

Item 1: Cover Page



4525 SW Condor Avenue
Portland, OR 97239
carol@preisz.com

Telephone: (503) 224-1600
Toll Free (888) 224-1600
Vancouver (360) 892-7500
Facsimile: (503) 274-8003

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This brochure supplement provides information about Carol Q. Bethune that supplements the Preisz Financial brochure. You should have received a copy of that brochure. Please contact Michael Preisz or Carol if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about Carol Bethune is available on the SEC's website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for Carol is 4559410.

Note: Throughout this document, Preisz Financial and any of its associated Investment Advisor Representatives may be termed "the firm," "we," "us," or "our." The client or prospective client may be referred to as "client," "you," "your," etc.

Item 2: Educational Background and Business Experience

Carol Q. Bethune, CFP®, MBA, Investment Adviser Representative

Year of Birth: 1957

Education:

B.A. University of Georgia in 1982

M.B.A. Portland State University in 1989

Professional Designations:

Carol earned the Certified Financial Planner (CFP®) designation in 2010. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following 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); and
- *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; 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.

General Industry/Product Exams:

Securities Industry Essentials Exam	SIE	10/01/2018
General Securities Representative Exam	Series 7	11/07/2002

State Securities Law Exams:

Uniform Combined State Law Exam	Series 66	11/18/2002
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Registered Agent for securities in the following states:

OR, WA	09/08/2009
TX	03/09/2015
CA	03/20/2017
DE, MD	04/04/2017
NV	10/31/2017

Business Background:

Preis Financial, *Investment Advisor Representative*, from 2004 to present
LPL Financial, previously Mutual Service Corp, *Registered Representative*, from 2004 to present
American Express/IDS Life Insurance, *Financial Advisor*, from 2002 – 2003
IBM, *Marketing Program Manager*, from 2000 – 2001
IBM, *Account Development Specialist*, from 1996 - 2000

Item 3: Disciplinary Information

None.

Item 4: Other Business Activities

Carol is a registered securities representative with LPL Financial (hereinafter, "LPL"), an unaffiliated registered broker-dealer, member of the Financial Industry Regulatory Authority ("FINRA") and SIPC and SEC-registered investment adviser. In addition, Carol is an insurance agent/broker with various insurance companies. In these capacities, Carol may recommend securities, insurance, advisory, or other products, and receive normal transactions commissions if products are purchased through any firms with which she is affiliated.

Some of these non-Preis activities present a potential conflict of interest, to the extent that Carol may receive additional compensation as a result of recommending additional brokerage, insurance and advisory products and services to clients.

Our firm has developed policies and procedures to monitor and mitigate these conflicts of interest. A summary of our policies can be found in Items 5 and 10 of our firm's Form ADV Part 2A.

Item 5: Additional Compensation

Carol does not receive any additional compensation from third parties for providing investment advice to its clients. However, product companies (including our affiliates) with which we have agreements work with the firm and our investment advisor representatives to provide education and other support to help distribute their products. These companies may pay for training and education events, seminars or other similar events for employees, investment advisors, clients and prospective clients. They may also reimburse expenses for due diligence meetings or occasionally provide business or recreational entertainment. These fees, as well as incentive programs and cash and/or noncash compensation, are all strictly regulated by the SEC and Financial Industry Regulatory Authority (FINRA).

Item 6: Supervision

Michael Preisz is responsible for all employee and advisor supervision, compliance with policies and procedures, and general business strategy of the firm. He can be reached at (503) 224-1600. Michael Preisz, Carol Bethune, Robert Beswick, Geoffrey LaRoche, Thomas Davenport and William Preisz are responsible for formulation and monitoring of investment advice offered to client, documenting investment-meeting deliberations, overseeing all material investment policy changes, and conducting periodic testing to ensure that client objectives and mandates are being met. Michael reviews all employee personal securities transactions on a quarterly basis.