



Form ADV: Part 2B  
Brochure Supplement  
12/31/2023



**Dale Buckner, MBA, CFP<sup>®</sup>, AIF<sup>®</sup>**  
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Investment Advisor

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This brochure supplement provides information about Dale Buckner that supplements the Dale Buckner, Inc. brochure. You should have received a copy of that brochure. Please contact Dale Buckner or Brett Hansen if you have any questions about the contents of this supplement.

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



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## **Educational Background and Business Experience**

Dale Edward Buckner  
DOB 11/4/1949

Dale has a BBA degree from Texas Tech University and a MBA from ESAN, in Lima Peru. He received the CFP® designation in 1997 and the AIF® designation in 2013.

He helps people retire early with the goals of enjoying a rich retirement and staying retired with secure income. He helps clients achieve their financial and life goals by doing Life Stage Planning, an advanced form of the financial planning process taught by the CERTIFIED FINANCIAL PLANNING® course work.

Certified Financial Planner (CFP®)

M.B.A. Master of Business Administration, ESAN, Lima, Peru 1974

B.B.A. Business and Advertising, Texas Tech University, Lubbock, Texas 1972

Owner/Agent Dale Buckner Insurance 1988 to Present

President & Registered Investment Advisory Representative, Dale Buckner, Inc.  
2009 to Present

OSJ, Registered Principal, United Planners Financial Services, 2003 to Present

Registered Investment Advisory Representative, Asset Planning Group 1990 to  
2009

Registered Representative, Sun America Securities, 1990 to 1998

The CERTIFIED FINANCIAL PLANNER™ and CFP® 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. Currently, more than 98,000 individuals have obtained CFP® certification in the United States.

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

- Education – Two-part education requirement includes both (1) completing coursework on financial planning through a CFP Board Registered Program, and (2) holding a bachelor's degree or higher from an accredited college or university (or its equivalent from a foreign university). Subject areas in coursework include insurance planning, risk management, investment planning, tax planning, estate planning and retirement planning.
- Examination – Pass the comprehensive CFP® Certification Examination. The examination is a 170 question, multiple-choice test that consists of two 3-hour sessions over one day. The exam includes stand-alone and scenario-based questions, as well as questions associated with case studies
- Experience – Complete 6,000 hours of professional experience related to the financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- 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.

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.

Dale must complete Firm Element Continuing Education Courses on an annual basis to retain his securities licenses.



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### **Disciplinary Information**

Dale Buckner has no legal or disciplinary events.

### **Other Business Activities**

Dale Buckner is also associated with United Planners Services (UPFS) as a registered representative. UPFS is a registered broker-dealer and a member of the Financial Industry Regulatory Authority (FINRA). As a UPFS registered representative, Dale Buckner may offer clients the option to purchase securities and investment products distributed by that firm including, but not limited to, mutual funds, variable annuities, variable life insurance, stocks and bonds, and limited partnerships. If a client purchases or sells securities products from Dale Buckner in this capacity, then he will receive commissions and related compensation, such as mutual fund service fees.

Dale Buckner is also a licensed insurance agent appointed with various insurance companies. As a licensed insurance agent, Dale Buckner may offer investment advisory clients the option to purchase insurance products. If a client purchases insurance products through Dale Buckner, he will receive commission and related compensation, such as insurance trail fees as a result of the sale.

UPFS is a Limited Partnership in which Dale Buckner is also a limited partner. Limited partners receive a percentage of UPFS' net profit on an annual basis. Dale Buckner may recommend products or services that produce more revenue for the firm and thus increase his annual profit distribution. Conflicts of interest may exist and are here disclosed.

Dale Buckner makes every effort to recommend securities and insurance products that are most appropriate for the client, without consideration of compensation arrangements. Clients are under no obligation to purchase recommended securities or insurance products through UPFS or Dale Buckner and may purchase such products through the broker-dealers or insurance agency of their choice.

### **Additional Compensation**

Dale Buckner has no additional compensation or economic benefit.



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### **Supervision**

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### **SEC-Registered Disclosures**

Dale Buckner has no events of liable arbitration or events of liability in civil, self-regulatory organizational, or administrative proceedings, and no events of bankruptcy petitions.