

**Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
June 2018**



Michael D. Heatwole

**The Dala Group, LLC
2815 Forbs Ave, Suite 107
Hoffman Estates, IL 60192**

**Firm Contact:
Michael Heatwole
Chief Compliance Officer**

This brochure supplement provides information about Mr. Heatwole that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Heatwole if you did not receive The Dala Group, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Heatwole is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #6120770.

Item 2: Educational Background & Business Experience

Michael D. Heatwole

Year of Birth: 1984

Educational Background:

- 2010: Illinois Institute of Technology; Master of Structural Engineering
- 2006: Illinois Institute of Technology; Bachelor of Science in Civil Engineering

Business Background:

- 03/2018 – Present The Dala Group, LLC; Managing Member, Chief Compliance Officer, & Investment Adviser Representative
- 02/2013 – 03/2018 Waddell & Reed; Financial Adviser
- 05/2010 – 02/2013 Baldridge & Associates Structural Engineering; Structural Engineer

Exams, Licenses & Other Professional Designations:

- 2016: CERTIFIED FINANCIAL PLANNER, CFP® & Accredited Wealth Management Advisor (AWMA®)
- 2013: Series 66 Exams
- 2012: Series 7 Exam
- IL Insurance Licensed

The CFP® certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual must have a Bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the *Standards of Professional Conduct*.

The College for Financial Planning® awards the AWMA® designation to students who successfully complete the program, pass the final examination and comply with the Code of Ethics, which includes agreeing to abide by the *Standards of Professional Conduct* and *Terms and Conditions*. Applicants must also disclose 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 which are discovered by the College that are required to be disclosed. Continued use of the AWMA® designation is subject to ongoing renewal requirements. Every 2 years individuals must renew their right to continue using the AWMA® designation by completing 16 hours of continuing education and reaffirming to abide by the *Standards of Professional Conduct*, *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.

Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Mr. Heatwole.

Item 4: Other Business Activities

Mr. Heatwole is a licensed insurance agent/broker. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Heatwole, as a fiduciary, will act in the client's best interest.

Item 5: Additional Compensation

Mr. Heatwole does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Mr. Heatwole is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

Item 7: Requirements for State-Registered Advisers

Mr. Heatwole has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.