



**PAULEY FINANCIAL**  
*Helping people make important life choices*

**Part 2B of Form ADV: Brochure Supplement**

Mandi J. Moynihan  
Pauley Financial Services, Inc.  
4509 St. Clair Ct.  
Flower Mound, TX 75022  
512.215.4009

July 2015

This brochure supplement provides information about Mandi J. Moynihan that supplements the Pauley Financial Services, Inc. ("Pauley Financial") brochure. You should have received a copy of that brochure. Please contact Brian A. Cox if you did not receive Pauley Financial's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Educational, Background and Business Experience

**Full Legal Name:** Mandi J. Moynihan

**Born:** July 23, 1973

### Education

- United States Military Academy (USMA) at West Point; BS, Environmental Science; 1995
- Georgetown University, Executive Certificate in Financial Planning; 2007

### Business Experience

- Pauley Financial, Financial Planning Director; 7/2015 to Present
- Ameriprise Financial, Associate Financial Advisor; 8/2005 to 6/2015
- Resource Consultants, Marketing/Communications Coordinator; 10/2002 to 5/2003
- International Dairy Food Association, Assistant Director, Local Marketing; 7/2001 to 6/2002
- Kraft Foods, Inc, Associate Brand Manager; 5/2000 to 6/2001
- United States Army Officer; 6/1995 to 5/2000

### Designations

Mandi J. Moynihan has earned the following designation(s) and is in good standing with the granting authority:

- Series 66; Uniform Combined State Law; 2010
- Texas Department of Insurance; General Lines Agent; 2010
- CERTIFIED FINANCIAL PLANNER (“CFP”) Certificant; CERTIFIED FINANCIAL PLANNER Board of Standards, Inc.; 2008

### Description of designation requirements:

#### CERTIFIED FINANCIAL PLANNER (CFP) designation

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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

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

- Education – Complete college or university-level coursework through a program registered with CFP Board, addressing the major personal financial planning areas identified by CFP Board’s most recent Job Analysis Study;
- Verify that you hold a regionally accredited college or university bachelor’s degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).
- The coursework requirement must be completed before you sit for the CFP® Certification Examination; the bachelor’s degree requirement may be completed after you pass the exam (within five years).
- 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 every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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

### **Item 3 Disciplinary Information**

Mandi J. Moynihan has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Mandi J Moynihan is not engaged in any other investment-related activities.

2. Mandi J. Moynihan does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

**B. Non Investment-Related Activities**

Mandi J. Moynihan is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

**Item 5 Additional Compensation**

Mandi J. Moynihan does not receive any economic benefit from a non-advisory client for the provision of advisory services.

**Item 6 Supervision**

**Supervisor:** Brian A. Cox is a Principal of the firm serving as the Chief Compliance Officer responsible for supervision of Mandi J. Moynihan.

**Title:** Principal and Chief Compliance Officer

**Phone Number:** 512.215.4009