

## Part 2B of Form ADV: Brochure Supplement



**Taylor J. Whelan, CFP®**

**Wealth Advisor**

**B.A. Philosophy, Santa Clara University, 2008**

At Whelan Financial, we aim to hire and retain elite talent to Fresno. Having recruited Taylor as an advisor is one of our most proud accomplishments. Taylor came to us from Wellington Management in Boston, and with his years of experience, immediately impacted the firm. His integrity, remarkable financial aptitude, and limitless positivity have helped to propel Whelan Financial forward.

When Taylor isn't meeting with his own clients, he is instrumental in business development, conducting investment research, and advancing our technology. Taylor is a 2020 Level III candidate in the Chartered Financial Analyst Program. His genuine enjoyment in helping each client is only matched by his enthusiasm for the growth of our firm.

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This Brochure Supplement provides information about Taylor J. Whelan, CFP® and supplements the Whelan Financial brochure. Please contact Taylor J. Whelan, CFP® at 559.228.8002 if you have any questions about the contents of this supplement.

03/05/2020

Additional information about Taylor J. Whelan, CFP® is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Educational, Background and Business Experience

**Full Legal Name:** Taylor J. Whelan, CFP®

**Born:** 1985

**Education:** Santa Clara University; BA, Philosophy: 2008

**Business Experience:** Whelan Financial from 7/2008 to 12/2010; Wellington Management Company, LLP from 3/2011 to 5/2012; Wellington Hedge Management from 6/2012 to 10/2014; Whelan Financial from 11/17/2014 to present. He is a CERTIFIED FINANCIAL PLANNER™ Practitioner, Secretary and holds a Series 65 license.

**Certifications:** Taylor J. Whelan, CFP® has earned the following certification and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.: 2016

"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. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, currently 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 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® professional 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 maybe subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification. (Source: Certified Financial Planner Board of Standards, Inc.)

## Disciplinary Information

Taylor J. Whelan, CFP® has no reportable disciplinary history.

## Other Business Activities

### A. Investment Related Activities

1. Taylor J. Whelan, CFP® is not engaged in any other investment related activities.
2. Taylor J. Whelan, CFP® does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Taylor J. Whelan, CFP® is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Additional Compensation

Taylor J. Whelan, CFP® does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Supervision

**Supervisor:** Portia L. White, CFP®

**Title:** Vice President

**Phone Number:** 559.228.8002

Taylor J. Whelan, CFP® reports to Portia L. White, CFP® for all his activities and responsibilities related to Whelan Financial business.

Vincent J. Whelan, CFP®, is responsible for the supervision, formulation and monitoring of investment advice offered to clients. Mr. Whelan reviews and oversees all material investment policy changes and conducts periodic testing to ensure that client objectives and mandates are being met. He can be contacted at 559.228.8002.