

Norman Scott Gunn, J.D., CFP®, CPFA®

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Independent Advisor Alliance



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FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about Scott Gunn that supplements the Independent Advisor Alliance brochure. You should have received a copy of that brochure. Please contact us at **888.430.1555** if you did not receive Independent Advisor Alliance brochure or if you have any questions about the contents of this supplement.

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

Item 2 Educational Background and Business Experience

Investment Advice offered through Independent Advisor Alliance, a registered investment advisor. Stockbridge Wealth Advisors and Independent Advisor Alliance are separate entities.

Scott Gunn

Year of Birth: 1969

Education:

- Duke University School of Law, Durham, NC; Juris Doctorate
- Bucknell University, Lewisburg, PA; Bachelor of Arts, Economics

Business Background:

- Independent Advisor Alliance, LLC; Investment Advisor Representative, 2023 – Present
- LGT Financial Advisors LLC; Member, 2016 – 2022
- LGT Financial Advisors LLC; Principal, 2009 – 2015
- LGT Insurance Services, Inc.; Officer, 2009 – 2022
- Lane Gorman Trubitt, LLC; Partner, 2016 – 2022
- Lane Gorman Trubitt, LLC; Principal, 2009 – 2015
- Investment Security Corporation, Branch Manager, 2012 – 2022
- Lido Advisors, LLC, Investment Advisor Representative, 2013 – 2019
- Girard Securities, Inc., Registered Representative, 2009 – 2012
- EFG Corp.; Principal, Investment Advisor Representative, 2008 – 2008
- EFG Corp.; Investment Advisor Representative, 2009 – 2009
- Merrill Lynch, Pierce, Fenner & Smith, Inc., Financial Advisor, 2006 – 2008
- MML Investors Services, Inc., Registered Representative, 2004 – 2006
- Mass Mutual Life Insurance, Agent, 2003 – 2004
- Stockbridge Advisors, LLC, Owner, 2002 – 2004.
- Ostrow Reisin Berk & Abrams LTD, VP of Financial Services, 2002 – 2003
- The Harris Private Bank, Financial Planner, 2001 – 2022
- KPMG, Senior Manager of Personal Financial Planning, 1999 – 2021
- They Ayco Company, LP; Financial Planner, 1998 – 1999
- They Ayco Company, LP; Financial Planning Associate, 1995 – 1997

Certifications:

- Certified Financial Planner™ (CFP®)
- Certified Plan Fiduciary Advisor (CPFA®)

CFP®

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

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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, 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
- 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.

CPFA®

The Certified Plan Fiduciary Advisor, CPFA®, is a financial professional that demonstrates expertise and experience working with retirement plans. During the CPFA® certification,

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candidates spend approximately two months learning about fiduciary services for retirement plans.

To achieve a CPFA® certification, candidates must pass the National Association of Plan Advisors (NAPA) CPFA® examination. The CPFA® exam covers an array of topics including fiduciary roles and responsibilities, fiduciary oversight, plan investment management, and plan management. All exams are conducted at Prometric Testing Centers around the U.S. These exams ensure that the candidates can retain the information the modules provide and can apply it to situations their clients may face. Once the candidate receives the CPFA® designation, they must complete continuing education requirements every year to ensure the CPFA® is current on their knowledge of retirement plans.

Item 3 Disciplinary Information

I am required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of my advisory business or integrity. I have no information applicable to this item. Additional information is contained on <http://brokercheck.finra.org> or www.adviserinfo.sec.gov that you may wish to review.

Item 4 Other Business Activities

In addition to offering advisory services, I am also involved in the following investment-related businesses or occupations:

I am affiliated with Stockbridge Wealth Advisors. This is a business name that is used as a DBA (do business as) advisory business conducted through Independent Advisor Alliance.

I am also licensed as an independent insurance agent and appointed through various insurance companies to offer life insurance, long-term care insurance, fixed annuities, health and disability insurance. In such capacity, I can sell insurance products to clients and receive normal and customary compensation in the form of commissions. The potential for receipt of commissions and other compensation gives me an incentive to recommend insurance products based on the compensation received, rather than on your needs. To address this, client's purchasing insurance will receive certain disclosure documents and complete an insurance application process when conducting such transactions.

Item 5 Additional Compensation

I may receive compensation from 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 \$100 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Product sponsors may also pay for education or training events that I may attend.

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Item 6 Supervision

Robert Russo is the owner and CEO of Independent Advisor Alliance. Robert Russo and the Chief Compliance Officer, Jessica Sexton, are responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address my supervisory responsibilities including periodically reviewing investment recommendations, trades and communications with clients.

Robert Russo and/or Jessica Sexton can be reached at 888-430-1555.