

DOYENNE WEALTH ADVISORS LLC

Form ADV Part 2A and 2B
Effective November 28, 2021

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Form ADV Part 2A (the “Brochure”) and Form ADV Part 2B (the “Brochure Supplement”) provide information about the qualifications and business practices of Doyenne Wealth Advisors LLC (the “Firm”, “we”, “us”, or “our”).

If you have any questions about the contents of this Brochure or Brochure Supplement, please contact the managing director listed above. The information in this Brochure and Brochure Supplement has not been approved or verified by the United States Securities and Exchange Commission (SEC) or by any state securities authority. Additional information about the Firm is also available on the SEC’s website at

www.adviserinfo.sec.gov

Please note that any reference to or use of the terms “registered investment advisor” or “registered” in this document does not imply that the Firm has achieved a certain level of skill or training.

Item 2: Material Changes

This version of Form ADV Part 2 contains the following material updates with additional details in these sections:

Advisory Services

- Description of financial counseling services and additional customized projectR services
- Description of tailored client relationships

Fees and Compensation

- Fees customized to client based on multiple factors
- Refund of fees at termination

Investment Strategies

- Additional detail about strategies, including private investment vehicles and concentrated stock

Brokerage Services

- Additional regarding choice of custodians and broker-dealers
- Description of potential conflicts of interest

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Item 4: Description of Our Advisory Business

Doyenne Wealth Advisors LLC was established in 2021 to provide customized wealth advisory services for high-net-worth individuals and families. The Firm is owned and controlled by five owners who have extensive experience in delivering custom advisory services to high-net-worth clients:

- Mary Claire Allvine
- Kristin Balon
- Kate Donaldson
- Anne Petty
- Laura Stern

All five owners have worked together since 2015, while two out of the five have worked together more than 20 years as principals in a registered investment advisory firm.

Advisory Services

The Firm provides personalized financial counseling and non-discretionary investment advisory services on a fee-only basis to individuals, high net worth individuals (i.e., investment assets in excess of \$5 million), trusts, estates, private foundations, endowments, and senior corporate executives. In addition, the Firm may provide an ad-hoc or project-based consultation to a client on an hourly basis if such consultation is appropriate under the circumstances.

The Firm does not receive commissions, finder's fees, or remuneration from the sales of securities or other financial products, including but not limited to annuities, insurance, stocks, bonds, mutual funds, and limited partnerships. Furthermore, the Firm is not affiliated with entities that sell financial products or securities. Other professionals (e.g., lawyers, accountants, insurance agents) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client in the unlikely event they arise.

Financial counsel and investment advice furnished to individuals, high net worth individuals, trusts, estates, private foundations, endowments, qualified retirement plans, and senior corporate executives are provided through consultation with the client and may include: determination of financial objectives, identification of financial obstacles, cash flow analysis, insurance review, education funding, and retirement and estate counseling. The primary advisor to a client is an owner of the firm, who provides investment recommendations to the client, with the client making the final decision on investment selection. As a non-discretionary advisor, the Firm will only execute trades for clients with the client's prior written authorization.

Tailored Relationships

The Firm's financial counsel and investment advice is customized and tailored to the unique goals, objectives, and needs of each client. The initial meeting with a prospective client, which may be conducted by telephone, is free of charge and is considered an exploratory interview to determine the

extent to which the financial counseling and investment advisory services provided by the Firm may be beneficial to the prospective client.

At the outset of the Firm-client relationship, we conduct an in-depth discovery of the client's goals, objectives, and attitudes based on information provided by the client. The advisor then generates a written evaluation of the client's current financial situation, often with an accompanying net worth statement. Such written evaluation also includes stated objectives and specifications for the client that reflect the client's overall recommended financial and investment program. This investment program is personalized to each client, incorporating and adapting to any applicable client-imposed restrictions. Periodic reviews are conducted and reassessed over the course of the client engagement to determine and execute the Firm's recommended course of action. (See additional information in section "Review of Accounts".)

Wrap Fee Program

We do not participate in wrap fee programs.

Assets Under Management

Doyenne Wealth Advisors LLC is in process of commencing operations on 1/1/22. At the current time, we do not have any assets under management.

Item 5. Fees and Compensation

Annual Fee

Fees may be negotiated with clients based upon a number of factors including, without limitation, the duration of the relationship with the client, the scope and nature of the services provided, and the specific characteristics of the client.

Depending on factors such as those listed above, the base fee that the Firm charges its clients typically varies from 0.15% to 1.00% of assets under management. This fee rate is generally lower for clients with higher amounts of assets under the Firm's management and higher for clients with lower amounts of assets under the Firm's management; however, other factors such as those listed above will also influence the negotiation and determination of pricing.

On a case-by-case basis, the Firm and the client may agree to additional fees beyond the base fee for projects outside the scope of services the Firm performs in typical client engagements. In all cases, the services to be provided and the fee(s) for those services are agreed upon in writing in advance with the client.

In the event a client's relationship with the Firm terminates, the Firm will automatically refund the client any prepaid fees for services not yet rendered. Such refund will be calculated on a daily, prorated basis

as of the termination date, and will be based upon the ratio of remaining days in the billing period to total days in the billing period.

Billing

We send fee invoices to our clients semi-annually, in advance, on a calendar year basis. Clients are not required to pay fees six months or more in advance. Clients may elect to pay the fee by:

- authorizing Doyenne Wealth Advisors LLC to deduct fees directly from clients' designated brokerage account(s) or
- sending payment via check or wire transfer.

To authorize a fee deduction, clients must execute and deliver to their custodian a written fee payment withdrawal authorization ("Withdrawal Authorization" or "Authorization to Pay Fees to Investment Advisors"), which will authorize withdrawal of the agreed-upon fee and permit clients to terminate the fee deduction authorization at any time. Clients will receive an invoice for services no fewer than seven days prior to fee withdrawal. The invoice will specify the fee owed by the client for a particular period of service, provide a method for objecting to the invoiced amount, and indicate the date payment is due. The custodian will provide clients with a monthly or quarterly statement indicating separate line items for all amounts disbursed from client accounts.

In the event of client termination, the fee refund will be pro-rated for the number of days of service during that period, based on a 360-day year.

Except for our annual fee, Doyenne Wealth Advisors LLC does not charge or accept any other form of compensation or revenue of any kind.

- Because we recommend only no-load funds, there are no other sales charges.
- Because we are not affiliated with any broker, clients are free to choose their custodian or broker in order to reduce transaction costs.

Other Expenses

Other expenses may be incurred depending on the choice of fund, broker and/or custodian. Expenses may include (but not limited to) transaction fees, IRA fees, and any custodian expenses such as alternative investment fees or platform fee. Typically, there will be a transaction fee or commission involved in purchasing investments. In addition, mutual funds and exchange-traded funds include embedded expenses such as management fees, administrative expenses, and trading costs.

Item 6: Performance-based Fees

We do not employ performance-based fees of any kind.

Item 7: Types of Clients

We offer investment advisory services primarily to high-net-worth individuals and their families. Client assets under management may also include related entities such as charitable funds, foundations, and special trusts.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Investment Strategies

Overall investment strategies recommended to each client tend to emphasize long-term investment in a diversified portfolio of marketable and non-marketable investments. Strategies are designed to consider and mitigate the impact of taxes, inflation, and fees.

The Firm generally recommends broad diversification via a long-term asset allocation strategy. More specifically, we may recommend multiple asset classes (both liquid and illiquid), market capitalizations, market styles, and geographic regions to provide diversification.

Client portfolios with similar investment objectives and asset allocation goals may own different securities and investments. The client's portfolio size, tax sensitivity, desire for simplicity, long-term wealth transfer objectives, time horizon, and choice of custodian are all factors that may influence the Firm's investment recommendations.

Each portfolio maintains a long-term target asset allocation strategy. At each periodic review/meeting, the Firm reviews with the client the extent to which the actual allocation matches the target allocation. When we consider the variance excessive, the advisor will provide recommendations to the client to bring the actual allocation within an acceptable range of the target. This process, known as "rebalancing," offers a systematic and disciplined way to trim investment classes that have been in favor and redeploy capital to assets classes that have been out of favor.

Investment advice given to clients often includes recommending long-term purchases/holds. However, other investment strategies that may also be recommended include short-term purchases, margin transactions, and options (including buying puts or selling covered calls).

Marketable investment vehicles recommended by the Firm primarily include no-load mutual funds and exchange-traded funds (ETFs). The Firm may also recommend separately managed accounts as appropriate. Recommended asset classes and sectors may include but are not limited to: domestic

equities, foreign equities, warrants, corporate debt securities, commercial paper, certificates of deposit, municipal securities, and U.S. government securities.

Mutual fund and ETF recommendations are developed with the objective of selecting a well-diversified fund, or group of funds, with historical performance and historical volatility (risk) determined to be appropriate for each client. Recommendations of mutual funds and ETFs are made based on data provided by various sources, including both internal and third-party research and analytics.

The Firm may also advise clients who are corporate officers or employees of publicly traded companies on the merits of and strategies for diversifying large holdings of shares of their employer's stock and on other forms of compensation which may be payable in their employer's stock.

The Firm periodically recommends third-party sponsored private investment vehicles that are not available to the broad public. These private investment vehicles may include direct private equity and credit funds, diversified hedge funds, hedge fund of funds, private investment real estate funds, diversified leveraged buyout fund of funds, distressed opportunities fund of funds, and venture capital fund of funds.

Virtually every private investment is unique and requires a careful evaluation of the specific investment offering. Evaluation of privately negotiated investments and limited partnerships of all varieties are based on an in-depth, fundamental evaluation of the business, management, markets, risks, liquidity, tax considerations, and other factors affecting the economic and investment viability of each individual venture. The Firm relies on consultants, appraisers, accountants, lawyers, etc. as necessary for specialized assistance.

The Firm does not represent, imply, or guarantee that the services or methods of analysis used by the Firm to make investment recommendations can or will produce profitable results, successfully identify market peaks or troughs, or insulate clients from losses due to market corrections or crashes. No guarantees can be offered that a client's goals or objectives will be achieved. Past performance is not an indication or guarantee of future results.

Clients are advised that the recommendations offered by the Firm are not legal or tax advice. Clients are advised to promptly notify the Firm with respect to any changes in their financial situation and/or financial goals and objectives. Failure to do so could result in our recommendations not meeting the objectives and/or needs of the client.

Risk of Loss

All investments and investment programs have a variety of risks that are borne by the investor. As such, there can be no assurance that any investment strategy will prove profitable or successful. Below is a summary of the most common material risks associated with the investment strategies that the Firm typically recommends:

- **Interest-Rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic, and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This risk is that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e., interest rate). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil production companies depend on the lengthy process of finding, extracting, transporting, and then selling oil before they can generate a profit. As a result, an oil production company carries a higher risk of profitability than an electric utility company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not. Only investors who are financially able to maintain their investment without a need for immediate liquidity should consider investing in illiquid investments.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.
- **Regulatory/Legislative Developments Risk:** Regulators and/or legislators may promulgate rules or pass legislation that places restrictions on, adds procedural hurdles to, affects the liquidity of, and/or alters the risk associated with certain investment transactions or the securities underlying such investment transactions. Such rules/legislation could affect the performance associated with those investment transactions.

Prior to entering into a relationship with the Firm, a prospective client should carefully consider:

1. Investing in securities involves risk of loss which clients should be prepared to bear;

2. Securities markets experience varying degrees of volatility, which can become extreme in periods of severe market decline;
3. Over time assets will fluctuate and at any time may be worth more or less than the amount invested; and,
4. Whether their assets are available for investment on a long-term basis (typically 2 to 5 years or longer).

Item 9: Disciplinary Information

Neither the Firm, nor the employees and owners of Doyenne Wealth Advisors LLC, have any events to disclose.

Item 10: Other Financial Affiliations

Doyenne Wealth Advisors LLC operates as a completely independent firm. We have no related persons, affiliations or related businesses of any kind to disclose.

Item 11: Code Of Ethics, Transactions and Personal Trading

Code of Ethics

According to our Firm's Code of Ethics, which is available to clients, at no charge, upon request, we avoid material potential conflicts of interest or disclose any such conflicts of interest to our clients.

The owners and employees of our Firm may invest for their own proprietary accounts. As our investment recommendations are intended to meet the needs of specific clients, the investment recommendations to clients could be different from, or similar to, investments made on behalf of accounts for any principal or employee of our Firm.

Transactions

As noted above in "Other Financial Affiliations", our Firm is completely independent without any related persons or affiliations. Therefore, we experience no impact on transactions or trading from related parties.

We do not have any material ownership interest in any securities.

Because we recommend only pooled fund vehicles such as mutual funds and exchange-traded funds, there is no potential impact on pricing or timing of client transactions from personal trading by our employees or principals. Nevertheless, we maintain a Restricted Securities list and track personal trading on a quarterly basis to avoid any potential conflict or other violations of our Code of Ethics and/or applicable regulations.

Item 12: Brokerage Practices

Clients are free to choose their own brokers or custodians. The Firm does not require clients to utilize any particular broker-dealer or custodian. Clients will often request recommendations and the firm will generally recommend brokerage firms and/or brokers known to them for the client's consideration. Brokerage firm recommendations are based upon such factors as the brokerage firm's general reputation, the quality of prior service provided to clients or others known to the Firm, the brokerage firm's financial strength, the estimated cost and convenience to the client, and/or the brokerage firm's special expertise in areas such as tax-free bonds, etc.

Custodians typically do not charge Firm clients separately for custody. However, they may receive compensation from Firm clients through interest earned on non-invested cash balances and/or transaction fees on certain securities trades. While these transaction fees may be higher or lower than those charged by other broker-dealers, the transaction fees charged by the institutional custodians that cater to independent financial advisors are discounted rates that are often lower than the rates available to the general public. The Firm does not share in interest earned, transaction fees, commissions, or any other fees charged by our clients' broker-dealers or custodians.

The owners and employees of our Firm may invest for their own proprietary accounts. As our investment recommendations are intended to meet the needs of specific clients, the investment recommendations and transactions for clients could be different from, or similar to, investments made on behalf of accounts for any principal or employee of our Firm.

Because we manage our client accounts on a non-discretionary basis (see "Investment Discretion" section below), we do not have authority to place trades for our clients. Therefore, we are not able to direct trades to any specific brokerage firm and there is no economic benefit earned by the Firm in the form of "soft dollars," where brokerage firms sometimes provide research or other products for the benefit of investment advisors.

The vast majority of our purchase/sale transactions consist of mutual funds and exchange-traded funds. Individual securities (e.g., stocks and bonds) are not specifically incorporated in our recommended strategies, but clients may retain individual securities to maintain asset class exposure. Since there is no economic advantage, we do not aggregate transactions in trading.

The Firm does not receive any referrals of prospective clients from brokerage firms or other parties.

Most often, we will recommend a nationally-recognized discount broker-dealer such as Charles Schwab.

Soft Dollar Benefits

The Firm derives operational efficiencies and certain economic benefits (otherwise known as “soft dollar benefits”) from our clients’ selection of these broker-dealers. Specifically, the custodian or broker-dealer may make available to the Firm products and services that we may use to provide our services to all or a substantial number of our clients’ accounts, such as the following:

- access to client accounts, statements, confirmations, and tax reports;
- facilitation of trade execution for client-authorized transactions;
- assistance with recordkeeping and client reporting;
- access to quotes, pricing, and other market data;
- access to back office support personnel exclusively for investment advisor clients;
- access to "institutional" mutual funds that are otherwise generally available only to institutional investors, or would require a significantly higher minimum initial investment;
- facilitation of fee payment of the Firm’s fees from client accounts, as authorized by the client.

The custodian or broker-dealer may also give the Firm discounts on portfolio accounting and performance reporting software, which may or may not benefit the Firm’s clients directly. In addition they may make available to the Firm various other services intended to help the Firm manage and further develop its business enterprise. These services have included technological support as well as training webinars and presentations regarding such topics as practice management, investment recommendations, and regulatory compliance, which in some cases may be rendered by independent third parties to the Firm. The custodian or broker-dealer may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to the Firm.

The Firm, as a fiduciary, endeavors to act in its clients’ best interests. That said, the Firm’s recommendation or suggestion that clients maintain their assets in accounts at Charles Schwab or a similar custodian or broker-dealer may be based in part on the benefit to the Firm of the availability of some of the foregoing products and services and not solely on the nature, cost, or quality of custody and brokerage services; thus our recommendation or suggestion may create a potential conflict of interest.

Item 13: Review of Accounts

Each advisor conducts comprehensive financial reviews for our clients. Typically, each client receives a minimum of one annual review per year, while most clients usually receive multiple reviews per year.

Periodically, typically every 3-4 months, we meet with our clients and deliver a baseline asset report that includes asset allocation, holdings, and fund performance. Reports may include periodically customized analysis, such as a cash flow report or asset projections.

Item 14: Client Referrals and Other Compensation

The only source of our economic compensation of any kind is generated through our annual client fee, as discussed above in the “Fees and Calculation” section. No other relationships provide any other economic benefit, nor do we pay any kind of compensation to individuals or firms, for referrals of prospective clients.

Item 15: Custody

Doyenne Wealth Advisors LLC does not take custody of client accounts in any way, explicit or implicit.

Item 16: Investment Discretion

Our business model for Doyenne Wealth Advisors LLC is strictly founded on non-discretionary asset management. We do not have discretionary authority of any kind.

Item 17: Voting Client Securities

Doyenne Wealth Advisors LLC does not accept authority to vote proxies for clients. Accordingly, we do not need to establish a policy for voting proxies. The client custodian sends information about such votes directly to the client.

Item 18: Financial Information

We are not required to include additional financial disclosure, because our Firm does not:

- A. Require payment of fees in advance of six months;
- B. Take custody of assets in any way;
- C. Exercise discretionary authority.

Form ADV Part 2B: Brochure Supplement

This Brochure Supplement provides information about the principals of Doyenne Wealth Advisors LLC that supplements the Firm's Brochure (Form ADV Part 2A). Please contact the principal listed on the cover page if you have any questions about the contents of this Supplement.

Professional Certifications

Some employees of the Firm have earned certifications and credentials that are required to be explained in further detail.

CERTIFIED FINANCIAL PLANNER™ professional

CFP® professionals are licensed by the CFP Board to use the CFP® mark. CFP® certification requirements include:

- Bachelor's degree from an accredited college or university
- Completion of the financial planning education requirements set by the CFP Board
- Successful completion of the CFP® Certification Exam
- Two to three years of qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check

Additionally, all CFP® professionals are required to comply with the CFP Board's Code of Ethics and Standards of Conduct. The CFP Board's Code and Standards establish extremely detailed and rigorous requirements for CFP® professionals. The CFP Board's Code and Standards are designed to set high standards of competency and ethics, mandating that CFP® professionals uphold the principles of integrity, objectivity, competence, fairness, and confidentiality. Requirements of the CFP Board's Code and Standards include, but are not limited to:

- Acting with honesty, integrity, competence, and diligence
- Acting in the client's best interests
- Exercising due care
- Avoiding or disclosing and managing conflicts of interest
- Maintaining the confidentiality and protecting the privacy of client information
- Acting in a manner that reflects positively on financial planning profession and CFP® certification

Additional information about the CFP® certification, the CFP Board's oversight of adherence to the Code and Standards, and potential limitations of such oversight can be found at www.cfp.net.

Chartered Financial Analyst® designation:

CFA® charterholders are licensed by the CFA Institute to use the CFA® mark. The CFA® charterholder requirements include:

- Bachelor's degree from an accredited institution or the equivalent education or work experience
- Successful completion of all three exam levels of the CFA® Program
- 48 months of acceptable professional work experience in investment decision-making process
- Fulfill society requirements, which vary by society, but typically include two sponsor statements as part of each application
- Agree to, adhere to, and sign the Member's Agreement, a Professional Conduct Statement, and any additional documentation requested by CFA Institute

Additionally, all CFA® charterholders must abide by the CFA Institute Code of Ethics and Standards of Conduct. The CFA Institute Code and Standards address topics such as professionalism, integrity of capital markets, duties to clients, investment analysis and recommendations, duties to employers, conflicts of interest, and responsibilities as a CFA Institute member. The requirements of the CFA Institute Code and Standards include, but are not limited to:

- Acting with integrity, competence, diligence, respect and in an ethical manner with participants in the global capital markets
- Placing the integrity of the investment profession and the interests of clients above their own personal interests
- Using reasonable care and exercising independent professional judgment when engaging in professional activities
- Practicing and encouraging others to practice in a professional and ethical manner
- Promoting the integrity and viability of the global capital markets
- Maintaining and improving their professional competence

Additional information about the CFA® designation, the CFA Institute's oversight of adherence to the Code and Standards, and potential limitations of such oversight can be found at www.cfainstitute.org.

BIOGRAPHIES

The following pages contain background information and professional experience of the principals of Doyenne Wealth Advisors LLC:

1. Mary Claire Allvine
2. Kristin Balon
3. Katherine Donaldson
4. Anne Petty
5. Laura Stern

MARY CLAIRE ALLVINE, CFP®

Education:

- Born 1968
- Princeton University, Princeton, NJ – AB
- University of Chicago Graduate School of Business, Chicago, IL – MBA

Business Experience:

- 11/96 – 12/21: Brownson, Rehmus & Foxworth, Inc.

Principal and Director Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: For client advice and management roles, Mary Claire is supervised by the Firm's Chief Compliance Officer, Laura Stern.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

KRISTIN LEE BALON, CFP® (CRD # 4956823)

Education:

- Born 1981
- University of Michigan, Ann Arbor, MI – BBA
- Kellogg School at Northwestern University, Chicago, IL – MBA

Business Experience:

- 8/03 – Present: Brownson, Rehmus & Foxworth, Inc. – Lead Advisor

Principal and Director Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: For client advice and management roles, Kristin is supervised by the Firm's Chief Compliance Officer, Laura Stern.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

KATHERINE TARA DONALDSON, CFP®

Education:

- Born 1971
- Northwestern University, Evanston, IL – BM
- University of Michigan, Ann Arbor, MI – MM

Business Experience:

- 12/00 – 12/21: Brownson, Rehms & Foxworth, Inc. – Principal

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: For client advice and management roles, Katherine is supervised by the Firm's Chief Compliance Officer, Laura Stern.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

ANNE ROESNER PETTY, CFP® (CRD # 4643925)

Education:

- Born 1982
- University of Michigan, Ann Arbor, MI – BA

Business Experience:

- 09/15 – Present: Brownson, Rehms & Foxworth, Inc. – Lead Advisor
- 2013 – 2015: Financial Solutions Advisory Group, Relationship Manager and Financial Planner
- 2008 – 2012: A. Robert Taylor Financial, Associate Financial Planner
- 2007: A.G. Edwards, Intern

Principal and Director Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: For client advice and management roles, Anne is supervised by the Firm's Chief Compliance Officer, Laura Stern.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

LAURA NAUJOKAS STERN, CFA, CFP®

Education:

- Born 1958
- University of Chicago, Chicago, IL – BA
- Kellogg School at Northwestern University, Chicago, IL – MBA

Business Experience:

- 6/14 – 12/21: Brownson, Rehmus & Foxworth, Inc. – Principal
- 9/01 – 7/12: Prudential Retirement Services – Vice President, Investment Advisory Services

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Supervision: For client advice and management roles, Laura is supervised by the Firm's CEO, Mary Claire Allvine.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None