

Item 1 Cover Page

**SUPERVISED PERSON BROCHURE**  
FORM ADV PART 2B

Diane L. Metivier



THE PRIVATE CLIENT ADVISORY GROUP, LLC

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Manasquan, NJ 08736

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[diane@inspiringwomenfinancially.com](mailto:diane@inspiringwomenfinancially.com)

**Website:** [www.thepcag.com](http://www.thepcag.com)

This brochure supplement provides information about Diane Metivier and supplements The Private Client Advisory Group LLC brochure. You should have received a copy of that brochure. Please contact Diane Metivier if you did not receive the brochure or if you have any questions about the contents of this supplement.

Diane L. Metivier will not provide investment advice to New York clients. Additional information about Diane L. Metivier (CRD #4105692) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**MAY 10, 2021**

## **Supervised Person Brochure**

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### **Diane Metivier**

- Year of birth: 1963
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### **Item 2 - Educational Background and Business Experience**

#### Educational Background:

- Rutgers University/UMDNJ; Masters of Physical Therapy; 1991
- Roanoke College; Bachelor of Science – Biology; 1986

#### Business Experience:

- The Private Client Advisory Group LLC; Investment Advisor Representative; 03/2021-Present
  - LPL Financial LLC; Registered Representative; 02/2018-Present
  - Sole Proprietor; Owner Rental Property; 06/2003-Present
  - Diane Metivier, Sole Proprietor; Insurance Agent; 12/1999-Present
  - LPL Financial LLC; Investment Advisor Representative; 02/2018-03/2021
  - Invest Financial Corporation; Investment Advisor Representative/Registered Representative; 01/2013-02/2018
  - DVFG Advisors L.L.C.; Associate; 06/2005-02/2018
  - Cetera Advisor Networks LLC; Investment Advisor Representative/Registered Representative; 06/2008-01/2013
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### **Item 3 - Disciplinary Information**

- A. Ms. Metivier has never been involved in a criminal or civil action in a domestic, foreign or military court of competent jurisdiction for which she:
1. Was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. Is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. Was found to have been involved in a violation of an investment-related statute or regulation; or
  4. Was the subject of any order, judgement or decree permanently or temporarily enjoining, or otherwise limiting, him from engaging in any investment related activity, or from violating any investment-related statute, rule, or order.
- B. Ms. Metivier has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which she:
1. Was found to have caused an investment-related business to lose its authorization to do business; or the subject of an order by the agency or authority;

2. Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority  
(a) denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than \$2,500 on him.
- C. Ms. Metivier has never been the subject of a self-regulatory organization (SRO) proceeding in which she:
  1. Was found to have caused an investment-related business to lose its authorization to do business; or
  2. Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members, or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than \$2,500.
- D. Ms. Metivier has not been involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

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**Item 4 - Other Business Activities**

Diane Metivier has a financial affiliated business as an independent insurance agent. Approximately 5% of her time is spent on this activity. In addition, Ms. Metivier is a registered representative of LPL Financial LLC. Approximately 10% of her time is spent on this activity. She will offer Clients services from those activities. As an insurance agent and registered representative, she may receive separate yet typical compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent or registered representative of their choosing.

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**Item 5 - Additional Compensation**

Diane Metivier receives commissions on the insurance and broker/dealer products she sells. She does not receive any performance-based fees.

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**Item 6 - Supervision**

Mark Faccone is the Chief Compliance Officer of The PCAG. Mr. Faccone reviews Ms. Metivier's work through Client account reviews and quarterly personal transaction reports, as well as face-to-face and phone interactions. Mr. Faccone can be reached at [Mark.Faccone@thepcag.com](mailto:Mark.Faccone@thepcag.com) or 732-702-2844.

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**Item 7 - Requirements for State-Registered Advisors**

- A. Ms. Metivier has not been involved in any of the following:
  1. An award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500 involving any of the following:

- a) An investment or an investment-related business or activity;
  - b) Fraud, false statement(s) or omissions;
  - c) Theft, embezzlement or other wrongful taking of property;
  - d) Bribery, forgery, counterfeiting, or extortion;
  - e) Dishonest, unfair or unethical practices.
2. An award or otherwise been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
- a) An investment or an investment-related business or activity;
  - b) Fraud, false statement(s) or omissions;
  - c) Theft, embezzlement or other wrongful taking of property;
  - d) Bribery, forgery, counterfeiting, or extortion;
  - e) Dishonest, unfair or unethical practices.
- B. Ms. Metivier has never been the subject of a bankruptcy petition.