

**Diversified Portfolio Management, LLC  
d/b/a Heritage Financial Solutions, LLC**

**Form ADV Part 2B  
Investment Adviser Brochure Supplement**

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**Supervisor and Supervised Person: Amber Wallis**

August 2023

This Brochure Supplement provides information about the Firm's ("we," "us," "our") employees that supplements our Brochure. You should have received a copy of that Brochure. Please contact Amber Wallis, Chief Compliance Officer at (620) 471-2020 or [amber.wallis@lpl.com](mailto:amber.wallis@lpl.com) if you did not receive our Brochure or if you have any questions about the contents of this Supplement.

Additional information about our employee(s) referenced above is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may search this site using a unique identifying number, known as a CRD number for each employee.

## Item 2: Educational Background and Business Experience

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### **Supervised Person**

***Amber Wallis***

Born 1975

**CRD #: 4442102**

### **Business Background:**

Diversified Portfolio Management, LLC

Chief Compliance Officer

2020 to Present

Member

2013 to Present

William Hayden Wealth Management, LLC

2017 to Present

Member

LPL Financial

2014 to Present

Registered Representative and Insurance Agent

### **Formal Education after High School:**

Dodge City Community College

## Item 3: Disciplinary Information

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Neither Heritage Financial Solutions, LLC nor any Supervised Persons have been involved in any activities resulting in a disciplinary disclosure.

## Item 4: Other Business Activities

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As disclosed in Form ADV Part 2A, Item 10, Other Financial Industry Activities and Affiliations, the Firm's Management Persons and other Supervised Persons are registered representatives of LPL Financial. This relationship creates a material conflict of interest with clients. Commissions vary from product to product and create a conflict of interest between the stockbroker's own interests and those of the client. Clients will be made aware when a Supervised Person is acting as a registered representative and will be informed of any fees or commissions that will result from such transactions, should the client decide to utilize such services.

LPL Financial has access to certain confidential information (e.g., financial information, investment objectives, transactions and holdings) about our clients, even if the client does not establish any account through LPL Financial. If you would like a copy of the LPL Financial privacy policy, please contact Amber Wallis.

Also, Investment Adviser Representatives (IARs) of the Firm may be licensed insurance agents or brokers and may be appointed with several insurance companies. They may earn separate compensation for transactions implemented through various insurance companies. Clients are not obligated to use any company for insurance product purchases and may work with any insurance

agent they choose. Insurance compensation will be separate and distinct from investment advisory fees charged by us.

Amber Wallis also acts as a Notary Public in the State of Kansas.

## **Item 5: Additional Compensation**

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Amber Wallis may receive from LPL bonuses based on her production, awards of stock, options to purchase shares of LPL's parent company, LPL Investment Holdings, Inc., and other things of value such as free or reduced-cost marketing materials, attendance at LPL's national conference or top producer forums and events. These types of compensation from LPL may be based on Amber Wallis' overall business production and/or on the amount of assets serviced by her in LPL advisory programs. This means that Amber Wallis may have a financial incentive to recommend an advisory program over other programs and services.

## **Item 6: Supervision**

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Amber Wallis, Chief Compliance Officer supervises all persons named in this Form ADV Part 2B Investment Adviser Brochure Supplement. Amber Wallis may be reached at (620) 471-2020.

All supervised persons are in one location. Periodic staff, investment and ad hoc meetings are held. Reports are prepared and reviewed each quarter. Review of client and personal trading. Ad hoc reviews of portfolios.