



## **Bauerle Financial Inc.**

### **Todd A. Bauerle, CFP®**

1265 Park Haven Place  
DeLand, FL 32724  
386-589-6348

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### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Todd A. Bauerle that supplements the Bauerle Financial, Inc. brochure. You should have received a copy of that brochure. Please contact Todd Bauerle, Chief Compliance Officer, at 386-589-6348 or [todd@bauerlefinancial.com](mailto:todd@bauerlefinancial.com) if you did not receive Bauerle Financial, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

## **Item 2 Educational Background and Business Experience**

Todd A Bauerle, CFP® was born in 1960.

### **Formal Post High School Education**

- Embry-Riddle University, BS in Aviation Management, 1982
- Certified Financial Planner™, CFP®
- Certified Financial Transitionist (CeFT®)

### **Business Background for the Previous Five Years**

- Bauerle Financial, Inc., Investment Adviser Representative, 1996 to present

### **Professional Certifications**

Employees have earned certifications and credentials that are required to be explained in further detail.

**Certified Financial Planners (CFP®)** are licensed by the CFP Board to use the CFP® mark.

CFP® certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP® Board ([www.cfp.net](http://www.cfp.net)).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successful pass of the Candidate Fitness Standards and background check.

CeFT® requirements:

- Must obtain one of following designations: Certified Financial Planner, Certified Investment Management Analyst, Certified Private Wealth Advisor, Chartered Financial Analyst, Chartered Financial Consultant, Certified Divorce Financial Analyst, or Certified Public Accountant/Personal Financial Specialist.
- Complete year-long program and pass day-long exam.

### **Item 3 Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to the client's evaluation of each supervised person providing investment advice. FINRA Dispute Resolution Arbitration Number 11-01845. James E. Johnson v. Bauerle Financial, Inc. and Todd Bauerle. Claimant requested compensatory damages of \$192,025. Claimant was awarded compensatory damages of \$7,500 on May 1, 2012; Claimant's requests for prejudgment interest and for punitive damages were denied. No sanctions were imposed against Todd Bauerle or Bauerle Financial, Inc.

Circuit Court of the Seventh Judicial Circuit in and for Volusia County, Florida, Case Number 2012-13065-CIDL. Estate of Marion K. Rusher v. Todd Bauerle and Bauerle Financial, Inc. Plaintiff filed a claim under the Florida Securities and Investors Protection Act, as well as common law claims, against Defendants. On November 30, 2012 Defendants filed a Motion to Dismiss the Complaint, arguing that the Complaint failed to comply with the Florida Rules of Civil Procedure and failed to plead its claims with particularity. Plaintiff did not file a response to the Motion to Dismiss. On April 21, 2014, Plaintiff and Defendants agreed to a Confidential Settlement Agreement. The Plaintiff voluntarily dismissed the case with prejudice.

The Company does not believe the foregoing matters are material to a client's or prospective client's evaluation of its advisory business or the integrity of its management. The Company and Mr. Bauerle deny these allegations and these matters were settled to avoid costly, burdensome and time-consuming litigation.

### **Item 4 Other Business Activities**

Mr. Bauerle acts as an independent consultant for Kairos Private Wealth, Inc. ("Kairos") a registered investment advisor. As part of Mr. Bauerle's role he provides advice to Kairos on how to retain their existing client base and lends his expertise on best practices for the firm. Mr. Bauerle also provides guidance to Kairos on economic and market conditions. Mr. Bauerle is compensated at a rate of \$250 an hour for services provided to Kairos.

Mr. Bauerle is the founder and owner of Bauerle Consulting, LLC. As part of this role Mr. Bauerle provides consulting services to other investment adviser professionals including independent investment advisory representatives.

### **Item 5 Additional Compensation**

Mr. Bauerle does not receive any compensation outside of the activities disclosed in Item 4 above.

## **Item 6 Supervision**

As the CCO, Mr. Bauerle is his own supervisor. Todd Bauerle can be contacted at 386-589-6348 or [todd@bauerlefinancial.com](mailto:todd@bauerlefinancial.com).