



Stonebridge™  
financial planning group LLC

## Item 1- Cover Page

Dianne M. Webb

Stonebridge Financial Planning Group, LLC

203 Hillcrest Street

Orlando, FL 32801

(407) 695-7100

March 9, 2020

**This Brochure Supplement provides information about Dianne M. Webb that supplements the Stonebridge Financial Planning Group, LLC (“Stonebridge”) Brochure (“Brochure”). You should have received a copy of that Brochure. Please contact Dianne M. Webb, President/Chief Compliance Officer at (407) 695-7100 or via email at [dwebb@stonebridgefpgroup.com](mailto:dwebb@stonebridgefpgroup.com) if you did not receive Stonebridge’s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2- Educational Background and Business Experience

**Dianne M. Webb, CFP®, CDFA®, Enrolled Agent, (CRD #4760887)**

**Date of Birth 1958**

### EDUCATION:

Certificate of Financial Planning from Florida State University in Tallahassee, FL (2003)  
Business Administration Bachelor’s Degree (BSBA) in Finance from University of Arizona in Tucson, AZ (1980)

### EMPLOYMENT:

President/Chief Compliance Officer - Stonebridge Financial Planning Group, LLC  
(1/2013 to Present)  
Advisor/Partner – Stonebridge Financial Planning Group, LLC (10/2007 – 12/2012)  
Registered Representative - Triad Advisors, LLC (10/2010 to Present)  
Registered Person - Invest Financial Corp. (09/2005 to 09/2010)

**PROFESSIONAL DESIGNATIONS:**

CERTIFIED FINANCIAL PLANNER™ Professional (2006)  
ENROLLED AGENT with the US Treasury Department (2005)  
CERTIFIED DIVORCE FINANCIAL ANALYST® Professional (2007)

**PROFESSIONAL DESIGNATION DISCLOSURES:**

**CERTIFIED FINANCIAL PLANNER™ Professional CFP®, and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”)**

Professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

Examination – Pass the comprehensive CFP® Certification Examination. The Examination 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.

### **Enrolled Agent with the US Treasury Department (2005)**

#### PROFESSIONAL DESIGNATION DISCLOSURES:

There are two tracks to becoming an enrolled agent. The two tracks are:

**Written examination.** Demonstrate special competence in tax matters by taking a written examination. This track requires that the candidate –

- Apply to take the Special Enrollment Examination (SEE);
- Achieve passing scores on all parts of the SEE;
- Apply for enrollment; and
- Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.

**IRS experience.** By virtue of past service and technical experience with the IRS qualifies the candidate for enrollment. This track requires that the candidate –

- Possess the years of past service and technical experience specified in [Circular 230](#);
- Apply for enrollment; and

- Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.

### **Qualifying Continuing Education**

To qualify for continuing education credit for an enrolled agent, a course of learning must —

- (A) Be a qualifying program designed to enhance professional knowledge in Federal taxation or Federal tax related matters (programs comprised of current subject matter in Federal taxation or Federal tax related matters, including accounting, tax preparation software and taxation or ethics);
- (B) Be a qualifying program consistent with the Internal Revenue Code and effective tax administration; and
- (C) Be sponsored by a qualifying sponsor.

### **Certified Divorce Financial Analyst® (2007)**

#### **PROFESSIONAL DESIGNATION DISCLOSURES:**

The Institute of Divorce Financial Analysts™ offers a credential for financial professionals in the divorce arena. A candidate must successfully complete one comprehensive exam based on the Certified Divorce Financial Analyst Self-Study course, be in good standing with his or her firm, broker/dealer and/or governmental regulation agencies, and complete 15 hours of divorce-related continuing education courses every two years.

To retain the Certified Divorce Financial Analyst® designation, a CDFA® must obtain 15 hours of Continuing Education (CE) every two years (all of which must be divorce related), remain in good standing with the IDFA™, and keep his/her dues current.

The IDFA™ offers annual conferences – where a candidate can obtain CE credits for the CDFA®, and CFP® designations. Continuing education can also be obtained by attending divorce-related courses offered by:

- Your Local Bar Association
- Your Financial Planning Association
- Correspondence Courses
- Local CDFA® Continuing Ed Programs
- Collaborative or Mediation Organizations

She currently holds the Series 7 (General Securities Representative), and 66 (NASAA Uniform Combined State Law Exam) licenses.

### **Item 3 - Disciplinary Information**

Stonebridge Financial Planning Group, LLC is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Dianne M. Webb. No events have occurred that are applicable to this Item.

### **Item 4 – Outside Business Activities**

Dianne M. Webb is also a registered representative of Triad Advisors, LLC In this capacity, she may provide securities brokerage services and implement securities transactions under a commission based arrangement. This practice is a conflict of interest because it gives her an incentive to recommend investment products based on compensation received rather than on the client's needs. She may also receive compensation based upon the sale of investment products. This compensation gives her an incentive to recommend investment products based on the compensation received, rather than on client needs. We manage this conflict of interest by disclosing it here and reviewing the suitability of each proposed transaction that would result in payment of commissions prior to approving said transaction. As a CFP® professional, Ms. Webb must act in your best interest when recommending investment products to you.

As an insurance sales agent, she is licensed to sell life insurance since November 2005 on behalf of various insurance companies through Stonebridge Financial Planning Group, LLC. Ms. Webb receives commission trails on legacy policies sold prior to Stonebridge becoming a state-licensed insurance agency. Ms. Webb does not receive commissions on insurance products sold since then, although Stonebridge receives a commission for the sale of such products. This presents a conflict of interest in that she has an incentive to increase the compensation received by Stonebridge. You are under no obligation to purchase insurance products through any particular insurance agency or IAR and may affect any such transactions where you desire. Insurance products may be available to you elsewhere at lower cost. We manage this conflict of interest by requiring all IARs who are licensed to offer insurance products to our clients to review the potential sale of any products for the purpose of determining adherence to applicable insurance suitability standards and fully disclosing to a client when a particular transaction will result in the receipt of commissions or other associated fees. As a CFP® professional, Ms. Webb must act in your best interest when recommending insurance products to you.

### **Item 5 - Additional Compensation**

Dianne M. Webb receives compensation from Triad based on revenue and other qualifiers from the prior year. This compensation is in the form of a reward trip. Awards of this nature create a conflict of interest in that Dianne Webb has an incentive to maximize revenue generated by Stonebridge in order to earn trips from Triad. We

manage this conflict of interest by carefully reviewing our investment recommendations to assure they are in the client's best interests and are not based on revenue considerations.

## **Item 6 – Supervision**

Stonebridge Financial Planning Group, LLC has adopted, and periodically updates, the compliance manual that outlines for each employee the various rules and regulations they are required to adhere to. Stonebridge has appointed a Chief Compliance Officer who reviews and monitors employee activity with respect to the rules and regulations. In addition, Stonebridge has adopted a Code of Ethics that requires each employee to act in the best interest of client's at all times. Should you have questions related to these activities, please contact Dianne M. Webb, President/Chief Compliance Officer at (407) 695-7100.



**Stonebridge**<sup>TM</sup>  
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## Item 1- Cover Page

Rhonda Shurtleff

Stonebridge Financial Planning Group, LLC

203 Hillcrest Street

Orlando, FL 32801

(407) 695-7100

March 9, 2020

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

## Item 2- Educational Background and Business Experience

**Rhonda Shurtleff, CFP<sup>®</sup>, CDFP<sup>®</sup>, Enrolled Agent, RSSA<sup>®</sup> (CRD #4305032)  
Date of Birth 1957**

### EDUCATION:

Certificate of Financial Planning from College for Financial Planning, Denver, CO (2014)  
Business Administration Bachelor’s Degree (BSBA) in Communications from Rollins College, Winter Park, FL (2006)

### EMPLOYMENT:

Financial Advisor – Stonebridge Financial Planning Group, LLC  
(2/14/15 to present)  
Financial Planning Assistant - Stonebridge Financial Planning Group, LLC  
(4/2013 to 2/13/15)  
Registered Representative - Triad Advisors, LLC (4/2013 to Present)  
Registered Person – SunTrust Investment Services (7/2002 to 4/2013)  
Registered Person – New York Life (11/2000 – 2/2001)

**PROFESSIONAL DESIGNATIONS:**

CERTIFIED FINANCIAL PLANNER™ Professional (2014)  
CERTIFIED DIVORCE FINANCIAL ANALYST® Professional (2014)  
ENROLLED AGENT with the US Treasury Department (2017)  
REGISTERED SOCIAL SECURITY ANALYST® Professional (2019)

**PROFESSIONAL DESIGNATION DISCLOSURES:**

**CERTIFIED FINANCIAL PLANNER™ Professional, CFP®, and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”)**

Professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

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Examination – Pass the comprehensive CFP® Certification Examination. The Examination, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;

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® (2014)**

#### PROFESSIONAL DESIGNATION DISCLOSURES:

The Institute of Divorce Financial Analysts™ offers a credential for financial professionals in the divorce arena. A candidate must successfully complete one comprehensive exam based on the Certified Divorce Financial Analyst Self-Study course, be in good standing with his or her firm, broker/dealer and/or governmental regulation agencies, and complete 15 hours of divorce-related continuing education courses every two years.

To retain the Certified Divorce Financial Analyst® designation, a CDFA® must obtain 15 hours of Continuing Education (CE) every two years (all of which must be divorce related), remain in good standing with the IDFA™, and keep his/her dues current.

The IDFA™ offers annual conferences – where a candidate can obtain CE credits for the CDFA®, and CFP® designations. Continuing education can also be obtained by attending divorce-related courses offered by:

- Your Local Bar Association
- Your Financial Planning Association
- Correspondence Courses
- Local CDFA® Continuing Ed Programs

- Collaborative or Mediation Organizations

### **Enrolled Agent with the US Treasury Department (2017)**

#### PROFESSIONAL DESIGNATION DISCLOSURES:

There are two tracks to becoming an enrolled agent. The two tracks are:

**Written examination.** Demonstrate special competence in tax matters by taking a written examination. This track requires that the candidate –

- Apply to take the Special Enrollment Examination (SEE);
- Achieve passing scores on all parts of the SEE;
- Apply for enrollment; and
- Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.

**IRS experience.** By virtue of past service and technical experience with the IRS qualifies the candidate for enrollment. This track requires that the candidate –

- Possess the years of past service and technical experience specified in [Circular 230](#);
- Apply for enrollment; and
- Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.

**Qualifying Continuing Education.** To qualify for continuing education credit for an enrolled agent, a course of learning must —

- (A) Be a qualifying program designed to enhance professional knowledge in Federal taxation or Federal tax related matters (programs comprised of current subject matter in Federal taxation or Federal tax related matters, including accounting, tax preparation software and taxation or ethics);
- (B) Be a qualifying program consistent with the Internal Revenue Code and effective tax administration; and
- (C) Be sponsored by a qualifying sponsor.

### **Registered Social Security Analyst® (2019)**

#### PROFESSIONAL DESIGNATION DISCLOSURES:

The National Association of Registered Social Security Analysts, Ltd. (NARSSA) offers the Registered Social Security Analyst (RSSA®) credential to professional advisors that seek to learn more about Social Security and Medicare rules that impact their clients. Candidates must successfully complete a 5-course self-study online RSSA® program, after which they may sit for the RSSA® Competency Final Exam. This exam is 4 hours long and proctored by a live person. It is a two-part exam that consists of 80 multiple-choice questions and a case study using online financial software. Upon passing the RSSA® Competency Final Exam candidates become Registered Members and may use the RSSA® credential. All members must agree to abide by the NARSSA's Code of Professional Conduct. To retain the RSSA® credential, members must annually fulfill 4 hours of continuing education.

She currently holds the Series 6 (Limited Securities Representative), Series 7 (General Securities Representative), 26 (Investment Company Products/Variable Contracts Limited Principal), 63 (NASAA Uniform Securities Agent State Law Exam) and 66 (NASAA Uniform Combined State Law Exam) licenses.

### **Item 3 - Disciplinary Information**

Stonebridge Financial Planning Group, LLC is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Rhonda Shurtleff. No events have occurred that are applicable to this Item.

### **Item 4 - Outside Business Activities**

Rhonda Shurtleff is also a registered representative of Triad Advisors, LLC. In this capacity, she may provide securities brokerage services and implement securities transactions under a commission based arrangement. This practice is a conflict of interest because it gives her an incentive to recommend investment products based on compensation received rather than on the client's needs. She may also receive compensation based upon the sale of investment products. This compensation gives her an incentive to recommend investment products based on the compensation received, rather than on client needs. We manage this conflict of interest by disclosing it here and reviewing the suitability of each proposed transaction that would result in payment of commissions prior to approving said transaction. As a CFP® professional, Ms. Shurtleff must act in your best interest when recommending investment products to you.

As an insurance sales agent, she is licensed to sell life insurance since October 2000 on behalf of various insurance companies through Stonebridge Financial Planning Group, LLC. Ms. Shurtleff does not receive compensation based on the sale of these insurance products, although Stonebridge will receive a commission for the sale of such products. This presents a conflict of interest in that she has an incentive to increase the compensation received by Stonebridge. You are under no obligation to purchase insurance products through any particular insurance agency or IAR and may affect any such transactions where you desire. Insurance products may be available to you elsewhere at lower cost. We manage this conflict of interest by requiring all IARs who

are licensed to offer insurance products to our clients to review the potential sale of any products for the purpose of determining adherence to applicable insurance suitability standards and fully disclosing to a client when a particular transaction will result in the receipt of commissions or other associated fees. As a CFP® professional, Ms. Shurtleff must act in your best interest when recommending insurance products to you.

### **Item 5 - Additional Compensation**

Ms. Shurtleff receives a bonus for bringing new accounts to the firm. Other than that and her salary, she does not receive any economic benefit for providing advisory services. This presents a conflict of interest in that Ms. Shurtleff has an incentive to maximize the number of clients that Stonebridge takes on. We manage this conflict of interest by carefully reviewing clients that Ms. Shurtleff signs on to insure that investment recommendations are made in the client's best interest.

### **Item 6 – Supervision**

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## Item 1- Cover Page

Rebecca Robey

Stonebridge Financial Planning Group, LLC

203 Hillcrest Street

Orlando, FL 32801

(407) 695-7100

March 9, 2020

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

## Item 2- Educational Background and Business Experience

**Rebecca A Robey, CFP®, CDFA® (CRD #6368726)**

Date of Birth 1967

### EDUCATION:

Certificate of Financial Planning from Florida State University in Tallahassee, FL (2018) Mathematics Education Bachelor’s Degree (BS) from University of Central Florida in Orlando, FL (1988)

### EMPLOYMENT:

Financial Advisor - Stonebridge Financial Planning Group, LLC (7/2019 to Present)

Paraplanner FPQP® – Stonebridge Financial Planning Group, LLC (06/2015 to 07/2019)

Registered Representative - Triad Advisors, LLC (04/2017 to Present)

**PROFESSIONAL DESIGNATIONS:**

CERTIFIED FINANCIAL PLANNER™ Professional (2019)

CERTIFIED DIVORCE FINANCIAL ANALYST® Professional (2019)

**PROFESSIONAL DESIGNATION DISCLOSURES:**

**CERTIFIED FINANCIAL PLANNER™ Professional, CFP®, and federally registered CFP**

**(with flame design) marks (collectively, the “CFP® marks”)**

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### **Certified Divorce Financial Analyst® (2019)**

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- Correspondence Courses
- Local CDFA® Continuing Ed Programs

- Collaborative or Mediation Organizations

### **Item 3 - Disciplinary Information**

Stonebridge Financial Planning Group, LLC is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Rebecca Robey. No events have occurred that are applicable to this Item.

### **Item 4 - Outside Business Activities**

Rebecca Robey is also a registered representative of Triad Advisors, LLC. In this capacity, she may provide securities brokerage services and implement securities transactions under a commission based arrangement. This practice is a conflict of interest because it gives her an incentive to recommend investment products based on compensation received rather than on the client's needs. She may also receive compensation based upon the sale of investment products. This compensation gives her an incentive to recommend investment products based on the compensation received, rather than on client needs. We manage this conflict of interest by disclosing it here and reviewing the suitability of each proposed transaction that would result in payment of commissions prior to approving said transaction. As a CFP® professional, Ms. Robey must act in your best interest when recommending investment products to you.

As an insurance sales agent, she is licensed to sell life insurance since September 2016 on behalf of various insurance companies through Stonebridge Financial Planning Group, LLC. Ms. Robey does not receive compensation based on the sale of these insurance products, although Stonebridge will receive a commission for the sale of such products. This presents a conflict of interest in that she has an incentive to increase the compensation received by Stonebridge. You are under no obligation to purchase insurance products through any particular insurance agency or IAR and may affect any such transactions where you desire. Insurance products may be available to you elsewhere at lower cost. We manage this conflict of interest by requiring all IARs who are licensed to offer insurance products to our clients to review the potential sale of any products for the purpose of determining adherence to applicable insurance suitability standards and fully disclosing to a client when a particular transaction will result in the receipt of commissions or other associated fees. As a CFP® professional, Ms. Robey must act in your best interest when recommending insurance products to you.

### **Item 5 - Additional Compensation**

Ms. Robey receives a bonus for bringing new accounts to the firm. Other than that and her salary, she does not receive any economic benefit for providing advisory services. This presents a conflict of interest in that Ms. Robey has an incentive to maximize the number of clients that Stonebridge takes on. We manage this conflict of interest by carefully reviewing clients that Ms. Robey signs on to insure that investment recommendations are made in the client's best interest.



## **Item 6 – Supervision**

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