



**Samantha L. Heflin**

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**Apella Capital, LLC**

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**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Samantha L. Heflin 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 Samantha L. Heflin is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Her individual CRD number is 7787291.

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## **Educational Background and Business Experience**

Form ADV Part 2B, Item 2

### **Samantha L. Heflin**

*Year of Birth:* 1999

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

- University of Georgia, Bachelor of Science in Financial Planning, 2020
- University of Georgia, Master of Science in Financial Planning, 2021

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

- Ms. Heflin is registered as a Investment Adviser Representative with Apella. Ms. Heflin started with Apella in 2023 as a Resident Financial Planner. Prior to joining Apella, Ms. Heflin worked at the following financial institutions:
  - Inspired Financial (06/2021 - 06/2023)
  - University of Georgia Transportation Services (10/2018-05/2021)
  - Burlington (12/2017-08/2018)
  - Culvers (11/2016-12/2017)

#### *Certifications and Professional Designations:*

- Certified Financial Planner® (CFP) 2023

**Certified Financial Planner** 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 (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).

### **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.

#### **Samantha L. Heflin**

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

- A. Ms. Heflin 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 plead 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. Heflin 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;
    - 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. Heflin 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. Heflin 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***

**Samantha L. Heflin**

Form ADV Part 2B, Item 4

- Ms. Heflin is not engaged in any investment or non-investment related business activities separate from Apella.

***Additional Compensation***

Form ADV Part 2B, Item 5

Ms. Heflin does not receive any additional compensation such as, but not limited to, sales awards, other prizes and from any other source outside of Apella.

***Supervision***

Form ADV Part 2B, Item 6

Ms. Heflin is supervised by Evelyn Zohlen, Regional Director at Apella. Ms. Zohlen can be reached at 714-971-0663.