

**Part 2B of Form ADV: Firm Brochure Supplement**

**Allison Becker**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190

Leawood, KS 66211

Phone: (913) 403-0600

Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Allison Becker : [allison.becker@legacykc.com](mailto:allison.becker@legacykc.com)

Date: May 31, 2019

This brochure supplement provides information about Allison Becker that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Allison Becker also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Allison has a Bachelor of Science degree in Personal Financial Planning and a minor in Hospitality Management from Kansas State University. She worked as a peer counselor at Powercat Financial in Manhattan, KS prior to joining Legacy as a Paraplanner.

Allison's birthday is September 25, 1995.

**Item 3 Disciplinary Information**

Allison Becker has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. She has not been the subject of a bankruptcy petition.

**Item 4 Other Business Activities**

**Financial Industry Affiliations and Activities**

Legacy’s primary business function is to provide investment advisory services. In addition to investment advisory services, Allison also provides investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

## **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 5 Additional Compensation**

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## **Item 6 Supervision**

Allison is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**David Dwyer**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190

Leawood, KS 66211

Phone: (913) 403-0600

Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

David Dwyer: [david.dwyer@legacykc.com](mailto:david.dwyer@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about David Dwyer that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about David Dwyer is also available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

David Dwyer has a Bachelor’s of Arts in English degree from the University Kansas. Prior to joining Legacy, David worked for Ameriprise Financial Services, Inc. as an advisor where he provided asset management and financial planning services to clients. He joined First Investors Financial Services in 2006 as a registered representative, where he spent a number of years growing his client base and assisting in building the Overland Park, KS branch office.

David’s professional designations include Certified Financial Planner™ (CFP®), CRPC® (Chartered Retirement Planning Counselor), APMA® (Accredited Portfolio Management Advisor), and AAMS® (Accredited Asset Management Specialist).

David’s birthday is November 3, 1980.

**Certified Financial Planner™ (CFP®) Designation**

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.

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 two 3-hour sessions separated by a 40-minute break, 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:

- 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.

### **Chartered Retirement Planning Counselor (CRPC®) Designation**

The CRPC is a professional designation awarded by the College for Financial Planning to individuals who complete a study program and pass a final multiple-choice examination. Successful applicants earn the right to use the CRPC® designation with their names for two years. Every two years, CRPC® professionals must complete 16 hours of continuing education and pay a small fee to continue using the designation. The CRPC® Program focuses on the pre- and post-retirement needs of individuals, and addresses issues such as estate planning and asset management. CRPC® candidates must comply with the Code of Ethics, which includes agreeing to abide by the Standards Exhibit A-3 of Professional Conduct and Terms and Conditions. Candidates must also disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.

### **Accredited Portfolio Management Advisor (APMA®) Designation**

Individuals who hold the APMA® designation have completed a course of study encompassing client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.

## **Accredited Asset Management Specialist(AAMS) Designation**

An Accredited Asset Management Specialist is an individual who has met the education, examination, experience, and ethics standards established by the College for Financial Planning. Individuals who hold the AAMS designation have completed a course of study encompassing investments, insurance, tax, retirement, and estate planning issues. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. To maintain his Accredited Asset Management Specialist designation, Thomas is required every two-years to complete 16 hours of continuing education, reaffirm adherence to the Standards of Professional Conduct, and comply with self-disclosure requirements.

### **Item 3 Disciplinary Information**

David Dwyer has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

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

#### **Financial Industry Affiliations and Activities**

Legacy's primary business function is to provide investment advisory services. In addition to investment advisory services, David also provides financial planning services.

Legacy has no relationships or arrangements with issuers of securities.

#### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

### **Item 5 Additional Compensation**

#### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

#### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

#### **Legacy Bonus Program**

David is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative.

#### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products.

Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

### **Item 6 Supervision**

David is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Heather Hardman**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190  
Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Heather Hardman: [heather.hardman@legacykc.com](mailto:heather.hardman@legacykc.com)

Date: March 19, 2019

This brochure supplement provides information about Heather Hardman that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Heather Hardman also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Heather has a Bachelor’s of General Studies degree in Psychology from the University of Kansas. She has background in customer service, management, and marketing. Heather was a registered rep with Merrill Lynch and then moved to Ameriprise to be a practice manager/compliance prior to joining Legacy.

Heather’s birthday is June 26, 1977.

**Item 3 Disciplinary Information**

Heather Hardman has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. She has not been the subject of a bankruptcy petition.

**Item 4 Other Business Activities**

**Financial Industry Affiliations and Activities**

Legacy’s primary business function is to provide investment advisory services. In addition to investment advisory services, Heather also provides compliance support and investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 5 Additional Compensation**

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## **Item 6 Supervision**

Heather is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Michael W. Lutz**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

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Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Michael W. Lutz: [Michael.lutz@legacykc.com](mailto:Michael.lutz@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Michael W. Lutz that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Michael W. Lutz also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Michael W. Lutz has an MBA from the University of Kansas. He is a Certified Financial Planner (CFP®) with over 20 years of investment advisory experience. His resume as follows:

- 1996 to 2000: Registered Representative with Edward Jones
- 2000 to 2011: Registered Representative and Investment Adviser Representative with LPL Financial, LLC
- 2011 to present: Investment Adviser Representative and CEO, Legacy Financial Strategies, LLC

Michael also has over 14 years of banking experience, prior to investment advisory experience, which includes:

- 2 years with Fourth National Bank, Wichita, KS
- 2 years with Bank IV, Topeka, KS
- 2 years with Commerce Bancshares, Inc., Kansas City, MO
- 8 years as President of Peoples State Bank, Topeka, KS

Michael Lutz’s birthdate is September 4, 1962.

## **Certified Financial Planner™ (CFP®) Designation**

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.

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 two 3-hour sessions separated by a 40-minute break, 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:

- 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.

### **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 your evaluation of Legacy or the integrity of Legacy's management.

Michael Lutz has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

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

Michael Lutz is a registered investment advisor representative. In addition to investment advisory services, Michael Lutz provides financial planning related services.

Michael Lutz currently holds an active insurance license (NPN #4906965) but does not provide insurance services for compensation on either an individual basis or in an agent capacity as an advisor of Legacy as Legacy is no longer registered as an insurance agency. Michael Lutz does not solicit for insurance business nor does he receive commission trails on historical sales.

## **Financial Industry Affiliations and Activities**

Legacy's primary business function is to provide investment advisory services. Michael Lutz also provides financial planning. Legacy has no relationships or arrangements with issuers of securities.

## **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 5 Additional Compensation**

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Legacy Bonus Program**

Michael is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative. Michael may be compensated for performing advisory services on qualified retirement plans.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## **Item 6 Supervision**

Michael Lutz currently supervises Michael Wren. He may be contacted via electronic mail: michael.lutz@legacykc.com; or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Samuel L. Murray II**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190  
Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:  
Samuel L. Murray II: [sam.murray@legacykc.com](mailto:sam.murray@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Samuel L. Murray II that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Samuel L. Murray II also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Samuel L. Murray II (“Sam”) has a Bachelor’s of Science degree in Sociology from Kansas State University, Manhattan, Kansas. Over the last 25 years Sam has been in sales helping businesses achieve their goals. During Sam’s 9-year tenure at Paychex Inc., he was the Senior Retirement Sales Specialist in charge of designing and implementing retirement plans for businesses in Kansas and Missouri. Most recently at Great Plains Trust Company, he was the Managing Director for the Northeast Region. In this capacity, he worked with plan sponsors and their participants located in the northeastern portion of the country. Sam carries the Accredited Investment Fiduciary (AIF®) designation.

Prior to his position with Paychex, Inc., Sam held sales executive positions with Midwest Equipment and Factory Motor Parts.

Sam’s birth date is May 9, 1969.

**Accredited Investment Fiduciary (AIF®) Designation**

Accredited Investment Fiduciary (AIF®) The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF® Designation, the individual must meet prerequisite criteria based on a combination of education, industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Code of Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards and

accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

### **Item 3 Disciplinary Information**

Samuel L. Murray II has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

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

#### **Financial Industry Affiliations and Activities**

Legacy's primary business function is to provide investment advisory services. In addition to investment advisory services, Samuel also provides institutional plan and investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

#### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

### **Item 5 Additional Compensation**

#### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

#### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

#### **Legacy Bonus Program**

Samuel is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative. Samuel may be compensated for performing advisory services and support on qualified retirement plans. He may also be compensated for advisory retirement plan business or performing investment consultation services for groups or individuals.

#### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

### **Item 6 Supervision**

Samuel L. Murray II is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Christopher D. Proctor**

**Item 1 Cover Page**

Legacy Financial Strategies, LLC (“Legacy”)  
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Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Christopher D. Proctor: [chris.proctor@legacykc.com](mailto:chris.proctor@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Christopher D. Proctor that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Christopher D. Proctor is also available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Christopher Proctor has a Bachelor of Science degree in Business Administration, majoring in Accounting from Kansas State University. From 2008-2018, he served as a consultant to investment professionals as a Senior Regional Vice President with New York Life/MainStay Investments. Chris was employed by ADP Retirement Services as a 401(k) District Manager from 2003-2008, by Morgan Stanley Inc. as a financial advisor from 2002-2003 and worked in corporate finance and as a retirement education consultant for American Century Investment Services Inc. from 1998-2001.

Chris now serves as Chief Financial Officer, Chief Investment Officer and Financial Advisor for Legacy Financial Strategies, LLC.

Chris’ birth date is June 26, 1973.

**Item 3 Disciplinary Information**

Christopher Proctor has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

**Item 4 Other Business Activities**

**Financial Industry Affiliations and Activities**

Legacy’s primary business function is to provide investment advisory services. In addition to investment advisory services, Chris also provides financial planning support and investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

### **Item 5 Additional Compensation**

#### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

#### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

#### **Legacy Bonus Program**

Chris is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative. Chris may be compensated for performing advisory services on qualified retirement plans or as a consultant for groups or individuals.

#### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

### **Item 6 Supervision**

Christopher Proctor is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [Mike.wren@legacykc.com](mailto:Mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**

**Andrew D. Rogers**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190

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Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Andrew D. Rogers: [andrew.rogers@legacykc.com](mailto:andrew.rogers@legacykc.com)

Date: November 7, 2019

This brochure supplement provides information about Andrew D. Rogers that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Andrew D. Rogers also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Andrew D. Rogers holds a Bachelor in Business degree with an emphasis in Finance from The University of Missouri Kansas City. His experience in finance began in banking in 2009. He joined Tower Wealth Managers as an Independent Advisor Representative in 2012 and then moved to Waddell & Reed as a financial advisor in 2015. Prior to joining Legacy Financial Strategies, he created comprehensive financial plans for his clients as an advisor with LPL Financial.

Andrew is a Certified Financial Planner™ (CFP®) professional.

Andrew Roger’s birthdate is December 4, 1988.

**Certified Financial Planner™ (CFP®) Designation**

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.

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 two 3-hour sessions separated by a 40-minute break, 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:

- 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.

### **Item 3 Disciplinary Information**

Andrew Rogers has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

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

#### **Financial Industry Affiliations and Activities**

Legacy’s primary business function is to provide investment advisory services. Andrew Rogers also provides financial planning services.

Legacy has no relationships or arrangements with issuers of securities.

#### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

### **Item 5 Additional Compensation**

#### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

#### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Legacy Bonus Program**

Andrew is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative. Andrew may also be compensated for performing advisory services on qualified retirement plans.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

### **Item 6 Supervision**

Andrew is currently supervised by Mike Wren.  
Mike Wren may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com);  
or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Luanne Underwood**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190  
Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Luanne Underwood: [luanne.underwood@legacykc.com](mailto:luanne.underwood@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Luanne Underwood that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Luanne Underwood also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Luanne Underwood has a Bachelor’s of Science degree from Kansas State University. She also has her MBA degree from Kansas State University. Prior to joining Legacy, Luanne worked for Clayton Financial Services in Topeka, Kansas. During her tenure with Clayton, she provided asset management and financial planning services to clients. In 2003, she joined Edward Jones as a registered representative, where she spent several years building a practice. Before joining Edward Jones, Luanne was employed with Southwestern Bell/AT&T providing budgeting and forecasting expertise for their Kansas operation.

Luanne’s birth date is July 4, 1954.

**Item 3 Disciplinary Information**

Luanne Underwood has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. She has not been the subject of a bankruptcy petition.

**Item 4 Other Business Activities**

**Financial Industry Affiliations and Activities**

Legacy’s primary business function is to provide investment advisory services. In addition to investment advisory services, Luanne also provides financial planning support and investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 5 Additional Compensation**

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Legacy Bonus Program**

Luanne is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## **Item 6 Supervision**

Luanne Underwood is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [Mike.wren@legacykc.com](mailto:Mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Jacob Watts**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

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Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:  
Jacob Watts: [Jacob.watts@legacykc.com](mailto:Jacob.watts@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Jacob Watts that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Jacob Watts also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Jacob Watts has a Bachelor’s of Arts in Communication Studies degree from the University Kansas. Prior to joining Legacy, Jacob worked for Ameriprise Financial Services, Inc. as an advisor where he provided asset management and financial planning services to clients. In 2006, he joined First Investors Financial Services as a registered representative, where he spent a number of years growing his client base and assisting in building the branch office.

Jacob’s professional designations include Certified Financial Planner™ (CFP®), CRPC® (Chartered Retirement Planning Counselor) and APMA® (Accredited Portfolio Management Advisor).

Jacob’s birthday is May 31, 1981.

**Certified Financial Planner™ (CFP®) Designation**

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.

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 two 3-hour sessions separated by a 40-minute break, 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:

- 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.

### **Chartered Retirement Planning Counselor (CRPC®) Designation**

The CRPC is a professional designation awarded by the College for Financial Planning to individuals who complete a study program and pass a final multiple-choice examination. Successful applicants earn the right to use the CRPC® designation with their names for two years. Every two years, CRPC® professionals must complete 16 hours of continuing education and pay a small fee to continue using the designation. The CRPC® Program focuses on the pre- and post-retirement needs of individuals, and addresses issues such as estate planning and asset management. CRPC® candidates must comply with the Code of Ethics, which includes agreeing to abide by the Standards Exhibit A-3 of Professional Conduct and Terms and Conditions. Candidates must also disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.

### **Accredited Portfolio Management Advisor (APMA®) Designation**

Individuals who hold the APMA® designation have completed a course of study encompassing client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.

## **Item 3 Disciplinary Information**

Jacob Watts has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

## Item 4 Other Business Activities

### **Financial Industry Affiliations and Activities**

Legacy's primary business function is to provide investment advisory services. In addition to investment advisory services, Jacob also provides financial planning support and investment research to the firm.

Legacy has no relationships or arrangements with issuers of securities.

### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## Item 5 Additional Compensation

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Legacy Bonus Program**

Jacob is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## Item 6 Supervision

Jacob is currently supervised by Mike Wren. Mike may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com) or by phone: (913) 403-0600.

**Part 2B of Form ADV: Firm Brochure Supplement**  
**Michael V. Wren**

**Item 1 Cover Page**

**Legacy Financial Strategies, LLC (“Legacy”)**

11300 Tomahawk Creek Parkway, Suite 190  
Leawood, KS 66211  
Phone: (913) 403-0600  
Fax: (913) 403-0700

Website: <http://www.legacykc.com>

Email Address:

Michael V. Wren: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com)

Date: August 30, 2019

This brochure supplement provides information about Michael V. Wren that supplements the Legacy Financial Strategies, LLC brochure. You should have received a copy of that brochure. Please contact us at (913) 403-0600 or one of the email addresses listed above if you did not receive Legacy Financial Strategies, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about Michael V. Wren also is available on the Securities and Exchange Commission’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Educational Background and Business Experience**

**Formal Education and Business Background**

Michael V. Wren holds a Bachelor of Arts degree in Social and Behavioral Science from Seton Hall University in South Orange, New Jersey. Before joining Legacy Financial Strategies, he worked as a Financial Advisor at Ameriprise Financial. During his six years at Ameriprise, he offered investment advice and financial planning guidance to his clients. Previous to Ameriprise, he worked as both an advisor and manager at First Investors Corporation in New York and Kansas. In addition to client advisory responsibilities, he was also a manager. He trained and supervised other representatives, as well as recruited and hired new employees. He is a Certified Financial Planner™ (CFP®) professional and holds a Certified Divorce Financial Analyst® (CDFA®) designation.

Michael Wren’s birthdate is February 9, 1979.

**Certified Financial Planner™ (CFP®) Designation**

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.

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 two 3-hour sessions separated by a 40-minute break, 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:

- 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.

### **Certified Divorce Financial Analyst® (CDFA®) Designation**

The Certified Divorce Financial Analyst®, (CDFA®) is a professional certification granted in the United States and Canada by the Institute for Divorce Financial Analysts™ (IDFA™). To attain the right to use the CDFA® (Certified Divorce Financial Analyst®) certification, an individual must satisfactorily fulfill the following requirements:

- Education – Professionals must develop their theoretical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the IDFA™;
- Examination – Practitioners must pass a four-part (in the USA) or three-part (in Canada) Certification Examination that tests their understanding and knowledge of the financial aspects of divorce. In addition, the practitioner must demonstrate the practical application of this knowledge in the divorce process;
- Experience – Individuals must have a minimum of three years' experience in a financial or legal capacity prior to earning the right to use the CDFA® certification mark; and
- Ethics – Practitioners agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility," which sets forth their ethical responsibilities to the public, clients, employers and other professionals. The IDFA™ may perform a background check during this process, and each candidate for CDFA® certification must disclose any investigations or legal proceedings relating to his or her professional or business conduct.

Individuals who become certified must complete the following ongoing education requirements in order to maintain the right to continue to use the CDFA® designation:

- Continuing Education – Complete a minimum of fifteen (15) hours of continuing education every two years, that are specifically related to the field of divorce, and
- Ethics – Practitioners must voluntarily disclose any public, civil, criminal, or disciplinary actions that may have been taken against them during the past two years as part of the renewal process.

If a complaint has been brought against a CDFA® by another professional or member of the general public, the CDFA® must be examined and cleared by IDFA's Ethics Committee to maintain their designation.

### **Item 3 Disciplinary Information**

Michael Wren has not been involved in any disciplinary action, nor found liable in any arbitration claims or civil proceedings. He has not been the subject of a bankruptcy petition.

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

Michael Wren is a registered investment advisor representative. In addition to investment advisory services, he provides financial planning services.

#### **Community Activities**

Mr. Wren currently serves on the Board of Directors for the Financial Planning Association of Greater Kansas City. This organization provides its membership of local financial planning professionals a forum for education and career development. Its mission is to serve members by providing educational, networking, and mentoring opportunities. They also promote the value of financial planning to the public and represent professional interests to governmental groups. More information on the organization can be found at [www.fpakc.org](http://www.fpakc.org). The FPA is a non-profit organization that has chapters throughout the country.

Mr. Wren's responsibilities as Director of the Partnership Committee include:

- Attend chapter and board meetings
- Recruit, organize, and coordinate with FPA sponsors
- Communicate with sponsors regarding events and industry news
- Heighten community awareness and benefits of the organization

His unpaid, volunteer, position with the FPAKC is appointed and his term as of January 2018 is one year in length.

#### **Financial Industry Affiliations and Activities**

Legacy's primary business function is to provide investment advisory services. Michael Wren also provides financial planning services.

Legacy has no relationships or arrangements with issuers of securities.

#### **Performance-Based Fees**

Legacy does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 5 Additional Compensation**

### **Incoming Referrals**

Legacy has no solicitation agreements in place at this time. They do however accept client and professional referrals on a non-compensatory basis.

### **Referrals Out**

Legacy does not receive any compensation for any outside client referrals, including referrals made to estate planners, attorneys and/or tax preparation places.

### **Legacy Bonus Program**

Mike is eligible to participate in the firm's bonus program which provides incentive compensation to the firm's investment adviser representative based on the amount of new business generated by the representative. Mike may also be compensated for performing advisory services on qualified retirement plans.

### **Other Compensation**

Legacy and its employees may receive additional non-cash compensation from advisory product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$300 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by Legacy's employees or its clients.

## **Item 6 Supervision**

Mike is currently supervised by Michael Lutz.

Michael Lutz may be contacted via electronic mail: [michael.lutz@legacykc.com](mailto:michael.lutz@legacykc.com);

or by phone: (913) 403-0600.

Mike Wren currently supervises Chris Proctor, Jacob Watts, David Dwyer, Samuel Murray II, Andrew Rogers, Luanne Underwood, Allison Becker & Heather Hardman.

Mike Wren may be contacted via electronic mail: [mike.wren@legacykc.com](mailto:mike.wren@legacykc.com); or by phone: (913) 403-0600.