



## Relevé Financial Group

724 Bielenberg Drive, #2  
Woodbury, MN 55125  
612-801-5440

[relevéfinancialgroup.com](http://relevéfinancialgroup.com)

### Form ADV 2B: Brochure Supplement

July 2023

This Brochure provides information about the qualifications and business practices of Relevé Financial Group, LLC's ("RFG") representatives. If you have any questions about the contents of this brochure, please contact Kimberly Bannwarth at 612-801-0556 or [kimberly@relevéfinancialgroup.com](mailto:kimberly@relevéfinancialgroup.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about RFG is available on the internet at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The Firm's CRD number is 285243.



## **DAWN JURKOVICH, CFP<sup>®</sup>, BFA<sup>®</sup>, CRPC<sup>®</sup>**

Born 1971

### **EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

#### **Educational Background:**

University of Minnesota – Twin Cities | BIS, Finance | 1996

#### **Business Background:**

Relevé Financial Group, LLC | Financial Advisor & Agent | October 2016 – Present

NorthRock Partners, LLC | Financial Advisor & Agent | October 2013 – December 2016

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | October 2013 – July 2015

IDS Life Insurance Company | Agent | February 2001 – October 2013

Ameriprise Financial Services, Inc. | Financial Advisor | February 2001 – October 2013

#### **Professional Designations:**

***Certified Financial Planner (CFP<sup>®</sup>)***: The CFP<sup>®</sup> certification is granted by the Certified Financial Planner Board of Standards, Inc. (“CFP Board”) and is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP<sup>®</sup> 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 62,000 individuals have obtained CFP<sup>®</sup> certification in the United States.

To attain the right to use the CFP<sup>®</sup> 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<sup>®</sup> 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

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<sup>®</sup> 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<sup>®</sup> professionals provide financial planning services at a fiduciary standard of care. This means CFP<sup>®</sup> professionals must provide financial planning services in the best interests of their Clients.

CFP<sup>®</sup> 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<sup>®</sup> certification.



Behavioral Financial Advisor™ (BFA™): The Behavioral Financial Advisor™, BFA™ is currently offered and recognized by Kaplan Financial Education in conjunction with Think2Perform. Behavioral Finance Advice (BFA) combines psychology and neuroscience with traditional financial practices. The BFA curriculum is designed to equip advisors with tools and training to further help their clients make sound financial decisions, maintain emotional competency, and achieve their financial goals. To obtain the designation, there are no prerequisites. Educational requirements include the completion of 2 courses related to behavioral finance as well as a certification exam. 20 hours of continuing education is required every two years.

Chartered Retirement Planning Counselor (CRPC®): CRPC® is a financial planning designation conferred by The College for Financial Planning. Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. 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. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct, and complying with self-disclosure requirements.

## DISCIPLINARY INFORMATION

Criminal or Civil Action: None to report  
Administrative Proceeding: None to report  
Self-Regulatory Proceeding: None to report

## OTHER BUSINESS ACTIVITIES

Relevé is required to disclose information regarding any investment-related business or occupation in which Dawn D. Jurkovich is actively engaged.

Licensed Insurance Agent: Dawn D. Jurkovich is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that Relevé recommends the purchase of insurance products where Dawn D. Jurkovich receives insurance commissions or other additional compensation. Relevé seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

Business Owner and Manager: Dawn D. Jurkovich also owns and manages dawndahlby.com, a related company that provides coaching services to assist women of all ages grow financially empowered. Clients of dawndahlby.com subscribe for inspirational coaching services and information only and are under no obligation to utilize Relevé for investment advisory services.

## ADDITIONAL COMPENSATION

Relevé is required to disclose information regarding any arrangement under which Dawn D. Jurkovich receives an economic benefit from someone other than a client for providing investment advisory services. Relevé has no information to disclose in relation to this Item.

## SUPERVISION

Kimberly Bannwarth, Chief Compliance Officer, is responsible for the activities and operation of the Firm. She should be reached at 612-801-0556 or [kimberly@relevedfinancialgroup.com](mailto:kimberly@relevedfinancialgroup.com).



## **KIMBERLY BANNWARTH, CRPC®**

Born 1972

### **EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

#### **Educational Background:**

University of Wisconsin, Eau Claire | Bachelor of Music Education | 1996

St. Cloud State University | Master of Music Education | 2002

#### **Business Background:**

Relevé Financial Group, LLC | Managing Director & Financial Advisor | October 2016 – Present

NorthRock Partners, LLC | Client Service Manager | October 2013 – December 2016

Ameriprise Financial Services, Inc. | Associate Advisor/Client Service Manager | April 2009 – October 2013

#### **Professional Designations:**

*Chartered Retirement Planning Counselor (CRPC®):* CRPC® is a financial planning designation conferred by The College for Financial Planning. Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. 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. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct, and complying with self-disclosure requirements.

### **DISCIPLINARY INFORMATION**

Criminal or Civil Action: None to report

Administrative Proceeding: None to report

Self-Regulatory Proceeding: None to report

### **OTHER BUSINESS ACTIVITIES**

Relevé is required to disclose information regarding any investment-related business or occupation in which Kimberly Bannwarth is actively engaged. Relevé has no information to disclose in relation to this Item.

### **ADDITIONAL COMPENSATION**

Relevé is required to disclose information regarding any arrangement under which Kimberly Bannwarth receives an economic benefit from someone other than a client for providing investment advisory services. Relevé has no information to disclose in relation to this Item.

### **SUPERVISION**

Kimberly Bannwarth is the Chief Compliance Officer of Relevé Financial Group and therefore is solely responsible for all supervision and formulation and monitoring of investment advice offered to Clients.



## **NADINE A. THIBAUT, CFP<sup>®</sup>, BFA<sup>®</sup>**

Born 1993

### **EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

#### **Educational Background:**

University of St. Thomas | BS, International Economics | 2015

#### **Business Background:**

Relevé Financial Group, LLC | Financial Advisor | February 2021 – Present

NorthRock Partners, LLC | Client Service Manager & Advisor Partner | September 2014 – January 2021

#### **Professional Designations:**

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## DISCIPLINARY INFORMATION

Criminal or Civil Action: None to report  
Administrative Proceeding: None to report  
Self-Regulatory Proceeding: None to report

## OTHER BUSINESS ACTIVITIES

Relevé is required to disclose information regarding any investment-related business or occupation in which Nadine A. Thibault is actively engaged. Relevé has no information to disclose in relation to this Item.

## ADDITIONAL COMPENSATION

Relevé is required to disclose information regarding any arrangement under which Nadine A. Thibault receives an economic benefit from someone other than a client for providing investment advisory services. Relevé has no information to disclose in relation to this Item.

## SUPERVISION

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## JACOB R. FROMM, CFS®

Born 1992

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

#### Educational Background:

University of Nebraska - Lincoln | BS, Business Administration | 2014

#### Business Background:

Relevé Financial Group, LLC | Lead Investment Analyst | June 2021 – Present

Gilbert & Cook, Inc. | Investment Analyst | June 2019 – October 2020

Sammons Retirement Solutions | Internal Wholesaler | September 2015 – June 2019

#### Professional Designations:

*Certified Fund Specialist (CFS®)*: Granted by the Institute of Business & Finance, the CFS® designation requires applicants to have a bachelor's degree or 2,000 hours of experience completed in the financial services industry prior to completing the CFS® course. CFS® candidates must complete a comprehensive advanced program of approximately 135 hours designed to educate the advisor on every aspect of modern portfolio theory (MPT), mutual funds, ETFs, REITs, UITs, EANs, CEFs, asset rebalancing and taxation. 3 examinations must be passed in order to graduate. All graduates must sign the IBF Code of Ethics and agree to adhere to the IBF Standards of Practice, both of which place client interests above those of the advisor and parent company. Every CFS® advisor is required to regularly submit 30 hours of continuing education to maintain technical competence and fulfill ethical obligations.

### DISCIPLINARY INFORMATION

Criminal or Civil Action: None to report

Administrative Proceeding: None to report

Self-Regulatory Proceeding: None to report

### OTHER BUSINESS ACTIVITIES

Relevé is required to disclose information regarding any investment-related business or occupation in which Jacob R. Fromm is actively engaged. Relevé has no information to disclose in relation to this item.

### ADDITIONAL COMPENSATION

Relevé is required to disclose information regarding any arrangement under which Jacob R. Fromm receives an economic benefit from someone other than a client for providing investment advisory services. Relevé has no information to disclose in relation to this item.

### SUPERVISION

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## THOMAS D. DALE

Born 1997

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

#### Educational Background:

University of Illinois @ Urbana-Champaign | BS, Finance | 2019

#### Business Background:

Relevé Financial Group, LLC | Planning & Investment Associate | June 2023 - Present

Schumann Financial | Director of Tax & Investment Operations | July 2021 - June 2023

Schumann Financial | Investment Operations Associate | June 2019 - June 2021

#### Professional Designations:

None

#### FINRA Securities Licenses:

FINRA Series 7

FINRA Series 66

### DISCIPLINARY INFORMATION

Criminal or Civil Action: None to report

Administrative Proceeding: None to report

Self-Regulatory Proceeding: None to report

### OTHER BUSINESS ACTIVITIES

Relevé is required to disclose information regarding any investment-related business or occupation in which Thomas D. Dale is actively engaged. Relevé has no information to disclose in relation to this Item.

### ADDITIONAL COMPENSATION

Relevé is required to disclose information regarding any arrangement under which Thomas D. Dale receives an economic benefit from someone other than a client for providing investment advisory services. Relevé has no information to disclose in relation to this Item.

### SUPERVISION

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