

**Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
January 2020**

Brice Patrick Carter, CFP®, ChFC®, CIMA®



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This brochure supplement provides information about Mr. Carter that supplements our brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Brittany Culver, if you did not receive Financial Strategies Group, Inc's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Carter is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD # 5947902.

Item 2: Educational Background & Business Experience

Brice Patrick Carter, CFP®, ChFC®, CIMA®

Year of Birth: 1989

Educational Background:

- 2012: Central Michigan University; Bachelor of Science in Business Administration Degree in Personal Financial Planning

Business Background:

- 08/2017 – Present Financial Strategies Group, Inc; Vice President & Investment Adviser Representative
- 08/2017 – Present FSG Insurance Agency; Agent
- 05/2012 – 08/2017 Eagle Strategies, LLC (dba Financial Strategies Group, Inc); Financial Advisor
- 09/2011 – 08/2017 NYLIFE Securities, LLC; Registered Representative

Exams, Licenses & Other Professional Designations:

- 2016: Certified Investment Management Analyst (CIMA®)
- 2014: Chartered Financial Consultant® (ChFC®)
- 2013: Certified Financial Planner® (CFP®)
- 2012: Series 66 Exam
- 2011: Series 7 Exam
- 2017: SIE
- Insurance licensed

Certified Financial Planner® (CFP®)

The CFP® certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual must have a Bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the *Standards of Professional Conduct*.

Chartered Financial Consultant® (ChFC®)

The ChFC® designation is offered by The American College. Designation holders are required to serve clients with the highest level of professionalism. The authority to use the ChFC® mark is granted by the Certification Committee of the Board of Trustees of The American College, and that privilege is contingent on adherence to strict ethical guidelines. All ChFC® advisors are required to do the same for clients that they would do for themselves in similar circumstances, the standard of ethical behavior most beneficial for their clients. Each ChFC® has taken 9 or more college-level courses on

all aspects of financial planning. The average study time for the program is over 400 hours, and advisors frequently spend years earning this coveted distinction. Each ChFC® must also complete a minimum of 30 hours of continuing education every two years and must meet extensive experience requirements to ensure that you get the professional financial advice you need.

Certified Investment Management Analyst (CIMA®):

The CIMA® certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting. The designation is administered through Investment Management Consultants Association (“IMCA”). Prerequisites for the CIMA® certification are 3 years of financial services experience and an acceptable regulatory history. To obtain the CIMA® certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider, pass an online Certification Examination, and have an acceptable regulatory history. CIMA® designees are required to adhere to IMCA’s *Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks*. CIMA® designees must report 40 hours of continuing education credits, including 2 ethics hours, every 2 years to maintain the certification.

Item 3: Disciplinary Information

Mr. Carter has no history of any legal or disciplinary events that deems to be material to a client’s consideration of Brice Carter to act as their investment adviser representative. FINRA’s BrokerCheck® may have additional information regarding the disciplinary history of Mr. Carter that is not included in this brochure supplement.
(<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

Item 4: Other Business Activities

Mr. Carter is an insurance agent under the licensed insurance entity FSG Insurance Agency, a separate and affiliated entity under common ownership. In such capacity, he offers fixed insurance products to clients and receives normal and customary commissions and trails as a result of any purchases of insurance products made by clients. The potential for receipt of commissions and other compensation gives him an incentive to recommend insurance products based on the compensation received, rather than on the client’s needs. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation (e.g., commissions, trails) to be paid by the client and/or received by the insurance agent. He will at all times act in the best interest of his clients and act as a fiduciary in carrying out services to clients. It should be noted that the client is under no obligation to purchase insurance products through Mr. Carter. Brice Carter serves as Managing Member of FSG Insurance Agency.

Brice Carter is managing member of BBB Consulting Services, LLC (“BBB”) a commonly owned entity. BBB provides financial consulting services to individuals in the financial services industry. BBB and FSG have entered into an agreement with Fidelity, which provides that from time to time BBB may refer investment advisers, adviser firms, financial advisers and broker-dealers to Fidelity. If Fidelity

enters into an agreement with such referred persons, Fidelity will pay BBB a percentage based on the assets under management and/or the revenue collected by the Fidelity from these referred persons. Mr. Carter receives payments from BBB as income. This relationship presents a conflict of interest with his investment advisory clients. To address this conflict, these referral fees to BBB will be disclosed to such persons prior to entering into an agreement with Fidelity.

Item 5: Additional Compensation

Mr. Carter has additional business activities where compensation is received as detailed in Item 4 above. This compensation is in addition to the advisory fees.

Item 6: Supervision

Brice Carter is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Brittany Culver, who is responsible for administering the policies and procedures. Brittany Culver reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed. Brittany Culver can be reached at (517) 347-4337.