

Disclosure Brochure - Officers

December 31, 2023

This brochure supplement provides information about the members of PlanRock Wealth Management, LLC senior management (the “Supervised Persons”) and supplements the PlanRock Wealth Management, LLC disclosure brochure. You should have received a copy of the PlanRock Wealth Management, LLC disclosure brochure. Please contact Support at 800-677-6025 if you did not receive PlanRock Wealth Management, LLC's disclosure brochure or if you have any questions about the contents of this supplement. Additional information each of the Supervised Persons is available on the SEC's website at www.adviserinfo.sec.gov.

General Information and Definitions

PlanRock Wealth Management, LLC (“PlanRock”) is registered as an investment adviser and offers clients a variety of investment advisory and portfolio development services. The general advisory services provided by PlanRock are described in more detail in PlanRock's Form ADV Part 2 Disclosure Brochure (the “PlanRock General Disclosure Brochure”).

Please contact us (800) 677-6025 if you did not receive the PlanRock Disclosure or if you have any questions about the contents of this supplement. PlanRock's registration as an investment adviser does not imply any level of skill or training.

LISTING OF ADVISORS COVERED IN THIS SUPPLEMENT

Stephen Hammers

Alex X. Pazdan

Daniel Banaszak

Pleshetta Loftin

Stephen Hammers

Founder, CEO, Chief Investment Officer

Address: 7105 Peach Ct Ste 106, Brentwood, TN 37027

Phone Number: (800) 677-6025 Ext 700

Educational Background and Business Experience

Full Legal Name: Stephen Hammers

Born: 1968

Education

- Middle Tennessee State University; Bachelor of Science/Aerospace; 1990

Business Experience

- PlanRock; Chairman/Chief Investment Officer; Franklin, TN; 7/1/19 to Present
- Victory Capital Management; Chief Investment Officer/Chief Portfolio Strategist; Brentwood, TN; 5/1/2015 to 6/30/2019
- Compass Efficient Model Portfolios (Compass EMP Funds); Chief Investment Officer; Brentwood, TN; President/CEO; 3/15/2003 to 4/30/2015
- Merrill Lynch; Senior Vice President/Financial Advisor; Brentwood, TN 5/1/1995 to 3/14/2003

Disciplinary Information

Stephen Hammers has no legal or disciplinary events to report

Other Business Activities

As noted below, in addition to representing PlanRock, Mr. Hammers from time to time act in other business activities as described below.

Investment-Related Activities

In addition to his role as a managing partner and advisor representative of PlanRock LLC, Mr. Hammers is not engaged in any other investment related activities.

Non-Investment-Related Activities

In addition to the above described, Mr. Hammers is engaged, actively, in business activities outside of his activities and responsibilities at PlanRock Wealth Management, LLC. This activity is called AVS Aircraft, an Aircraft related business. In this business function He deals in aircraft accessories and flight instruction. Mr. Hammers has been involved in this business since March 29, 2006.

These activities provide a minimal source of Mr. Hammers' income and involve a minimal amount of Mr. Hammers' time.

Additional Compensation

Mr. Hammers receives compensation from PlanRock LLC as a Managing Partner of PlanRock. Mr. Hammers' compensation will take into account the profitability of PlanRock; as a result, will take into account the fees and other income received over time by PlanRock in connection with services provided to PlanRock clients. Further, Mr. Hammers has a financial incentive to promote PlanRock services. Mr. Hammers may receive referral or other compensation in connection with services provided to PlanRock.

Supervision

PlanRock has established policies and procedures (in the “Compliance Manual”) to govern the activities of all supervised persons, including Mr. Hammers. Additionally, all PlanRock supervised persons engaged in investment advisory activities, including Mr. Hammers, are subject to PlanRock’s Code of Ethics that establishes policies and procedure to address potential conflicts of interest that may arise in connection with the provision of investment advisory services to Clients. Additional information concerning PlanRock’s Code of Ethics is contained in the PlanRock Disclosure Brochure.

As the Owner (CEO) of PlanRock LLC, Stephen Hammers supervises his own activities.

Alex Pazdan

Partner/Portfolio Manager

Address: 7105 Peach Ct Ste 106, Brentwood, TN 37027

Phone Number: (800) 677-6025

Educational Background and Business Experience

Full Legal Name: Alexander Pazdan

Born: 1973

Education

- Vanderbilt University, BS Economics, BS Psychology; Nashville, TN; 1994

Business Experience

- PlanRock; Portfolio Manager; Franklin, TN; 8/23/2023 to Present
- Persistent Capital Management, Franklin, TN ; 07/01/2002 to Present
- Victory Capital Management; Portfolio Manager/Strategist; Brentwood, TN; 5/1/2015 to 10/30/2017
- Compass Efficient Model Portfolios (Compass EMP Funds); Portfolio Manager; Brentwood, TN; 12/01/2010 to 4/30/2015
- Eclipse Capital Management; Analyst; St Louis, MO 2/1/1995 to 7/01/2002

Disciplinary Information

Alex Pazdan has no legal or disciplinary events to report

Other Business Activities

As noted below, in addition to representing PlanRock, Mr. Pazdan from time to time act in other business activities as described below.

Investment-Related Activities

In addition to his role as portfolio manager of PlanRock LLC, Mr. Pazdan is engaged in business with Persistent Capital Management, a commodities trading advisor (CTA). In this business function he is a CTA & CPO (commodities pool operator), in which he is a portfolio manager for futures accounts. Strategies of portions of the strategies are used by other funds to include the PlanRock funds and portfolio. Mr. Pazdan has been involved in this business since July 2002.

These activities provide a significant source of Mr. Pazdan’s income and involve a good amount of Mr. Pazdan’s time.

Non-Investment-Related Activities

In addition to the above described, Mr. Pazdan is not engaged in any other non-investment related activities.

Additional Compensation

Mr. Pazdan receives compensation from PlanRock LLC as a portfolio manager of PlanRock. Mr. Pazdan's compensation will take into account the profitability of PlanRock; as a result, will take into account the fees and other income received over time by PlanRock in connection with services provided to PlanRock clients. Further, Mr. Pazdan has a financial incentive to promote PlanRock Funds and services. Mr. Pazdan may receive referral or other compensation in connection with services provided to PlanRock.

Supervision

PlanRock has established policies and procedures (in the "Compliance Manual") to govern the activities of all supervised persons, including Mr. Pazdan. Additionally, all PlanRock supervised persons engaged in investment advisory activities, including Mr. Pazdan, are subject to PlanRock's Code of Ethics that establishes policies and procedure to address potential conflicts of interest that may arise in connection with the provision of investment advisory services to Clients. Additional information concerning PlanRock's Code of Ethics is contained in the PlanRock Disclosure Brochure.

Mr Pazdan is supervised by Stephen Hammers as the firms' CEO.

Dan Banaszak, CFA

Partner/Portfolio Manager

Address: 7105 Peach Ct Ste 106, Brentwood, TN 37027

Phone Number: (800) 677-6025

Educational Background and Business Experience

Full Legal Name: Daniel Banaszak, CFA

Born: 1983

Education

- Chartered Financial Analyst designation ("CFA"); 2011
- Xavier University, B.S.B.A. in Finance; Cincinnati, OH; 2006

Business Experience

- PlanRock; Portfolio Manager; Franklin, TN; 2023 to Present
- Persistent Capital Management, Portfolio Manager; Franklin, TN ; 07/01/2020 to Present
- Victory Capital Management; Portfolio Manager/Strategist; Brentwood, TN; 2015 to 2019
- Compass Efficient Model Portfolios (Compass EMP Funds); Portfolio Manager; Brentwood, TN; 2011 to 2015
- Lerner Trading Group, Options Market Maker; Chicago, IL 2007 to 2011.

Disciplinary Information

Dan Banaszak has no legal or disciplinary events to report.

Other Business Activities

As noted below, in addition to representing PlanRock, Mr. Pazdan from time to time act in other business activities as described below.

Investment-Related Activities

In addition to his role as portfolio manager of PlanRock LLC, Mr. Banaszak is engaged in business with Persistent Capital Management, a commodities trading advisor (CTA). In this business function he is a CTA & CPO (commodities pool operator), in which he is a portfolio manager for futures accounts. Strategies of portions of the strategies are used by other funds to include the PlanRock funds and portfolio. Mr. Banaszak has been involved in this business since July 2002.

These activities provide a significant source of Mr. Banaszak's income and involve a good amount of Mr. Banaszak's time.

Non-Investment-Related Activities

In addition to the above described, Mr. Banaszak is not engaged in any other non-investment-related activities.

Additional Compensation

Mr. Banaszak receives compensation from PlanRock LLC as a portfolio manager of PlanRock. Mr. Banaszak's compensation will take into account the profitability of PlanRock; as a result, will take into account the fees and other income received over time by PlanRock in connection with services provided to PlanRock clients. Further, Mr. Banaszak has a financial incentive to promote PlanRock Funds and services. Mr. Banaszak may receive a referral or other compensation in connection with services provided to PlanRock.

Supervision

PlanRock has established policies and procedures (in the "Compliance Manual") to govern the activities of all supervised persons, including Mr. Banaszak. Additionally, all PlanRock supervised persons engaged in investment advisory activities, including Mr. Banaszak, are subject to PlanRock's Code of Ethics that establishes policies and procedure to address potential conflicts of interest that may arise in connection with the provision of investment advisory services to Clients. Additional information concerning PlanRock's Code of Ethics is contained in the PlanRock Disclosure Brochure.

Mr. Pazdan is supervised by Stephen Hammers as the firms' CEO.