

**ITEM 1: COVER PAGE FOR
PART 2B OF FORM ADV:
BROCHURE SUPPLEMENT
DATED JANUARY 2021**

GRANT E. HARTVIGSON

**RAINIER FINANCIAL GROUP, INC.
D.B.A.
RAINIER FINANCIAL GROUP**

**4022 STONE WAY N #100
SEATTLE, WA 98103**

FIRM CONTACT: GRANT E. HARTVIGSON, CHIEF COMPLIANCE OFFICER

FIRM WEBSITE ADDRESS: WWW.RAINIERFINANCIAL.COM

PHONE NUMBER: 206.417.5600

This brochure supplement provides information about Mr. Hartvigson and supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Hartvigson, Managing Partner and Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Grant Hartvigson is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Grant E. Hartvigson

Date of Birth: 04/24/1974

Formal Education after high school:

- University of Washington, B.A. in Business Finance, 1996

Business Background (for the past 10 years):

- Rainier Financial Group, Inc., Investment Advisor Representative, 6/2012 to Present
- Rainier Financial Group, Inc., Partner, 11/2002 to Present
- LPL Financial, Registered Representative, 11/2002 to Present

Licenses and Other Professional Designations:

- CERTIFIED FINANCIAL PLANNER® 12/2002
- Chartered Life Underwriter 12/2002
- NASD Series 6 07/1996
- NASD Series 7 06/2002
- NASD Series 24 06/2003
- NASD Series 63 07/1996
- NASD Series 65 07/2002
- State of Washington Life Insurance License 06/1996
- State of Washington Health Insurance License 06/1996
- State of California Life Insurance License 05/2011 #CA0D30456

We may list any professional designations held by Mr. Grant Hartvigson. We must provide you with a sufficient explanation of the minimum qualifications required for each designation to allow you to understand the value of the designation.

CFP®:

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 62,000 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 – 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.

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.

Item 3 Disciplinary Information

If there are legal or disciplinary events material to your evaluation of Mr. Hartvigson, we are required to disclose all material facts regarding those events.

We have nothing to disclose in this regard.

Item 4 Other Business Activities

A. If Mr. Hartvigson is actively engaged in any investment-related business or occupation, including if Mr. Hartvigson is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading advisor (“CTA”), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. If a relationship between the advisory business and Mr. Hartvigson other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

2. If Mr. Hartvigson receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including

distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Mr. Hartvigson receives. We must explain that this practice gives Mr. Hartvigson an incentive to recommend investment products based on the compensation received, rather than on your needs.

Mr. Hartvigson is a registered representative of LPL Financial (“LPL”), an SEC registered broker-dealer and FINRA member. He may offer securities and receive normal and customary commissions as a result of securities transactions. This presents a conflict of interest to the extent that Mr. Hartvigson recommends that a client invest in a security which results in a commission being paid to him.

A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation adviser and/or our supervised persons may earn and may not necessarily be in the best interests of the client. To minimize the conflict, we have established a Code of Ethics described in Section 11 of the Firm Brochure.

- B. If Mr. Hartvigson is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Mr. Hartvigson’s income or involve a substantial amount of Mr. Hartvigson’s time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Mr. Hartvigson’s time and income, we may presume that they are not substantial.

Mr. Hartvigson is a licensed insurance agent through numerous insurance companies. In such a capacity, he may offer insurance products and receive normal and customary commissions as a result of such a purchase. This presents a conflict of interest to the extent that he recommends the purchase of an insurance product which results in a commission being paid to him as an insurance agent. He spends 5% of his time on these activities.

Item 5 Additional Compensation

If someone who is not a client provides an economic benefit to Mr. Hartvigson for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Mr. Hartvigson’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

Item 6 Supervision

We are required to explain how we supervise Mr. Hartvigson, including how we monitor the advice Mr. Hartvigson provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Mr. Hartvigson’s advisory activities on behalf of our firm.

Mr. Hartvigson is the 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 1: COVER PAGE FOR
PART 2B OF FORM ADV:
BROCHURE SUPPLEMENT
DATED JANUARY 2020**

KIMBERLY ARNESEN

**RAINIER FINANCIAL GROUP, INC.
D.B.A.
RAINIER FINANCIAL GROUP**

**4022 STONE WAY N #100
SEATTLE, WA 98103**

FIRM CONTACT: GRANT E. HARTVIGSON, CHIEF COMPLIANCE OFFICER

FIRM WEBSITE ADDRESS: WWW.RAINIERFINANCIAL.COM

PHONE NUMBER: 206.417.5600

This brochure supplement provides information about Ms. Arnesen AND supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Hartvigson, Managing Partner and Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Ms. Arnesen is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Kimberly Arnesen

Year of Birth: 1984

Formal Education after high school:

- Shoreline Community College, Associates Degree, 2005

Business Background (for the past 10 years):

- LPL Financial; Investment Advisor Representative, 06/2012 to Present
- Rainier Financial Group, Inc., Operations Manager, 02/2009 to 12/2017
- Rainier Financial Group, Inc., Executive Assistant, 03/07- 02/09

Licenses and Other Professional Designations:

- 04/15 - Chartered Financial Consultant – ChFc ®
- 12/12 – Series 65
- 08/09 – Series 63
- 06/09 – Series 7
- 11/07 – State of Washington Life Insurance License
- 11/07 – State of Washington Health Insurance License

Item 3 Disciplinary Information

If there are legal or disciplinary events material to your evaluation of Ms. Arnesen, we are required to disclose all material facts regarding those events.

We have nothing to disclose in this regard.

Item 4 Other Business Activities

- A. If Ms. Arnesen is actively engaged in any investment-related business or occupation, including if Ms. Arnesen is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading advisor (“CTA”), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.
3. If a relationship between the advisory business and Ms. Arnesen other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

4. If Ms. Arnesen receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Ms. Arnesen receives. We must explain that this practice gives Ms. Arnesen an incentive to recommend investment products based on the compensation received, rather than on your needs.

Ms. Arnesen is a registered representative of LPL Financial ("LPL"), an SEC registered broker-dealer and FINRA member. She may offer securities and receive normal and customary commissions as a result of securities transactions. This presents a conflict of interest to the extent that Ms. Arnesen recommends that a client invest in a security which results in a commission being paid to her.

A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation adviser and/or our supervised persons may earn and may not necessarily be in the best interests of the client. To minimize the conflict, we have established a Code of Ethics described in Section 11 of the Firm Brochure.

- B. If Ms. Arnesen is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Ms. Arnesen's income or involve a substantial amount of Ms. Arnesen's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Ms. Arnesen's time and income, we may presume that they are not substantial.

Ms. Arnesen is a licensed insurance agent through numerous insurance companies. In such a capacity, she may offer insurance products and receive normal and customary commissions as a result of such a purchase. This presents a conflict of interest to the extent that she recommends the purchase of an insurance product which results in a commission being paid to her as an insurance agent. She spends 5% of her time on these activities.

Item 5 Additional Compensation

If someone who is not a client provides an economic benefit to Ms. Arnesen for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Ms. Arnesen's regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

Item 6 Supervision

We are required to explain how we supervise Ms. Arnesen, including how we monitor the advice Ms. Arnesen provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Ms. Arnesen's advisory activities on behalf of our firm.

Mr. Hartvigson, Chief Compliance Officer of our firm, supervises and monitors Ms. Arnesen's activities on a regular basis. Mr. Hartvigson reviews all outgoing correspondence for written financial advice that Ms. Arnesen provides to her clients. Please contact Mr. Hartvigson if you have any questions about Ms. Arnesen's brochure supplement at 866-417-5600.

**ITEM 1: COVER PAGE FOR
PART 2B OF FORM ADV:
BROCHURE SUPPLEMENT
DATED JANUARY 2020**

JAMES R. SIMONE

**RAINIER FINANCIAL GROUP, INC.
D.B.A.
RAINIER FINANCIAL GROUP**

**4022 STONE WAY N #100
SEATTLE, WA 98103**

FIRM CONTACT: GRANT E. HARTVIGSON, CHIEF COMPLIANCE OFFICER

FIRM WEBSITE ADDRESS: WWW.RAINIERFINANCIAL.COM

PHONE NUMBER: 206.417.5600

This brochure supplement provides information about Mr. Simone AND supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Hartvigson, Managing Partner and Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Simone is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

James R. Simone

Year of Birth: 1966

Formal Education:

- Bachelor of Arts Brown University 1988

Business Background (for the past 10 years):

- Rainier Financial Group, Inc., Financial Advisor, 11/2018 to Present
- LPL Financial, Registered Representative, 11/2018 to Present
- Ameriprise Financial Services, Inc., Financial Advisor, 03/2017 – 10/2018
- WHV Investments, Inc., Director of Research/Portfolio Manager, 01/2006 – 07/2016

Examinations and Professional Designations:

- Chartered Financial Analyst 06/1996
- Certified Financial Planner 12/2016
- 05/2017 - Series 7
- 06/2017 - Series 66
- 06/2017 – State of Washington Life Insurance License
- 06/2017 – State of Washington Health Insurance License

Item 3 Disciplinary Information

If there are legal or disciplinary events material to your evaluation of Mr. Simone, we are required to disclose all material facts regarding those events.

We have nothing to disclose in this regard.

Item 4 Other Business Activities

A. If Mr. Simone is actively engaged in any investment-related business or occupation, including if Mr. Simone is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading advisor (“CTA”), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

5. If a relationship between the advisory business and Mr. Simone’s other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

6. If Mr. Simone receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Mr. Simone receives. We must explain that this practice gives Mr. Simone an incentive to recommend investment products based on the compensation received, rather than on your needs.

Mr. Simone is a registered representative of LPL Financial ("LPL"), an SEC registered broker-dealer and FINRA member. He may offer securities and receive normal and customary commissions as a result of securities transactions. This presents a conflict of interest to the extent that Mr. Simone recommends that a client invest in a security which results in a commission being paid to him.

A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation adviser and/or our supervised persons may earn and may not necessarily be in the best interests of the client. To minimize the conflict, we have established a Code of Ethics described in Section 11 of the Firm Brochure.

- B. If Mr. Simone is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Mr. Simone's income or involve a substantial amount of Mr. Simone's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Mr. Simone's time and income, we may presume that they are not substantial.

Mr. Simone has nothing to report in this regard.

Item 5 Additional Compensation

If someone who is not a client provides an economic benefit to Mr. Simone for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Mr. Simone's regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

Item 6 Supervision

We are required to explain how we supervise Mr. Simone, including how we monitor the advice Mr. Simone provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Mr. Simone's advisory activities on behalf of our firm.

Mr. Hartvigson, Chief Compliance Officer of our firm, supervises and monitors Mr. Simone's activities on a regular basis. Mr. Hartvigson reviews all outgoing correspondence for written financial advice that Mr. Simone provides to his clients. Please contact Mr. Hartvigson if you have any questions about Mr. Simone's brochure supplement at 866-417-5600.