



**Diana L. Bacon**

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**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Diana L. Bacon that supplements the Apella Capital, LLC, DBA Apella Wealth (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-781-6550 if you did not receive the brochure or if you have any questions about the contents of this supplement.**

**Additional information about Diana L. Bacon is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Her individual CRD number is 3082742.**

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## ***Educational Background and Business Experience***

Form ADV Part 2B, Item 2

### **Diana Bacon**

*Year of Birth:* 1972

#### *Formal Education after High School:*

- University at Albany, B.S., 1997
- Dallas Baptist University, MBA, 2001

#### *Business Background for the Previous Five Years:*

- Ms. Bacon is registered as an Investment Adviser Representative of Apella.
- Ms. Bacon started with Apella in January 2020 and currently holds the position of Senior Financial Advisor. Prior to joining Apella, Ms. Bacon was the owner and Investment Advisor Representative of Bacon Financial Management, Inc., Dallas, Texas.

Ms. Bacon has been working with executives, small business owners, retirees, and families for over a decade. Ms. Bacon began her career at The Ayco Company, LP, in 1998 as a financial analyst. She also served as the Regional Training Coordinator for Financial Analysts and Staff Attorneys. She left Ayco in 2002 to join the Personal Financial Counseling Practice at Ernst & Young LLP. During her time as a Manager at Ernst & Young, Diana provided tax and investment advice to executives of Fortune 500 companies with a focus on stock option strategies although she oversaw all aspects of personal financial planning for her executive clients, including the areas of income tax, estate tax, investments, and retirement.

#### *Certifications*

- Ms. Bacon earned the **Certified Financial Planning designation, (“CFP®”)** in 2003.

The **Certified Financial Planner™, CFP®** and federally registered CFP (marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by the 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. 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 is a 170-question, multi-choice test that consists of two 3-hour sections during one day. Each section is divided into two distinct subsections. The exam includes stand-alone questions, as well as questions associated with case studies.

**Experience:** Complete at least three years of full-time financial planning-related experience (or the

equivalent, measured as 2,000 hours per year).

**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. 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.

**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.

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.

Additional information regarding this designation is available by contacting the CFP Board at [www.CFP.net](http://www.CFP.net).

### ***Disciplinary Information***

Form ADV Part 2B, Item 3

Apella is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

#### **Diana Bacon**

No information is applicable to this item for Ms. Bacon.

- A. Ms. Bacon has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. was found to have been involved in a violation of an investment-related statute or regulation; or
  4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Ms. Bacon has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
    - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business; ac
    - b) barring or suspending the supervised person's association with an investment-related business;
    - c) otherwise significantly limiting the supervised person's investment-related activities; or
    - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. Ms. Bacon has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

Form ADV Part 2B, Item 3

- D. Ms. Bacon has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

### ***Other Business Activities***

#### **Diana L. Bacon**

Form ADV Part 2B, Item 4

- In addition to financial planning services, Ms. Bacon oversees income tax preparation for some tax planning clients. Diana does not prepare any tax returns, nor does Apella Capital.
- Ms. Bacon owns and operates Bacon Coaching Services, a consulting company that provides strength and conditioning classes for adults, children and families.

***Additional Compensation***

Form ADV Part 2B, Item 5

Ms. Bacon receives the net income from Bacon Coaching Services.



### ***Supervision***

Form ADV Part 2B, Item 6

Ms. Bacon is an Investment Adviser Representative of Apella and subject to the firm's policies and procedures. Ms. Bacon is supervised by James J. Scanlan, President at Apella. Mr. Scanlan can be reached at 401-829-0047.