CRPS[®]

Gregory S. De Jong (b. 1959) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., English, Calvin College, Grand Rapids, MI	1981
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2013
NASAA Series 65	1994
CERTIFIED FINANCIAL PLANNER TM professional	1992
Chartered Financial Consultant [®] (ChFC [®])	1990
Chartered Life Underwriter (CLU [®])	1987

Business Background

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

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.

Other Business Activities

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

Additional Compensation

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

Scott F. Demler, CFP[®], CRPS[®]

Scott F. Demler (b. 1967) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Marketing, Northern Illinois University, DeKalb, IL	2005
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2015
CERTIFIED FINANCIAL PLANNER TM professional	2013

Business Background

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

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.

Other Business Activities

Mr. Demler does not have any other business activities.

Additional Compensation

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

Michael R. Denten

Michael R. Denten (b. 1955) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Business Administration/Economics, University of Tulsa, Tulsa, OK 1978

Professional Designations and Licenses

NASAA Series 65 1997

Business Background

Financial Advisor, Savant Capital, LLC	05/2015–Present
Director of Research and Investment Adviser Representative, Orion Capital Management, Inc.	01/1996–06/2015
Commodity Broker/Trader, Self Employed	06/1995–10/1995
Commodity Broker/Trader, Michael R. Denten, LTD.	01/1980–06/1995

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.

Other Business Activities

Mr. Denten does not have any other business activities.

Additional Compensation

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

Gabriel Gonzalez, CRPC[®], CFP[®]

Gabriel Gonzalez (b. 1977) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Finance, University of Phoenix, Phoenix, AZ	2008
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER [™] professional	2012
Chartered Retirement Planning Counselor [™] (CRPC [®])	2010

Business Background

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

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.

Other Business Activities

Mr. Gonzalez does not have any other business activities.

Additional Compensation

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

Theresa A. Harezlak, CFP®

Theresa A. Harezlak (b. 1966) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Business Administration, University of Iowa, Iowa City, IA	1988
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	1995
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Business Background

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

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.

Other Business Activities

Ms. Harezlak does not have any other business activities.

Additional Compensation

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

Tawn M. Jacobs, CPA/PFS, CFP®

Tawn M. Jacobs (b. 1962) is the Manager of Financial Planning and Tax Services with Savant Capital, LLC.

Educational Background

M.S.T., DePaul University, Chicago, IL	1992
B.S. Accounting, Northern Illinois University, Dekalb, IL	1989

Professional Designations and Licenses

Personal Financial Specialist (PFS)	2011
CERTIFIED FINANCIAL PLANNER™ professional	2000
Certified Public Accountant (CPA)	1989

Business Background

Manager of Financial Planning and Tax Services, Savant Capital, LLC	01/2013–Present
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

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.

Other Business Activities

Ms. Jacobs does not have any other business activities.

Additional Compensation

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

Scott W. Kaiser, CFP[®], AIF[®], CRPS[®]

Scott W. Kaiser (b. 1963) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S. Business Administration, emphasis Finance, Rockford College, Rockford, IL	1986
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2014
Accredited Investment Fiduciary (AIF [®])	2012
CERTIFIED FINANCIAL PLANNER [™] professional	2011
NASAA Series 65	2010

Business Background

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

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.

Other Business Activities

Mr. Kaiser does not have any other business activities.

Additional Compensation

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

Brian J. Knabe, MD, CMP[®], CFP[®]

Brian J. Knabe (b. 1967) is a Financial Advisor with Savant Capital, LLC.

Educational Background

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

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER [™] professional	2010
Certified Medical Planner (CMP [®])	2010
NASAA Series 65	2008

Business Background

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–Present
Medical Director, Swedish American Cardiopulmonary Rehabilitation Program	2000–2001
Family Physician, Swedish American Health System	09/1996–01/2008

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.

Other Business Activities

Dr. Knabe works as a family physician and part-time faculty member for the residency program at the University of Illinois, College of Medicine, Rockford, IL. He also works as an emergency room doctor for various hospitals.

Additional Compensation

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

Jessica L. Knudsen, CFP[®], CSR[®]

Jessica L. Knudsen (b. 1979) is a Senior Financial Planner with Savant Capital, LLC.

Educational Background

B.S., Economics, emphasis in Finance, Rockford College, Rockford, IL 2001

Professional Designations and Licenses

Certified Specialist in Retirement PlanningSM (CSR[®]) 2009

CERTIFIED FINANCIAL PLANNER[™] professional 2006

Business Background

Financial Planner, Savant Capital, LLC 01/2012–Present

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

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.

Other Business Activities

Ms. Knudsen does not have any other business activities.

Additional Compensation

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

Gerard S. Korabik, AIFA[®], CFP[®], CRPS[®]

Gerard S. Korabik (b. 1968) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Finance, University of Illinois, Champaign, IL	1991
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2011
Accredited Investment Fiduciary Analyst [®] (AIFA [®])	2007
CERTIFIED FINANCIAL PLANNER TM professional	1997

Business Background

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

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.

Other Business Activities

Mr. Korabik does not have any other business activities.

Additional Compensation

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

Jeffrey D. Kreps

J. Derek Kreps (b. 1990) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Business Administration, Monmouth College, Monmouth, IL	2012
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Professional Designations and Licenses

NASAA Series 65	2015
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Business Background

Financial Advisor, Savant Capital, LLC	02/2015–Present
Stockbroker/Investment Consultant, Scottrade	12/2012-01/2015
Registered Representative, Charles Schwab	06/2012-12/2012
Investor Services Intern, TD Ameritrade	06/2011-08/2011

Disciplinary Information

Mr. Kreps does not have any disciplinary action to report. Public information concerning Mr. Kreps's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Kreps does not have any other business activities.

Additional Compensation

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

James W. Kyle

James W. Kyle. (b. 1948) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Economics, Wake Forest University, Winston-Salem, NC	1970
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Professional Designations and Licenses

NASAA Series 65	1997
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Business Background

Financial Advisor, Savant Capital, LLC	05/2015–Present
President, Chief Compliance Officer and Investment Adviser Representative, Orion Capital Management, Inc.	05/1991–06/2015

Disciplinary Information

Mr. Kyle does not have any disciplinary action to report. Public information concerning Mr. Kyle's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Kyle does not have any other business activities.

Additional Compensation

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

Scott K. Laue, JD, CFP®

Scott K. Laue (b. 1960) is a Financial Advisor with Savant Capital, LLC.

Educational Background

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

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2010
NASAA Series 65	2008

Business Background

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

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.

Other Business Activities

Mr. Laue does not have any other business activities.

Additional Compensation

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

Shayna A. Lebowitz, CFP®

Shayna A. Lebowitz, (b. 1977) is a Senior Financial Planner with Savant Capital, LLC.

Educational Background

Executive Certificate in Financial Planning, Georgetown University, Washington, DC	2005
B.S., Business Administration, emphasis Accounting, Boston University, Boston, MA	1999

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2008
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Business Background

Senior Financial Planner, Savant Capital, LLC	06/2012–Present
Planning Associate, The Monitor Group, Inc.	08/2008-06/2012
Financial Advisor, Raymond James Financial Services, Inc.	04/2007-08/2008
Non-Registered Client Services Manager, Raymond James Financial Services, Inc.	11/2004-04/2007
Revenue Analyst, Discovery Communications	04/2004-11/2004
Contract Worker at Discovery Communications, Adecco	11/2003-04/2004
Mutual Fund Accountant, State Street Corp.	07/1999-07/2003

Disciplinary Information

Ms. Lebowitz does not have any disciplinary action to report. Public information concerning Ms. Lebowitz's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Ms. Lebowitz does not have any other business activities.

Additional Compensation

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

Brent A. Lindell, CTFA, CFP[®], AIF[®], CRPS[®]

Brent A. Lindell (b. 1967) is a Financial Advisor and Market Manager with Savant Capital, LLC.

Educational Background

Cannon Trust School, University of Notre Dame, Notre Dame, IN	2000
B.A., Economics, University of Iowa, Iowa City, IA	1990

Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2014
Accredited Investment Fiduciary (AIF [®])	2011
CERTIFIED FINANCIAL PLANNER [™] professional	2010
NASAA Series 65	2007
Certified Trust & Financial Advisor (CTFA)	2000

Business Background

Financial Advisor and Market Manager, 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

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.

Other Business Activities

Mr. Lindell does not have any other business activities.

Additional Compensation

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

Paul W. Lindvall, CRPS®

Paul W. Lindvall (b. 1947) is a Financial Advisor with Savant Capital, LLC.

Educational Background

National Employee Benefit Trust School, Northwestern University, Evanston, IL	1996
MEd, Secondary Math Education, University of South Carolina, Columbia, SC	1974
B.A., Math Education, Central College, Pella, IA	1970

Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS®)	2013
NASAA Series 65	2012

Business Background

Financial Advisor, Savant Capital, LLC	08/2012–Present
Client Relationship Manager, Great West Retirement Services	03/2007–07/2012
Trust Officer, US Bank	08/1998-02/2007

Disciplinary Information

Mr. Lindvall does not have any disciplinary action to report. Public information concerning Mr. Lindvall's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Lindvall does not have any other business activities.

Additional Compensation

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

Jakob C. Loescher, CRPC[®], CFP[®], ChFC[®], AIF[®], CRPS[®]

Jakob C. Loescher, (b. 1986) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Finance, minor History, Northern Illinois University, DeKalb, IL	2008
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Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2013
Accredited Investment Fiduciary (AIF [®])	2012
Chartered Financial Consultant [®] (ChFC [®])	2011
CERTIFIED FINANCIAL PLANNER [™] professional	2010
Chartered Retirement Planning Counselor [™] (CRPC [®])	2010
NASAA Series 65	2009

Business Background

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

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.

Other Business Activities

Mr. Loescher does not have any other business activities.

Additional Compensation

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

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

David H. McCormick-Goodhart, (b. 1981) is a Financial Advisor with Savant Capital, LLC.

Educational Background

M.B.A., Finance, Mount St. Mary's University, Emmitsburg, MD	2008
B.S., Accounting, Mount St. Mary's University, Emmitsburg, MD	2005

Professional Designations and Licenses

Personal Financial Specialist (PFS)	2015
CERTIFIED FINANCIAL PLANNER™ professional	2012
Certified Public Accountant (CPA)	2009
NASAA Series 65	2014

Business Background

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

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.

Other Business Activities

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

Additional Compensation

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

Sarah E. McGinniss

Sarah E. McGinniss, (b. 1988) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S., Finance, University of Illinois, Urbana-Champaign, IL	2010
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Professional Designations and Licenses

NASAA Series 65	2015
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Business Background

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

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.

Other Business Activities

Ms. McGinniss does not have any other business activities.

Additional Compensation

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

Ryan G. Monette, CFP[®], ChFC[®]

Ryan G. Monette, (b. 1984) is a Financial Advisor/Assigned Planner with Savant Capital, LLC.

Educational Background

B.S., Finance, minor Economics, Northern Illinois University, DeKalb, IL 2007

Professional Designations and Licenses

Chartered Financial Consultant[®] (ChFC[®]) 2013

CERTIFIED FINANCIAL PLANNER[™] professional 2011

Business Background

Financial Advisor/Assigned Planner, Savant Capital, LLC. 07/2014–Present

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

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.

Other Business Activities

Mr. Monette does not have any other business activities.

Additional Compensation

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

Wendy M. Moyers, CFP®

Wendy M. Moyers (b. 1972) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S. Business Administration, Colorado State University, Fort Collins, CO 1995

Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2008
NASAA Series 65	1999

Business Background

Financial Advisor, Savant Capital, LLC	05/2012–Present
Portfolio Manager, FBB Capital Partners	07/2012–04/2015
Financial Advisor, The Family Firm, Inc.	07/2007–06/2012
Investment Consultant, Charles Schwab & Co., Inc.	07/1995–07/2007

Disciplinary Information

Ms. Moyers does not have any disciplinary action to report. Public information concerning Ms. Moyers's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Ms. Moyers does not have any other business activities.

Additional Compensation

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

Grant W. Moore, CFP[®], CRPC[®], AIF[®], CRPS[®]

Grant W. Moore (b. 1984) is a Financial Advisor with Savant Capital, LLC.

Educational Background

M.B.A., Marquette University, Milwaukee, WI	2010
B.S. Business Administration, Marquette University, Milwaukee, WI	2006

Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2013
Accredited Investment Fiduciary (AIF [®])	2012
CERTIFIED FINANCIAL PLANNER [™] professional	2008
Chartered Retirement Planning Counselor (CRPC [®])	2008

Business Background

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

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.

Other Business Activities

Mr. Moore does not have any other business activities.

Additional Compensation

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

Dominick J. Parillo, CFP®

Dominick J. Parillo (b. 1989) is a Financial Planner with Savant Capital, LLC.

Educational Background

B.S. Finance, Northern Illinois University, Dekalb, IL	2011
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2014
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Business Background

Financial Planner, Savant Capital, LLC	03/2013–Present
Paraplanner, Savant Capital Management, Inc.	01/2012–02/2013
Paraplanner, Savant Capital Management, Inc.	07/2011–02/2013

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.

Other Business Activities

Mr. Parillo does not have any other business activities.

Additional Compensation

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

Kevin J. Phillips

Kevin J. Phillips (b. 1982) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.S. in Public Affairs, emphasis Public Financial Management, minor
Public Management, Business, Indiana University, Bloomington, IN 2005

Professional Designations and Licenses

NASAA Series 66	2011
NASAA Series 7	2011
Life, Health, Variable Contracts Insurance License, IL	2011

Business Background

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

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.

Other Business Activities

Mr. Phillips does not have any other business activities.

Additional Compensation

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

Thomas J. Ptacin, CFP[®], AIF[®], CRPS[®]

Thomas J. Ptacin (b. 1975) is a Financial Advisor with Savant Capital, LLC.

Educational Background

M.B.A., University of Montana, Missoula, MT	2003
B.S., Business, Finance and Economics	
University of Wisconsin, Eau Claire, WI	1998

Professional Designations and Licenses

Certified Retirement Plan Specialist SM (CRPS [®])	2014
Accredited Investment Fiduciary (AIF [®])	2012
CERTIFIED FINANCIAL PLANNER TM professional	2006

Business Background

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

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.

Other Business Activities

Mr. Ptacin does not have any other business activities.

Additional Compensation

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

Kathryn M. Risch, QPA, QKA, QPFC, CRC®

Kathryn M. Risch, (b. 1964) is a Qualified Retirement Plan Coordinator with Savant Capital, LLC.

Educational Background

B.A., Marketing, University of Wisconsin, Milwaukee, WI	1986
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Professional Designations and Licenses

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

Business Background

Qualified Retirement Plan Coordinator, Savant Capital, LLC	10/2013–Present
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

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.

Other Business Activities

Ms. Risch does not have any other business activities.

Additional Compensation

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

John D. Roegner, RPA[®], AIFA[®]

John D. Roegner, (b. 1968) is a Business Development Manager of Ideal Plan Services with Savant Capital, LLC.

Educational Background

M.B.A., Wake Forest University, Babcock Graduate School of Management, Winston Salem, NC.	2003
St. Peters College European Business Studies Program Oxford University, Oxford, UK	2002
B.A., Biology, North Central College, Naperville, IL	1990

Professional Designations and Licenses

Accredited Investment Fiduciary Analyst [™] (AIFA [®])	2015
NASAA Series 65	2014
Retirement Plans Associate Certification Program (RPA [®])	2010
Life, Health, Variable Contracts Insurance License, NC	2003

Business Background

Business Development Manager of Ideal Plan Services, Savant Capital, LLC	09/2014–Present
Regional Sales Manager, Phenix Research Products	08/2011-07/2014
Registered Representative, Southeast Investments N.C. Inc.	05/2013-04/2014
Advisor, Innovative Financial Planning, LLC	05/2013-04/2014
Investment Advisor, CG Advisory Services, LLC	03/2009-06/2011
Registered Representative, Valmark Securities, Inc.	01/2004-06/2011
Investment Adviser, Valmark Advisers, Inc.	08/2004-06/2011
VP-Director of Business Planning Strategies, Colton, Groome and Company	06/2003-06/2011

Disciplinary Information

Mr. Roegner does not have any disciplinary action to report. Public information concerning Mr. Roegner's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Roegner does not have any other business activities.

Additional Compensation

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

Elizabeth N. Samuelson, CRPC[®], CFP[®]

Libby N. Samuelson, (b. 1979) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Economics, emphasis finance, Rockford College, Rockford, IL	2002
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER [™] professional	2014
Chartered Retirement Planning Counselor (CRPC [®])	2010
NASAA Series 65	2010

Business Background

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

Disciplinary Information

Ms. Samuelson does not have any disciplinary action to report. Public information concerning Ms. Samuelson's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Ms. Samuelson does not have any other business activities.

Additional Compensation

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

Lorene K. Shaw, CPA, CFP[®], CDFA[®]

Lorene (Rene) K. Shaw, (b. 1960) is a Principal of Green, Plagge & Shaw, a wholly owned subsidiary of Savant Capital, LLC.

Educational Background

B.S., Accounting, Northern Illinois University, DeKalb, IL	1981
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Professional Designations and Licenses

Certified Divorce Financial Analyst [®] (CDFA [™])	2010
CERTIFIED FINANCIAL PLANNER [™] professional	2002
Certified Public Accountant (CPA)	1982

Business Background

Principal, Green, Plagge & Shaw, a wholly owned Subsidiary of Savant Capital, LLC	01/2015–Present
Partner, Green, Plagge & Shaw, Ltd.	05/2008–12/2014
Accountant, Green, Plagge & Shaw, Ltd.	09/1999–04/2008

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.

Other Business Activities

Ms. Shaw does not have any other business activities.

Additional Compensation

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

David F. Wirth, CFP®

David F. Wirth, (b. 1967) is a Financial Advisor with Savant Capital, LLC.

Educational Background

B.A., Sociology/Economics, University of South Florida, Tampa, FL	1993
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Professional Designations and Licenses

CERTIFIED FINANCIAL PLANNER™ professional	2002
Health, Life & Annuities, Variable Contracts Insurance License, VA	2000

Business Background

Financial Advisor, Savant Capital, LLC	01/2015–Present
Wealth Management Advisor, TIAA-CREF	07/2010–11/2014
Registered Representative, TIAA-CREF	07/2010–11/2014
Investment Services Representative	
T. Rowe Price Investment Services, Inc.	11/1997-07/2010

Disciplinary Information

Mr. Wirth does not have any disciplinary action to report. Public information concerning Mr. Wirth's registration as an investment adviser representative may be found by accessing the SEC's public disclosure site at www.adviserinfo.sec.gov.

Other Business Activities

Mr. Wirth does not have any other business activities.

Additional Compensation

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

Supervision

Supervision of Savant's Investment Advisory Representatives is performed by David Barton, Director of Advisory and Business Development, who reports to Richard Bennett, Chief Wealth Management Officer of Savant Capital, LLC. Overall compliance supervision is performed by Cindy A. Freese, CPA in her capacity as Chief Compliance Officer of Savant Capital, LLC, through reviews of internal transaction and security holdings reports, electronic and physical correspondence, and other internal reports as mandated by the firm and its regulatory authorities. Mr. Barton, Mr. Bennett, and Ms. Freese can be reached at 815-227-0300.

Appendix A: Professional Designations and Certifications - Qualifications and Related Criteria

Accredited Investment Fiduciary[®] (AIF[®])

Administered by fi360, the Accredited Investment Fiduciary[®] (AIF[®]) professional designation is the industry's first and only designation that 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.

AIF designees have a reputation in the industry as being the best positioned to implement a prudent process into their own investment practices, as well as being able to assist others in implementing proper policies and procedures. For this reason, the AIF was named one of the "Ten Most Wanted" designations in the investment industry in *Financial Planning* magazine.

Curriculum The AIF program is offered in three distinct training formats: candidates may complete a Web-based Program; a Capstone Program (blended learning experience that combines the Web-based Program with a 1-day classroom session); or a Custom Program. The various training formats cater to the needs of the busy professional, yet deliver the same curriculum. Each format concludes with an examination in order to apply for and earn the AIF designation.

Examination Requirements Candidates for the AIF designation will be required to take a 90-minute, closed-book accreditation exam that must be passed with a 75% or better. The examination is administered at the conclusion of training for Capstone participants, and as an online examination for Web-based participants. Please note that a proctor is required for online examinations. At the end of the program, students need to submit a designee application with the first annual payment of the designation fee, and agree to abide by the designation's Code of Ethics in order to earn the AIF designation.

Additional Requirements Once accredited, AIF designees have the following annual obligations:

- Sign and agree to abide by a Code of Ethics
- Complete appropriate continuing education requirements
- Submit a renewal application along with the annual dues

Continuing Education Requirements AIF designees are required to complete six hours of continuing education annually. The continuing education offerings are conveniently provided online via downloadable audio recordings and podcasts. This service is provided as part of the annual dues and requires no additional charge. Two hours may be fulfilled from outside sources.

Accredited Investment Fiduciary Analyst™ (AIFA®)

Administered by fi360, the Accredited Investment Fiduciary Analyst™ (AIFA®) professional designation is the first and only designation that 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.

Prerequisites To become an AIFA, one must have graduated from fi360's AIF training. In addition, there are specific prerequisite work experiences.

Curriculum The AIFA program is offered as a 3-day classroom-based program conducted at several universities and training facilities across the world. The classroom program uses a traditional style of instruction, incorporating and encouraging class participation throughout the program. Team and individual exercises are part of the program structure as well as team presentations of exercise findings and conclusions. All class participation, including group and individual exercises, carry weight in the grading process.

The course focuses on the process of conducting fiduciary assessments. It addresses new audit requirements under the Pension Protection Act of 2006 and enables those who attain the AIFA designation to conduct assessments leading to certifications of adhering to Global Fiduciary Standards of Excellence. Instructors teach participants the four steps that comprise the standard, the practices, and the criteria necessary to fulfill each step, and the assessment techniques to verify conformity to the standard.

The course culminates with an accreditation exam for those wishing to obtain the AIFA designation. The evaluation of your success in the program is based on three main factors: AIFA quiz, the final exam, and participation.

Additional Requirements Once accredited, AIFA designees have the following obligations:

- Sign and agree to abide by a Code of Ethics.
- Complete appropriate continuing education requirements.
- Maintain current contact information in fi360's designee database.
- Remit annual dues.
- **Continuing Education Requirements** AIFA designees are required to complete 10 hours of continuing education annually. The continuing education offerings are conveniently provided online via downloadable audio recordings and podcasts. This

service is provided as part of the annual dues and requires no additional charge. Two hours may be fulfilled from outside sources.

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 fulfill the following requirements:

Education Candidates must develop their theoretical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the IDFA.

Examination Candidates must 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.

Experience Candidates must have a minimum of three years' experience in a financial or legal capacity prior to earning the right to use the CDFA™ certification mark.

Ethics Candidates agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility," which sets forth their ethical responsibilities to the public, clients, employers and other professionals. The IDFA may perform a background check during this process, and each candidate for CDFA certification must disclose any investigations or legal proceedings relating to his or her professional or business conduct.

Individuals who become certified must complete the following ongoing education requirements in order to maintain the right to continue to use the CDFA™ designation:

Continuing Education Minimum of 15 hours of continuing education every two years, that are specifically related to the field of divorce.

Ethics Must voluntarily disclose any public, civil, criminal, or disciplinary actions that may have been taken against them during the past two years as part of the renewal process. If a complaint has been brought against a CDFA by another professional or member of the general public, the CDFA must be examined and cleared by IDFA's Ethics Committee to maintain their designation.

Certified Financial Planner™

Certified Financial Planner Board of Standards Inc. owns the certification marks CFP®, Certified Financial Planner™ and federally registered CFP (with flame design) in the U.S., which it awards to individuals who successfully complete CFP Board's initial and ongoing certification requirements.

The CFP® certification process, administered by CFP Board, identifies that those individuals who have been authorized to use the CFP® certification marks in the U.S. have met rigorous

professional standards and have agreed to adhere to the principles of integrity, objectivity, competence, fairness, confidentiality, professionalism, and diligence when dealing with clients.

CERTIFIED FINANCIAL PLANNER™ certificants must pass the comprehensive CFP® Certification Examination; pass CFP Board's Candidate Fitness Standards; agree to abide by CFP Board's Code of Ethics and Professional Responsibility, which puts clients' interests first; and comply with the Financial Planning Practice Standards, which spell out what clients should be able to reasonably expect from the financial planning engagement. These are just some of the reasons why the CFP® certification is becoming increasingly recognized.

To become certified, candidates are required to meet the following initial certification requirements:

Education Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances.

Experience Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year).

Ethics Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

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

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

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

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

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.

Prerequisites Only individuals who are investment consultants with at least three years of professional experience are eligible to try to obtain this certification, which signifies a high level of consulting expertise. The Investment Management Consultants Association offers the CIMA courses.

Requirements The CIMA certification program requires that candidates meet all eligibility requirements, including experience, education, examination and ethics. There are five steps that must be completed to earn the certification:

1. Submit the CIMA certification program application and fee and undergo a background check.
2. Pass the online qualification examination.
3. Schedule into and complete the education program with a registered education provider over a five-day period.
4. Submit the certification examination application and fee and pass the classroom certification examination.
5. Sign the licensing agreement, submit the initial certification fee, and agree to adhere to IMCA's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks.

Continuing Education Requirements Individuals who hold CIMA designations are required to prove their expertise through continual recertification, which requires CIMA designees to complete at least 40 hours of continuing education every two years.

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.

Contemporaneous new concepts like: Health Insurance Portability and Accountability Act (HIPAA); Occupational and Safety Health Administration (OSHA); human resource management

and employee outsourcing; medical information technology; fixed rate capitation and traditional reimbursement; Medicare, Medigap, Medicaid and private healthcare economics; Activity Based Medical Cost Management (ABMCM); medical practice valuations and appraisals; office sales and contracting; medical unions; medical compliance matters, physician HMO, IPA, MCO and PPO contracting; marketing, advertising, sales and cost volume profit analysis are covered.

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.

Prerequisites Candidates for CRC certification must meet the following eligibility requirements:

- Bachelor's degree (or higher) or its equivalent in any discipline from an accredited college or university and a minimum of two years relevant retirement-related professional experience (within the last five years); or
- High school diploma or its equivalent and five years relevant retirement-related professional experience (within the past seven years); and
- A complete background check.

Examination The CRC certification examination was designed to ensure that all CRC certificants possess the necessary knowledge and skills to competently fulfill their responsibilities as retirement counseling professionals. The four-hour exam consists of 200 multiple-choice questions covering the domains of retirement counseling practice and knowledge.

Additional Requirements Upon passing the examination, candidates must initial the Certificate Holder's Statement indicating adherence to the CRC Code of Ethics.

Continuing Education Requirements To maintain use of the certification, certificants must annually complete 15 hours of approved continuing education and pay an annual renewal fee.

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.

Prerequisites All candidates must satisfy a points requirement comprising education, previous licenses and designations, and experience.

Curriculum Candidates must complete a curriculum of five core and two elective courses and pass a related exam for each.

Required Courses

- Surgent McCoy's Guide to Wall Street Investments & Their New Tax Implications

- New Critical Decisions in Selecting the Best Retirement Plan for Small Businesses in 2012
- Everything You Need to Know About Retirement Plan Distributions
- Determining How Much Money You Need to Retire and Tax Ideas and Money Management in Retirement
- What Every CPA Should Know About Life Insurance Products and Planning

Elective Courses

- What Every Professional Should Know About Elder Care Planning
- Advanced Tips and Tricks of Investment Tax Management to Enhance Client Wealth Accumulation and Retirement Security
- Surgent McCoy's Guide to Designing and Administering the New Roth 401(k), Traditional 401(k), SIMPLE, and Cafeteria Plans
- Complete Strategies for Maximizing Contributions, Rollovers, Distributions, and Estate Planning of IRAs, SIMPLEs, SEPs, and Roths
- Social Security, Medicare, and Prescription Drug Retirement Benefits: What Every Baby Boomer Needs to Know Now

Additional Requirements All candidates are required to sign the National Institute ethics statement.

Continuing Education Requirements Designation holders are required to obtain 16 hours of continuing education every two years to maintain their designation in good standing.

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.

The certification is designed to:

- Establish a recognized standard of knowledge and competence for the trust and wealth advisory field
- Formally recognize those who meet these standards
- Provide employers and clients with a tool to identify skilled, knowledgeable professionals
- Support the benefits of professional continuing education and development

Curriculum Candidates must pass an examination that covers the knowledge areas below:

- Fiduciary & Trust Activities (25% of the exam)
- Financial Planning (25% of the exam)
- Tax Law & Planning (25% of the exam)
- Investment Management (20% of the exam)
- Ethics (5% of the exam)

Additional Requirements Candidates must meet the experience, education, ethics and examination requirements determined to be competency measures for wealth management professionals.

- Professional Experience & Education – Candidates must meet one of the following requirements:
 - A minimum of three years experience in wealth management as well as completion of an ICB-approved wealth management training program.
 - Five years experience in wealth management and a bachelor's degree.
 - Ten years experience in wealth management.
- Professional Reference – Candidates must submit one letter of recommendation from their manager attesting to their qualifications for certification, including their wealth management experience and ethical character. Wealth management experience is defined as direct experience in the various facets of delivering financial planning and fiduciary services relating to trusts, estates, IRAs and individual asset management accounts. This experience further includes providing administrative, investment management, tax, legal and marketing services.
- Ethics Statement – Candidates must sign ICB's Professional Code of Ethics statement, which is the last page of the application.
- Application – Candidates must complete and submit an application, affirming that they comply with the eligibility requirements at the time of submission, and pay the application fee.

Continuing Education Requirements Every three years, certificants must complete three continuing education credits in Ethics, and 45 credits of continuing education in each of the following four knowledge areas (a minimum of six hours is required in each):

- Fiduciary and Trust Activities
- Personal Financial Planning
- Tax Law
- Investments Management

Certified Public Accountant (CPA)

One of the world's leading licensing examinations, the Uniform CPA Examination serves to protect the public interest by helping to ensure that only qualified individuals become licensed as Certified Public Accountants (CPAs). The exam is one of the "Three E's" – education, examination, and experience – that are required for licensure as a CPA. Consequently, passing the examination is not, in itself, sufficient to meet requirements for licensure.

Licensing The licensing authority and requirements for CPAs falls under the jurisdiction of the Board of Accountancy for the state, district, or country in which a CPA practices. In adherence to the AICPA mission, the Institute seeks the highest possible level of uniform certification and licensing standards while promoting and protecting the CPA designation. The national organization representing the state boards is the National Association of State Boards of Accountancy (NASBA).

Requirements The requirements, which are set by each state board of accountancy, include:

- Completing a program of study in accounting at a college or university.
- Passing the Uniform CPA Exam.
- Obtaining a specific amount of professional work experience in public accounting (the required amount and type of experience varies according to licensing jurisdiction).

Ethics Upon joining the AICPA, a member agrees to abide by its Code of Professional Conduct and Bylaws adopted by a vote of the membership. The bylaws provide a structure for enforcement of the Code by the Institute's Professional Ethics Division. When allegations come to the attention of the Ethics Division regarding a violation of the Code, the division investigates the matter, under due process procedures, and depending upon the facts found in the investigation, may take a confidential disciplinary action, settle the matter with suspension or revocation of membership rights, or refer the matter to a panel of the Trial Board Division for a hearing. The bylaws mandate publishing the member's name if he or she is found guilty by a hearing panel, suspended, or expelled by settlement.

The bylaws of 51 state and/or territorial CPA societies provide for their participation in a Joint Ethics Enforcement Program so that, depending upon membership status, actions taken by one or more of these societies or the AICPA are in the names of both the society and AICPA. State regulatory agencies (Boards of Accountancy) issue practice licenses to CPAs and only those agencies may act to affect those licenses. The AICPA does not license CPAs. Those state regulatory agencies may take disciplinary action affecting practice licenses under statutes, regulations, and rulings of the state. Also, the Securities and Exchange Commission (SEC) and other Federal government agencies may, under Federal law or regulation, discipline CPAs who practice before these agencies.

Chartered Financial Analyst[®] (CFA[®])

The Chartered Financial Analyst[®] (CFA[®]) designation is conferred by the CFA Institute. A financial analyst seeking membership to the CFA Institute must:

- meet eligibility requirements
- fully comply with the CFA Code of Ethics and Standards of Professional Conduct
- study books, journal articles, and other readings designated by the Institute
- successfully pass three examinations, each approximately six hours in length and administered by the CFA Institute

The candidate for the CFA designation must have at least a single current and principal engagement:

- in financial analysis of securities investment for a bank, investment company, insurance company, or other financial services or investment management firms
- as an assistant, associate, or full professor or dean of a college or university, who teaches and/or researches
- as an economist involved in financial analysis of securities investment
- as a portfolio manager

- as a financial analyst of securities investment within a public agency
- as a financial analyst of securities investment for a corporate pension, profit sharing or other retirement fund
- as a manager of financial analysts or portfolio managers involved with securities investment and who, before assumption of management obligations, was a financial analyst or portfolio manager

The CFA is awarded to candidates who have passed the examinations and met the other requirements specified by the CFA Institute.

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.

Curriculum Candidates must pass an examination for the following six required courses and two elective courses to earn the ChFC designation:

Required Courses

- HS 300: Financial Planning: Process and Environment
- HS 311: Fundamentals of Insurance Planning
- HS 321: Income Taxation
- HS 326: Planning for Retirement Needs
- HS 328: Investments
- HS 330: Fundamentals of Estate Planning
- HS 332: Financial Planning Applications
- Elective Courses (choose 2)
- HS 322: The Financial System in the Economy
- HS 334: Estate Planning Applications
- HS 352: Financial Decisions for Retirement

As a general rule, candidates should plan to spend 50-70 hours studying for each course. The program can be completed as quickly as a candidate desires, but most students complete their designation requirements within 15-24 months.

Examination Requirements Each exam is a two-hour, 100 question, computer-administered exam.

Additional Requirements Candidates must meet experience requirements and ethical standards, including three years of business experience immediately preceding the date of use of the designation are required. An undergraduate or graduate degree from an accredited educational institution qualifies as one year of business experience and, when using formal education as qualifying experience, the remaining two years must immediately precede the date of the award.

Continuing Education Requirements Each designee who falls in one of the following categories must complete 30 hours of continuing education every two years. If you do not fall into one of these categories, you are exempt from CE requirements:

- Licensed insurance agent/broker/consultant
- Licensed security representative/registered investment advisor
- Financial consultant, attorney, accountant, employee benefits specialist, and any other individual who provides insurance, employee benefits, financial planning, or estate planning advice and counsel to the public

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.

Enrollment in the CLU program requires that an individual have at least three years of professional experience in the insurance industry, preferably in life insurance. There are no degree requirements, although a high school diploma is strongly suggested. Three recommendations from clients and/or professional colleagues are also requested. The course of study consists of ten college-level courses, each lasting approximately 15 weeks. A three-hour examination taken at the conclusion of each course must be passed to successfully complete the program.

Continuing Education Requirements To maintain use of the certification, certificants must complete 30 hours of approved continuing education every two years.

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.

Curriculum The CRPC curriculum is based on a client-centered, problem-solving method that uses case studies to give students a hands-on approach to the material. Also included are thousands of open-ended, multiple choice, and case analysis questions that help candidates

prepare for the national exam and equip them with the knowledge that will benefit their clients. Topics covered include the following:

- The Retirement Planning Process & Meeting Multiple Financial Objectives
- Sources of Retirement Income
- Personal Savings: Investing for Retirement
- Employer-Sponsored Plans
- Individual Deferred Compensation
- Planning for Incapacity, Disability & Long-Term Care
- When to Retire
- Retirement Plan Distributions
- Asset Management & Investment Strategy During Retirement
- Income Taxes & the Retiree
- Estate Planning
- Retirement Cash Flow Considerations

Examination 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.

Additional Requirements Candidates must sign and return the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Candidates must also provide disclosure of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters, either self-disclosed or that are discovered by the College that are required to be disclosed.

Maintenance Requirements Continued use of the CRPC designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC designation by:

- Completing 16 hours of continuing education.
- Reaffirming to abide by the Standards of Professional Conduct and Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.
- Paying a biennial renewal fee.

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.

Curriculum The curriculum for the CRPS designation encompasses specific content covering both theory and practical application. The curriculum is developed by the college's faculty with input from the country's top investment and financial firms, giving students the benefit of applying their learning to real-world situations and cases. Topics covered include the following:

- Types & Characteristics of Retirement Plans
- Individual Retirement Accounts (IRAs)
- SEP, SIMPLE & SARSEP Plans
- Defined Contribution Plans
- 401(k) Plans
- Defined Benefit Plans
- Nonprofit Organization & Government Plans
- Qualified Plan & IRA Distributions
- Plan Design, Installation, Administration & Amendments
- Plan Establishment, Operation, Investment Objectives, Penalties & Termination
- Fiduciary Issues, Prohibited Transactions, Claims & Examinations

Examination 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.

Additional Requirements Candidates must sign and return the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Candidates must also provide disclosure of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters, either self-disclosed or that are discovered by the College that are required to be disclosed.

Maintenance Requirements Continued use of the CRPS designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPS designation by:

- Completing 16 hours of continuing education.
- Reaffirming to abide by the Standards of Professional Conduct and Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.
- Paying a biennial renewal fee.

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—wherever the IRS has an outpost. Most state and local governments recognize the Enrolled Agent designation and grant representation powers to Enrolled Agents. Enrolled Agents may practice in any state without re-certifying, making this the most portable of all the tax licenses governed by IRS Circular 230.

Required Curriculum Candidates who wish to become an Enrolled Agent must meet the following qualifying criteria:

- Apply for enrollment using IRS Form 2587.
- Pass a background check to ensure that they have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or Enrolled Agent from practice before the IRS.
- Follow one of these two tracks:
 - Online Examination: Candidates must achieve passing scores on each of a three-part online Special Enrollment Examination (SEE).
 - IRS Experience: Candidates can become an enrolled agent by virtue of past service and technical experience working for the Internal Revenue Service in certain jobs or positions. Generally, there is a five-year experience requirement in positions that require certain levels of technical experience.

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.

Educational Requirements LUTCF candidates must complete six courses, one required and five electives. The required course is *Ethics for the Financial Services Professional*. Advisors choose electives based on their individual practices and needs. Topics available include product education on long-term care, life insurance, annuities, disability income insurance, and business insurance. Skills-based training includes how to best meet client needs and the basics of estate planning, retirement planning, and investment planning.

Prerequisites/Experience Candidates must be a member of NAIFA to be awarded the designation following completion of all of the educational requirements.

Ethics Must adhere to The American College's Code of Ethics, which includes the following professional pledge: "I shall, in light of all conditions surrounding those I serve, which I shall make every conscientious effort to ascertain and understand, render that service which, in the same circumstances, I would apply to myself." Because the designation is issued jointly with NAIFA, designees must also adhere to NAIFA's Code of Ethics, which includes the following responsibilities:

- To hold my profession in high esteem and strive to enhance its prestige.
- To fulfill the needs of my clients to the best of my ability.
- To maintain my clients' confidences.
- To render exemplary service to my clients and their beneficiaries.
- To adhere to professional standards of conduct in helping my clients to protect insurable obligations and attain their financial security objectives.
- To present accurately and honestly all facts essential to my clients' decisions.
- To perfect my skills and increase my knowledge through continuing education.
- To conduct my business in such a way that my example might help raise the professional standards of those in my profession.
- To keep informed with respect to applicable laws and regulations and to observe them in the practice of my profession.
- To cooperate with others whose services are constructively related to meeting the needs of my clients.

Examinations Proctored, closed book exams follow each course.

Continuing Education New LUTCF designees in 2010 or later must complete three hours of approved ethics training every two years.

Enforcement Designation may be removed for unethical conduct through the certification committee of The American College's Board of Trustees.

Accreditation The American College has the highest level of educational accreditation—regional accreditation—through the Middle States Commission on Higher Education.

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.

Prerequisites To be eligible to pursue the PFS designation, a candidate must:

- hold an unrevoked CPA license
- fulfill 3,000 hours of personal financial planning business experience
- be an active member of the AICPA

Requirements and Examination To attain the PFS credential, a candidate must:

- complete 80 hours of personal financial planning CPE credits
- pass a comprehensive financial planning exam

Maintenance Requirements To maintain their PFS credential, the recipient must:

- pay an annual \$350 fee
- meet CPA/PFS recertification requirements every three years
- be in good standing with their AICPA membership
- hold a valid and unrevoked CPA permit, certificate or license issued by a legally constituted state authority
- adhere to AICPA's *Code of Professional Conduct*, and is encouraged to follow AICPA's *Statement on Responsibilities in Financial Planning Practice*
- complete 60 hours of financial planning CPE credits related to the PFP body of knowledge every three years
- submit a signed Statement of Intent to comply with all recertification requirements (CPA/PFS Credential holders will be instructed to report their recertification requirements at the appropriate time)

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").

Prerequisites To be eligible to pursue the PPC designation, a candidate must have three (3) years of direct financial plan industry sales, service, and/or support experience.

Requirements and Examination To attain the PPC™ credential, a candidate must:

- complete a 16 hour 401k Service Training program based on ERISA guidance and industry best-practices
- attend either the instructor-led, multiple-day training session or complete the ONLINE training program to gain a comprehensive understanding of the issues faced by plan sponsors, how to identify shortfalls in an employer-sponsored plan, and how to successfully address plan management issues

- sit for a 50-question, multiple choice examination held at the end of the training program, and obtain a passing score of 80% or better
- sign the Financial Service Standards Code of Ethics to verify that the individual pledges to maintain a high standard of conduct, competence, knowledge, professionalism, integrity, objectivity, and responsibility in the practice of his or her profession

Maintenance Requirements After completing the requirements above, successful candidates must submit a designation application and pay the annual designation dues of \$245.00.

- On an ongoing basis, over a 12-month cycle, each PPC™ designee must complete a minimum number of continuing education hours (6) in a format allowed by 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.

Prerequisites 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.

Requirements and Examination Earning ASPPA's QKA credential requires successful completion of the following exams:

- Retirement Plan Fundamentals Part 1 (RPF-1)
- Retirement Plan Fundamentals Part 2 (RPF-2)
- Defined Contribution Administrative Issues – Basic Concepts (DC-1)
- Defined Contribution Administrative Issues – Compliance Issues (DC-2)

Applying for ASPPA credentialed membership requires submission of the appropriate form and two letters of recommendation from two references that verify a minimum of two years experience in retirement plan-related matters.

Maintenance Requirements All credentialed members must acquire 40 hours of Continuing Education (CE) credits (2 of these must be Ethics) in a two-year cycle as well as renew ASPPA Membership annually to retain credentials.

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.

Prerequisites 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.

Requirements and Examination Earning ASPPA's QPA credential requires successful completion of the following examinations:

- Retirement Plan Fundamentals Part 1 (RPF-1)
- Retirement Plan Fundamentals Part 2 (RPF-2)
- Defined Contribution Administrative Issues – Basic Concepts (DC-1)
- Defined Contribution Administrative Issues – Compliance Issues (DC-2)
- Defined Contribution Administrative Issues – Advanced Topics (DC-3)
- Administrative Issues of Defined Benefit Plans (DB)
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Applying for ASPPA credentialed membership requires submission of the appropriate form and two letters of recommendation from two references that verify a minimum of two years experience in retirement plan-related matters.

Maintenance Requirements All credentialed members must acquire 40 hours of Continuing Education (CE) credits (2 of these must be Ethics) in a two-year cycle as well as renew ASPPA Membership annually to retain credentials.

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.

Prerequisites 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.

Requirements and Examination Earning ASPPA's QPFC credential requires successful completion of the following examinations:

- Plan Financial Consulting – Part 1 (PFC-1)

- Plan Financial Consulting – Part 2 (PFC-2)

Additional Requirements In addition to passing the required examination series, a candidate must meet one of the following requirements:

- Series 6, 7 or 65 license issued by the FINRA (formerly NASD) and two letters of reference demonstrating at least two years of retirement plan related experience; or
- State-life or annuity insurance license and two letters of reference demonstrating at least two years of retirement plan related experience; or
- Investment Advisor Representative or Registered Investment Advisor credential and two letters of reference demonstrating at least two years of retirement plan related experience; or
- Two letters of reference demonstrating at least three years of retirement plan related experience.

Applying for ASPPA credentialed membership requires submission of the appropriate form and two letters of recommendation reference that verifies the necessary work experience requirement as noted above for the QPFC credential.

Maintenance Requirements All credentialed members must acquire 40 hours of Continuing Education (CE) credits (2 of these must be Ethics) in a two-year cycle as well as renew ASPPA Membership annually to retain credentials.

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.

The RPA designation helps professionals:

- Develop strategic skill sets by attaining broad but deep expertise in Defined Contribution plans, Defined Benefit plans, and investments
- Provide greater value to your organization by broadening your exposure to a wide range of issues impacting all aspects of retirement plans
- Attain increased knowledge, a sense of achievement, a competitive edge, and industry recognition

The International Foundation, the largest educational organization in the employee benefits field, is responsible for the overall administration of the program. The Wharton School, one of the preeminent business schools in the U.S., oversees academic content and standards.

Curriculum Designees must complete the three required courses plus one elective course:

Required Courses

- Course 3: Retirement Plans: Basic Features & Defined Contribution Approaches

- Course 4: Retirement Plans: Defined Benefit Approaches & Plan Administration
- Course 7: Asset Management

Electives (Any one of the following courses)

- Course 8: Human Resources and Compensation Management
- PFP 1: Personal Financial Planning 1: Concepts and Principles

Examination Requirements Each course examination is two hours in length and consists of 100 multiple choice questions.