



Irvine Wealth Planning Strategies, LLC

DBA Rooted Planning Group

10 East Market Street

Corning, NY 14830

**Form ADV Part 2B – Brochure Supplement**

(607) 438-2761

Dated November 15, 2023

This Brochure provides information about the qualifications and business practices of Rooted Planning Group, "RPG". If you have any questions about the contents of this Brochure, please contact us at (607) 438-2761.

Rooted Planning Group is an SEC registered Investment Adviser with our primary compliance office located within the State of New York. The information in this Disclosure Brochure has not been approved or verified by the U.S. Securities and Exchange Commission ("SEC") or by any state securities authority. Registration of an Investment Adviser does not imply any level of skill or training. Additional information about IWPS dba RPG is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) which can be found using the firm's identification number 284120.



Form ADV Part 2B – Brochure Supplement  
**Amy Irvine**  
**CRD #4868740**

Financial Planner, Principal, and Chief Compliance Officer

Dated November 15, 2023

This brochure supplement provides information about Amy Irvine that supplements the Rooted Planning (RPG) brochure. A copy of that brochure precedes this supplement. Please contact Amy Irvine if the Part 2A brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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

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

Born: 1972

**Educational Background**

- 2011 – Master's Degree in Personal Finance, College for Financial Planning
- 2005 – Bachelors of Business Administration in Financial Planning - SUNY Alfred
- 1992 – Associate's Degree in Accounting - SUNY Alfred

**Business Experience**

- 05/2016 – Present, Irvine Wealth Planning Strategies, LLC DBA Rooted Planning Group Principal and CCO
- 03/2015 – 09/2016, Pinnacle Financial Wealth Management LLC, CCO
- 06/2011 – 05/2015, Burns Matteson Capital Management LLC, CCO
- 05/2006 – 04/2011, Raymond James Financial Services, Branch Management/Financial Advisor
- 08/2005 – 05/2006, MetLife, Financial Advisor



## Professional Designations, Licensing & Exams

**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 68,000 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:

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- 
- **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.

### **Enrolled Agent**

An Enrolled Agent (EA) is a federally-authorized tax practitioner who has technical expertise in the field of taxation and who is empowered by the U.S. Department of the Treasury to represent taxpayers before all administrative levels of the Internal Revenue Service for audits, collections, and appeals. “Enrolled” means to be licensed to practice by the federal government, and “Agent” means authorized to appear in the place of the taxpayer at the IRS. Only Enrolled Agents, attorneys, and CPAs may represent taxpayers before the IRS. The Enrolled Agent profession dates back to 1884 when, after questionable claims had been presented for Civil War losses, Congress acted to regulate persons who represented citizens in their dealings with the U.S. Treasury Department.

The license is earned in one of two ways, by passing a comprehensive examination which covers all aspects of the tax code, or having worked at the IRS for five years in a position which regularly interpreted and applied the tax code and its regulations. All candidates are subjected to a rigorous background check conducted by the IRS.

Enrolled Agents advise, represent, and prepare tax returns for individuals, partnerships, corporations, estates, trusts, and any entities with tax-reporting requirements. Enrolled Agents’ expertise in the continually changing field of taxation enables them to effectively represent taxpayers audited by the IRS.

The IRS Restructuring and Reform Act of 1998 allow federally authorized practitioners (those bound by the Department of Treasury Circular 230 regulations) a limited client privilege. This



privilege allows confidentiality between the taxpayer and the Enrolled Agent under certain conditions. The privilege applies to situations in which the taxpayer is being represented in cases involving audits and collection matters. It is not applicable to the preparation and filing of a tax return. This privilege does not apply to state tax matters, although a number of states have an accountant-client privilege.

In addition to the stringent testing and application process, the IRS requires Enrolled Agents to complete 72 hours of continuing professional education, reported every three years, to maintain their Enrolled Agent status. Because of the knowledge necessary to become an Enrolled Agent and the requirements to maintain the license, there are only about 46,000 practicing Enrolled Agents.

Only Enrolled Agents are required to demonstrate to the IRS their competence in matters of taxation before they may represent a taxpayer before the IRS. Unlike attorneys and CPAs, who may or may not choose to specialize in taxes, all Enrolled Agents specialize in taxation. Enrolled Agents are the only taxpayer representatives who receive their right to practice from the U.S. government (CPAs and attorneys are licensed by the states).

Enrolled Agents are required to abide by the provisions of the Department of Treasury's Circular 230, which provides the regulations governing the practice of Enrolled Agents before the IRS. NAEA members are also bound by a Code of Ethics and Rules of Professional Conduct of the Association.

**Certified College Financial Consultant (CCFC)** is a professional designation obtained from the [American Institute of Certified College Financial Consultants](http://www.AmericanInstituteofCertifiedCollegeFinancialConsultants.com).

Program Learning Objectives:

- Education Funding
- Financial Aid Advising
- Education Tax Deduction and Credit Planning
- Education Loan Advising
- Education Planning for High Net Worth Individuals
- Education Planning for Business Owners
- Education Planning for Divorced and Divorcing Couples
- Education Planning for Grandparents
- Academic and Admissions Planning

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**Master Planner Advanced Studies ("MPAS®")** is offered to the Master of Science Degree graduates from the College for Financial Planning.

Program Learning Objectives:

- The program consists of 36-43 semester credits and delves deeply into personal financial planning or investment-related content using research-based coursework and real-world case studies.
- Graduates of the program are required to demonstrate critical thinking skills and complex problem-solving techniques.
- Additionally, individuals must complete assignments, projects, research, and papers and meet all graduation requirements for the Master of Science degree.
- All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.
- Designees renew their designation every two-years by completing 40 hours of content-specific continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

### Item 3: Disciplinary Information

None

### Item 4: Other Business Activities

#### **Savvy Ladies**

Ms. Irvine volunteers for the free financial helpline of Savvy Ladies. Ms. Irvine does not receive compensation for the services she provides; she spends approximately two (2) hours per month in this capacity. This outside business activity is not connected to Rooted Planning Group

#### **Heritage Village of the Southern Finger Lakes**

Ms. Irvine is a Board Member for Heritage Village of the Southern Finger Lakes, which is not investment related in nature. Ms. Irvine does not receive any form of compensation for the services she provides for the Heritage Village of the Southern Finger Lakes, and spends five (5) hours a month in this capacity. This outside business activity is not connected to Rooted Planning Group.

#### **Fund for Women of the Southern Tier**

Ms. Irvine is a Committee Member for the Fund for Women of the Southern Tier, which is not investment related in nature. Ms. Irvine does not receive any form of compensation for the services she provides for the Fund for Women of the Southern Tier, and spends one (1) hour a month in this capacity. This outside business activity is not connected to Rooted Planning Group.

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#### **ARTS Council of the Southern Finger Lakes**

Ms. Irvine is a Committee Member for the Endowment Fund for the ARTS Council of the Southern Finger Lakes, which is not investment related in nature. Ms. Irvine does not receive any form of compensation for the services she provides for the ARTS Council of the Southern Finger Lakes, and spends one (1) hour a month in this capacity. This outside business activity is not connected to Rooted Planning Group.

#### **Cooperstone Master Association Board Member**

Ms. Irvine is a Board Member for the Cooperstone Master HomeOwners Association, which is not investment related in nature. Ms. Irvine does not receive any form of compensation for the services she provides, and spends four (4) hours a month in this capacity. This outside business activity is not connected to Rooted Planning Group.

#### **National Association of Personal Financial Planners (NAPFA)**

Ms. Irvine is a Board Member for the NAPFA, which is not investment related in nature. Ms. Irvine does not receive any form of compensation for the services she provides, and spends five (5) hours a month in this capacity. This outside business activity is not connected to Rooted Planning Group.

#### **Item 5: Additional Compensation**

Amy Irvine does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RPG.

#### **Item 6: Supervision**

Amy Irvine, as Principal and Chief Compliance Officer of IWPS dba RPG, is responsible for supervision. She may be contacted at the phone number on this brochure supplement.



## Form ADV Part 2B – Brochure Supplement

**Katrina M. Welker**

**CRD #5002125**

### Financial Planner

Dated November 15, 2023

This brochure supplement provides information about Katrina M. Welker that supplements the Rooted Planning Group (RPG) brochure. A copy of that brochure precedes this supplement. Please contact Amy Irvine, Principal and Chief Compliance Officer if the Part 2A brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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

### Item 2: Educational Background and Business Experience

Born: 1983

#### **Educational Background**

- 2003 - AAS Liberal Arts - Humanities - SUNY Alfred
- 2005 – Bachelors of Business Administration in Financial Planning - SUNY Alfred

#### **Business Experience**

- 02/2018 – Present, Irvine Wealth Planning Strategies, LLC DBA Rooted Planning Group Financial Planner
- 11/2010 - 01/2018 - HD Vest Investment Services
- 08/2008 - 04/2009 - Cadaret, Grant & Co, Inc, Principal and Financial Planner
- 10/2006 - 09/2008 - Cambridge Investment Research, Principal and Financial Planner
- 08/2005 – 07/2006 - Metlife, Financial Advisor



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- **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:



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- **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.

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### Item 3: Disciplinary Information

None

### Item 4: Other Business Activities

#### **Alzheimer & Evarts Tax Accounting**

Ms. Welker serves as a tax preparer and consultant. Ms. Welker does receive compensation for the services she provides in a fee only nature; she spends approximately fifteen (15) hours per week in this capacity. This service is offered outside of Rooted Planning Group.

### Item 5: Additional Compensation

Katrina does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RPG.

### Item 6: Supervision

Katrina is supervised by Amy Irvine, as Principal and Chief Compliance Officer of IWPS dba RPG. Amy may be contacted at the phone number on this brochure supplement.



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## Form ADV Part 2B – Brochure Supplement

**Kerrie Beene**

**CRD #6583599**

### Financial Planner

Dated November 15, 2023

This brochure supplement provides information about Kerrie Beene that supplements the Rooted Planning Group (RPG) brochure. A copy of that brochure precedes this supplement. Please contact Amy Irvine, Principal and Chief Compliance Officer if the Part 2A brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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

### Item 2: Educational Background and Business Experience

Born: 1981

#### **Educational Background**

- 2004 – Bachelor of Business Administration, Southeastern Oklahoma State University

#### **Business Experience**

- 08/2018 - Present, Irvine Wealth Planning Strategies, LLC DBA Rooted Planning Group
- 04/2015 – 12/31/2018, Beene Financial Planning, LLC, Managing Member and CCO
- 11/2008 – Present, Proactive Solutions, Inc., Business Manager
- 06/2004 – 11/2008, International Paper, Process Engineer and Accounting

#### **Professional Designations, Licensing & Exams**

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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 68,000 individuals have obtained CFP® certification in the United States.

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- **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;
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### Item 3: Disciplinary Information

None

### Item 4: Other Business Activities

#### **Proactive Solutions, Inc.**

Ms. Beene is currently employed as the Business Manager at Proactive Solutions, Inc. This activity accounts for approximately 25% of her time. This outside business activity is not connected to Rooted Planning Group.

#### **Mac Lindley Foundation**

Ms. Beene is currently the chair of the board, managing fundraisers and organizing meetings. This activity accounts for approximately 1 hour per week of her time. This outside business activity is not connected to Rooted Planning Group.

#### **Southeastern Oklahoma State University**

Ms. Beene is currently a member of the board and participates in quarterly meetings. This activity accounts for approximately 2 hours per quarter of her time. This outside business activity is not connected to Rooted Planning Group.

## Item 5: Additional Compensation

Kerrie Beene does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RPG.

### Item 6: Supervision

Kerrie Beene is supervised by Amy Irvine, as Principal and Chief Compliance Officer of IWPS dba RPG. Amy may be contacted at the phone number on this brochure supplement.

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## Form ADV Part 2B – Brochure Supplement

**Rebekah Eason**

**CRD #7045466**

### Financial Planner

Dated November 15, 2023

This brochure supplement provides information about Rebekah “Becky” Eason that supplements the Rooted Planning Group (RPG) brochure. A copy of that brochure precedes this supplement. Please contact Amy Irvine, Principal and Chief Compliance Officer if the Part 2A brochure is not included with this supplement or if you have any questions about the contents of this supplement.

Additional information about Becky is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 2: Educational Background and Business Experience

Born: 1995

#### **Educational Background**

- 2018 – Bachelors of Business Administration in Financial Planning - SUNY Alfred

#### **Business Experience**

- 04/2018 – Present, Irvine Wealth Planning Strategies, LLC DBA Rooted Planning Group Financial Planner

#### **Professional Designations, Licensing & Exams**

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- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination, 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;
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- **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.



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### Item 3: Disciplinary Information

None

### Item 4: Other Business Activities

#### **Hornell Bowl Association Board**

Ms. Eason serves as a board member "manager." Ms. Eason does receive compensation for the services she provides in a fee only nature; she spends approximately fifteen (1) hour per week in this capacity. This business is outside of Rooted Planning Group.

### Item 5: Additional Compensation

Becky does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RPG.

### Item 6: Supervision

Becky is supervised by Amy Irvine, as Principal and Chief Compliance Officer of IWPS dba RPG. Amy may be contacted at the phone number on this brochure supplement.



Form ADV Part 2B – Brochure Supplement  
**Elizabeth Zemak**  
**CRD #7821124**

Financial Planner

Dated November 15, 2023

This brochure supplement provides information about Elizabeth Zemak that supplements the Rooted Planning Group (RPG) brochure. A copy of that brochure precedes this supplement. Please contact Amy Irvine, Principal and Chief Compliance Officer if the Part 2A brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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

Item 2: Educational Background and Business Experience

Born: 1985

**Educational Background**

- 2007 – Bachelors of Arts - SUNY Binghamton

**Business Experience**

- 07/2023 – Present, Rooted Planning Group, Financial Planner
- 09/2017 – 04/2023, Market Street Trust Company, Relationship Manager
- 09/2012 – 09/2017, John G. Ullman and Associates, Tax Preparer

**Professional Designations, Licensing & Exams**

Series 65 – Uniform Investment Adviser Law Exam

Item 3: Disciplinary Information

None



#### Item 4: Other Business Activities

None

#### Item 5: Additional Compensation

Elizabeth does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through RPG.

#### Item 6: Supervision

Elizabeth is supervised by Amy Irvine, as Principal and Chief Compliance Officer of IWPS dba RPG. Amy may be contacted at the phone number on this brochure supplement.