



Firm Brochure

(Part 2A of Form ADV)

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The searchable CRD/IARD number for Prominent Financial Planning LLC is CRD# 165836.

This brochure provides information about the qualifications and business practices of Prominent Financial Planning LLC. Being registered as a registered investment adviser does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at 512-660-7766 or by email at garrett@prominentfp.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 Prominent Financial Planning LLC is available on the SEC's website at www.adviserinfo.sec.gov

January 1, 2022

Item 2: Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

Hourly Rate increased from \$250/hour to \$280/hour

Full Brochure Available

This Firm Brochure being delivered is the complete brochure for the Firm.

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Item 4: Advisory Business

Firm Description

Prominent Financial Planning LLC ("PFP") was founded in 2012. Garrett Michael Prom is 100% owner.

PFP provides investment management primarily to individuals and couples. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

PFP is a fee only investment management firm. The firm does not sell annuities, insurance, or other commissioned products.

PFP does not act as a custodian of client assets.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client in the unlikely event they should occur.

Types of Advisory Services

ONGOING COMPREHENSIVE FINANCIAL PLANNING ENGAGEMENT

Ongoing Comprehensive Financial Planning Engagements are offered on an ongoing basis. This engagement begins with a thorough understanding of a client's goals. Typically these include achieving financial freedom/retirement, providing for children's education, providing in case of an unexpected death or disability, purchasing large physical assets such as a car or house, exploring investment real estate, etc. The process begins with a thorough evaluation of a client's current financial situation (income, expenses, cash flow, current investment contributions, current investments, types of accounts, etc.). A retirement progress analysis is also performed to gauge how the client is doing with respect to their financial freedom/retirement goals. Additional analyses are also performed depending on the client's goals. Detailed recommendations are made outlining the client's financial plan. PFP is available to assist as needed with the implementation of the financial plan such as assisting with paperwork, calling existing accounts to obtain further information or facilitate transfer (if necessary), making appropriate referrals to other professionals such as in the case of an estate attorney, life insurance provider, CPA, etc. Ongoing Financial Planning Engagements may also include supervising investments.

Supervising investments includes discretionary asset management services to Ongoing Financial Planning clients on their individual accounts including but not limited to 401K, IRA, 529 and 403b plans. Investment strategies, investment selection, asset allocation, portfolio monitoring and the overall investment program will be based on the goals as determined above. The client will authorize PFP discretionary authority to execute selected investment program transactions as

stated within the Investment Advisory Agreement. The accounts will be monitored on an annual basis, unless requested otherwise by client.

Ongoing Financial Planning Engagements also provide (as the name suggests) ongoing assistance with any and all of the client's personal financial questions and/or decisions. Examples of assistance that has been provided in the past include evaluating which elections to make for employee benefits at annual renewal and with a new job, which car makes the most financial sense to purchase, evaluating whether to pay cash and get a discount or take a loan and pay with 0% interest, evaluate stock options, evaluate different mortgage options, what to do with a sudden influx of cash, newly married/divorced and entire plan needs to be reevaluated, impact of a baby's arrival and the list goes on and on. The overall purpose of the Ongoing Financial Planning Engagement is that professional advice is always available through someone who knows the client and can help with their personal financial decisions without the fear of requiring additional compensation.

FINANCIAL PLANNING AND CONSULTING

PFP offers consultation to clients on a specific topic(s) of the clients choosing. Topics may include, but are not limited to budget planning, insurance review, debt reduction, retirement analysis, investment strategy, etc. If financial consulting services are applicable, the client will compensate PFP on a negotiable fixed fee or negotiable hourly fee basis described in detail under "Fees and Compensation" section of this brochure. If conflict of interest exists between the interests of the investment advisor and the interests of the client, the client is under no obligation to act upon the investment advisor's recommendation. If the client elects to act on any of the recommendations, the client is under no obligation to effect the transaction through PFP. Financial consultations will be completed and delivered inside of six (6) months.

Hourly Consultation

PFP offers consultation to clients on a specific topic(s) of the clients choosing. Topics may include, but are not limited to budget planning, insurance review, debt reduction, etc.

Limited Scope Consultation

PFP offers consultation to clients on a specific topic(s) of the clients choosing. Topics may include, but are not limited to budget planning, insurance review, debt reduction, etc.

Client Tailored Services and Client Imposed Restrictions

The goals and objectives for each client are documented in our client files. Investment strategies are created that reflect the stated goals and objectives. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without written client consent.

Wrap Fee Programs

PFP does not sponsor any wrap fee programs.

Total Client Assets under Management

As of the date of this brochure, PFP has \$16.6M of total assets under management.

Item 5: Fees and Compensation

Method of Compensation and Fee Schedule

PFP bases its fees on a percentage of total asset management, fixed fees, hourly fees, and monthly fees

ONGOING COMPREHENSIVE FINANCIAL PLANNING ENGAGEMENT

PFP offers ongoing financial planning according to the client's complexity. This is most beneficial for clients looking for assistance with the ongoing financial decisions they face in their lives. This service also includes total asset management if desired at no additional cost. All clients will fall into one of the four complexity categories in the chart below. Complexity is based on a variety of factors including: net worth, investable assets, marital status, income, taxable account(s), children, number and types of retirement accounts, ESPP, HSA, Stock Grants/Options, and rental properties. The fees are calculated and agreed to upon commencement of services.

Complexity	Onboarding Fee	Annual Fee	Corresponding Monthly Fee
Bronze	\$500	\$900	\$75
Silver	\$1000	\$1800	\$150
Gold	\$1500	\$2700	\$225
Platinum	\$2000	\$3600	\$300

The onboarding fee is payable upon execution of the agreement. The annual planning fee is payable monthly, in advance, beginning one month after executing the agreement. The onboarding fee and each monthly payment will be automatically withdrawn via ACH transfer with an account determined by the client. If conflict of interest exists between the interests of the investment advisor and the interests of the client, the client is under no obligation to act upon the investment advisor's recommendation. If the client elects to act on any of the recommendations, the client is under no obligation to effect the transaction through PFP. Ongoing comprehensive financial planning engagements do not have a defined end date though a detailed plan will be provided to client within six (6) months.

FINANCIAL PLANNING AND CONSULTING

PFP offers hourly and limited scope consultations for \$280 per hour.

PFP may at its discretion waive or negotiate the fees for financial planning and consulting if the client implements the plan with PFP. Client may cancel within five (5) business days with no obligation. If client cancels after five (5) business days,

PFP will be entitled to a pro-rata fee based on the percentage of work completed. Fees are based on the following:

Limited Scope Consultation

Client will be provided an estimated fee prior to engagement. Fees are payable 50% upon executing the agreement, with the balance due upon delivery of the plan or consultation.

Hourly Consultation

Hourly Consultation is only available for clients that have previously engaged PFP in a Limited Scope Consultation. PFP will charge \$140 + the time spent meeting together reviewing things (6 minute increments at \$280/hour). The reason for the \$140 flat fee is for the 30 minutes PFP will spend reviewing client accounts in order to efficiently utilize the time spent meeting together. Client will decide how much time they would need for each consultation and schedule appropriately. In some cases, Hourly Consultation may necessitate a Limited Scope Consultation. Client will decide whether or not to further engage PFP for the Limited Scope Consultation. Regardless of whether or not Client opts to pursue the Limited Scope Consultation, payment will still be due for the Hourly Consultation.

TOTAL ASSET MANAGEMENT

PFP offers discretionary asset management services to advisory clients on their individual accounts including but not limited to 401K, IRA, 529 and 403b plans.. PFP will offer clients ongoing portfolio management services through determining individual investment goals, time horizons, objectives, and risk tolerance. Investment strategies, investment selection, asset allocation, portfolio monitoring and the overall investment program will be based on the above factors.

The fees for these services are INCLUDED with the Ongoing Comprehensive Financial Planning Engagement at no additional cost.

Client Payment of Fees

Fees for ongoing comprehensive financial planning engagements are due as follows. The onboarding fee is payable upon execution of the agreement. The annual planning fee is payable monthly, in advance, beginning one month after executing the agreement. The onboarding fee and each monthly payment will be automatically withdrawn via ACH transfer with an account determined by the client. The client must consent in advance to direct debiting of their account.

Fees for financial planning and consulting are due 50% in advance and 50% upon completion of the engagement.

Additional Client Fees Charged

Custodians may charge transaction fees on purchases or sales of certain mutual funds, equities and exchange-traded funds. These charges may include mutual fund transactions fees, postage and handling and miscellaneous fees (fee levied to recover costs associated with fees assessed by self-regulatory organizations). These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security.

PFP, in its sole discretion, may charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

For more details on the brokerage practices, see Item 12 of this brochure.

Prepayment of Client Fees

PFP charges 50% in advance for financial planning and consulting. PFP charges the onboarding fee in advance for the ongoing comprehensive financial planning engagement. Services are completed and delivered inside of six (6) months.

External Compensation for the Sale of Securities to Clients

PFP does not receive any external compensation for the sale of securities to clients, nor do any of the investment advisor representatives of PFP.

Item 6: Performance-Based Fees

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

PFP does not use a performance-based fee structure because of the conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Item 7: Types of Clients

Description

PFP generally provides investment advice to individuals and families.

Client relationships vary in scope and length of service.

Account Minimums

PFP does not have any account minimums.

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

Methods of Analysis and Investment Strategies

Security analysis methods may include fundamental analysis, technical analysis, and cyclical analysis. Investing in securities involves risk of loss that clients should be prepared to bear. Past performance is not a guarantee of future returns.

Fundamental analysis involves evaluating a stock using real data such as company revenues, earnings, return on equity, and profits margins to determine underlying value and potential growth. Technical analysis involves evaluating securities based on past prices and volume. Cyclical analysis involves analyzing the cycles of the market.

The main sources of information include financial newspapers and magazines, annual reports, prospectuses, and filings with the Securities and Exchange Commission.

Investment Strategy and Method of Analysis of Material Risks

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time. Each client executes an Investment Policy Statement, Risk Tolerance or similar form that documents their objectives and their desired investment strategy.

Fundamental analysis may involve interest rate risk, market risk, business risk, and financial risk. Risks involved in technical analysis are inflation risk, reinvestment risk, and market risk. Cyclical analysis involves inflation risk, market risk, and currency risk.

Other strategies may include long-term purchases, short-term purchases, trading, and option writing (including covered options, uncovered options or spreading strategies).

Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks and should discuss these risks with PFP:

- *Interest-rate Risk:* Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- *Market Risk:* The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- *Inflation Risk:* When any type of inflation is present, a dollar today will buy more than a dollar next year, because purchasing power is eroding at the rate of inflation.

- *Currency Risk:* Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- *Reinvestment Risk:* This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- *Business Risk:* These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- *Liquidity Risk:* Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- *Financial Risk:* Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Item 9: Disciplinary Information

Criminal or Civil Actions

The firm and its management have not been involved in any criminal or civil action.

Administrative Enforcement Proceedings

The firm and its management have not been involved in administrative enforcement proceedings.

Self-Regulatory Organization Enforcement Proceedings

The firm and its management have not been involved in legal or disciplinary events that are material to a client's or prospective client's evaluation of PFP or the integrity of its management.

Item 10: Other Financial Industry Activities and Affiliations

Broker-Dealer or Representative Registration

Neither PFP nor any of its employees are registered representatives of a broker-dealer.

Futures or Commodity Registration

Neither PFP nor its employees are registered or has an application pending to register as a futures commission merchant, commodity pool operator, or a commodity trading advisor.

Material Relationships Maintained by this Advisory Business and Conflicts of Interest

Managing Member Garrett Prom does not maintain any material relationships. Therefore, there is no conflict of interest.

Recommendations or Selections of Other Investment Advisors and Conflicts of Interest

PFP does not recommend or select other investment advisors. Therefore, there is no conflict of interest.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics Description

The employees of PFP have committed to a Code of Ethics ("Code"). The purpose of our Code is to set forth standards of conduct expected of PFP employees and addresses conflicts that may arise. The Code defines acceptable behavior for employees of PFP. The Code reflects PFP and its supervised persons' responsibility to act in the best interest of their client.

One area which the Code addresses is when employees buy or sell securities for their personal accounts and how to mitigate any conflict of interest with our clients. We do not allow any employees to use non-public material information for their personal profit or to use internal research for their personal benefit in conflict with the benefit to our clients.

PFP's policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other employee, officer or director of PFP may recommend any transaction in a security or its derivative to advisory clients or engage in personal securities transactions for a security or its derivatives if the advisory representative possesses material, non-public information regarding the security.

PFP's Code is based on the guiding principle that the interests of the client are our top priority. PFP's officers, directors, advisors, and other employees have a fiduciary duty to our clients and must diligently perform that duty to maintain the complete trust and confidence of our clients. When a conflict arises, it is our obligation to put the client's interests over the interests of either employees or the company.

The Code applies to "access" persons. "Access" persons are employees who have access to non-public information regarding any clients' purchase or sale of securities, or non-public information regarding the portfolio holdings of any reportable fund, who

are involved in making securities recommendations to clients, or who have access to such recommendations that are non-public.

The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Investment Recommendations Involving a Material Financial Interest and Conflict of Interest

PFP and its employees do not recommend to clients securities in which we have a material financial interest.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

PFP and its employees may buy or sell securities that are also held by clients. In order to mitigate conflicts of interest such as front running, employees are required to disclose all reportable securities transactions as well as provide PFP with copies of their brokerage statements.

The Chief Compliance Officer of PFP is Garrett Prom. He reviews all employee trades each quarter. The personal trading reviews ensure that the personal trading of employees does not affect the markets and that clients of the firm receive preferential treatment over employee transactions.

Client Securities Recommendations or Trades and Concurrent Advisory Firm Securities Transactions and Conflicts of Interest

PFP does not maintain a firm proprietary trading account and does not have a material financial interest in any securities being recommended and therefore no conflicts of interest exist. However, employees may buy or sell securities at the same time they buy or sell securities for clients. In order to mitigate conflicts of interest such as front running, employees are required to disclose all reportable securities transactions as well as provide PFP with copies of their brokerage statements.

The Chief Compliance Officer of PFP is Garrett Prom. He reviews all employee trades each quarter. The personal trading reviews ensure that the personal trading of employees does not affect the markets and that clients of the firm receive preferential treatment over employee transactions.

Item 12: Brokerage Practices

Factors Used to Select Broker-Dealers for Client Transactions

PFP may recommend the use of a particular broker-dealer or may utilize a broker-dealer of the client's choosing. PFP will select appropriate brokers based on a number of factors including but not limited to their relatively low transaction fees and reporting ability. PFP relies on its broker to provide its execution services at the best prices available. Lower fees for comparable services may be available from other sources. Clients pay for any and all custodial fees in addition to the advisory fee charged by PFP.

- *Directed Brokerage*

In circumstances where a client directs PFP to use a certain broker-dealer, PFP still has a fiduciary duty to its clients. The following may apply with Directed Brokerage: PFP's inability to negotiate commissions, to obtain volume discounts, there may be a disparity in commission charges among clients, and conflicts of interests arising from brokerage firm referrals.

- *Best Execution*

Investment advisors who manage or supervise client portfolios on a discretionary basis have a fiduciary obligation of best execution. The determination of what may constitute best execution and price in the execution of a securities transaction by a broker involves a number of considerations and is subjective. Factors affecting brokerage selection include the overall direct net economic result to the portfolios, the efficiency with which the transaction is effected, the ability to effect the transaction where a large block is involved, the operational facilities of the broker-dealer, the value of an ongoing relationship with such broker and the financial strength and stability of the broker. The firm does not receive any portion of the trading fees.

- *Soft Dollar Arrangements*

PFP utilizes the services of custodial broker dealers. Economic benefits are received by PFP which would not be received if PFP did not give investment advice to clients. These benefits include: A dedicated trading desk, a dedicated service group and an account services manager dedicated to PFP's accounts, ability to conduct "block" client trades, electronic download of trades, balances and positions, duplicate and batched client statements, and the ability to have advisory fees directly deducted from client accounts.

A conflict of interest exists when the firm receives soft dollars. This conflict is mitigated by the fact that the Investment Advisor Representatives have a fiduciary responsibility to act in the best interest of his clients and the services received are beneficial to all clients.

Aggregating Securities Transactions for Client Accounts

PFP is authorized in its discretion to aggregate purchases and sales and other transactions made for the account with purchases and sales and transactions in the same securities for other Clients of PFP. All clients participating in the aggregated order shall receive an average share price with all other transaction costs shared on a pro-rated basis.

Item 13: Review of Accounts

Schedule for Periodic Review of Client Accounts or Financial Plans and Advisory Persons Involved

Account reviews are performed quarterly by Garrett Prom, Chief Compliance Officer. Account reviews are performed more frequently when market conditions dictate.

Review of Client Accounts on Non-Periodic Basis

Other conditions that may trigger a review of clients' accounts are changes in the tax laws, new investment information, and changes in a client's own situation.

Content of Client Provided Reports and Frequency

Clients receive account statements no less than quarterly for managed accounts. Account statements are issued by the Advisor's custodian. Client receives confirmations of each transaction in account from Custodian and an additional statement during any month in which a transaction occurs.

Item 14: Client Referrals and Other Compensation

Economic benefits Provided to the Advisory Firm from External Sources and Conflicts of Interest

PFP does not receive any economic benefits from external sources.

Advisory Firm Payments for Client Referrals

PFP does not compensate for client referrals.

Item 15: Custody

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly.

Item 16: Investment Discretion

Discretionary Authority for Trading

PFP accepts discretionary authority to manage securities accounts on behalf of clients. PFP has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold. However, PFP consults with the client prior to each trade to obtain concurrence if a blanket trading authorization has not been given.

The client approves the custodian to be used and the commission rates paid to the custodian. PFP does not receive any portion of the transaction fees or commissions paid by the client to the custodian on certain trades.

Item 17: Voting Client Securities

Proxy Votes

PFP does not vote proxies on securities. Clients are expected to vote their own proxies. The client will receive their proxies directly from the custodian of their account or from a transfer agent.

Item 18: Financial Information

Balance Sheet

A balance sheet is not required to be provided because PFP does not serve as a custodian for client funds or securities and PFP does not require prepayment of fees of more than \$500 per client and six months or more in advance.

Financial Conditions Reasonably Likely to Impair Advisory Firm's Ability to Meet Commitments to Clients

PFP has no condition that is reasonably likely to impair our ability to meet contractual commitments to our clients.

Bankruptcy Petitions during the Past Ten Years

Neither PFP nor its management has had any bankruptcy petitions in the last ten years.

Item 19: Requirements for State Registered Advisors

Education and business background, including any outside business activities for all management and supervised persons can be found in the Supplement to this Brochure (Part 2B of Form ADV Part 2).

Material Relationship Maintained by this Advisory Business or Management persons with Issuers of Securities

None to report

Supervised Person Brochure

Part 2B of Form ADV

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This brochure supplement provides information about Garrett Prom and supplements the Prominent Financial Planning LLC's brochure. You should have received a copy of that brochure. Please contact Garrett Prom if you did not receive Prominent Financial Planning LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Garrett Prom is available on the SEC's website at www.adviserinfo.sec.gov.

January 1, 2022

Brochure Supplement (Part 2B of Form ADV)
Supervised Person Brochure

Principal Executive Officers and Management Persons
Garrett Michael Prom

- Year of birth: 1978

Educational Background and Business Experience**Educational Background:**

- Northwestern University; Certificate in Financial Planning
- College for Financial Planning; Chartered Retirement Planning Counselor
- University of Dayton; Bachelor of Science in Electrical Engineering

Business Experience:

- Prominent Financial Planning LLC; Managing Member/Investment Advisor Representative; 10/2012 to Present
- Boston Scientific; Clinical Specialist; 10/2011 to 10/2013
- Biotronik; Sales Representative; 02/2010 to 07/2011
- Medtronic; Sales Representative; 01/2005 to 02/2010
- GE Healthcare; Sales Representative; 08/2001 to 01/2005

Disciplinary Information

None to report

Other Business Activities Engaged In

Garrett Prom has no other financial affiliated business activities.

Additional Compensation

Mr. Prom does not receive any additional compensation related to the financial industry.

Supervision

Since Mr. Prom is the sole owner of Prominent Financial Planning LLC, he is solely responsible for all supervision and formulation and monitoring of investment advice offered to clients. He adheres to the policies and procedures as outlined in the firm's Compliance Manual.

Material Relationship Maintained by this Advisory Business or Management persons with Issuers of Securities

None to report

Requirements for State-Registered Advisors

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None