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# ADV Part 2B Brochure Supplement



## STRATEGIC PLANNING GROUP, INC.

57 River Street, Suite #306  
Wellesley Hills, MA 02481

Tel. 781-444-9010  
Fax 781-444-8876  
[www.spg1.net](http://www.spg1.net)

March 2024

This brochure supplement provides information about the investment advisory representatives and supplements the information provided in the Strategic Planning Group, Inc. ("SPG") brochure. You should have received a copy of that brochure. Please contact Strategic Planning Group, Inc. at 781-444-9010 or by email at [info@spg1.net](mailto:info@spg1.net) if you did not receive the brochure or if you have any questions about the content of this supplement.

Additional information about Strategic Planning Group, Inc. ("SPG") and its investment advisory personnel is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for Strategic Planning Group, Inc. ("SPG") is 124855. Information on Strategic Planning Group, Inc. ("SPG") personnel can be accessed via their personal CRD number.

## Education and Business Standards

Strategic Planning Group, Inc. ("SPG") requires that all advisors it employ have a Bachelor's degree and/or further coursework demonstrating knowledge of investments, financial planning and tax planning. Examples of acceptable coursework include: Bachelor's degree, MBA or RFC®. Additionally, advisors must have work experience that demonstrates their aptitude for investment management, and financial planning.

Strategic Planning Group, Inc. ("SPG") requires that any employee whose function involves determining or giving investment advice to clients must:

- Have previous experience in insurance, investments, accounting, or financial planning;
- Be properly licensed for all advisory activities in which they are engaged.

## Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

*Uniform Registered Investment Advisor Representative (Series 65):* The Series 65 is a securities license required by most U.S. states for individuals who act as investment advisors. The Series 65 exam, called the Uniform Investment Adviser Law Examination, covers laws, regulations, ethics, and topics such as retirement planning, portfolio management strategies, and fiduciary responsibilities. While there are no prerequisites in order to sit for the Series 65 exam some firms require significant industry experience as well as other industry designations to manage client's accounts and provide professional investment advice.

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This brochure supplement provides information about Jarrod Andrew Sherman that supplements the information provided in the Strategic Planning Group, Inc. ("SPG") brochure. You should have received a copy of that brochure. Please contact the Chief Compliance Officer at 781-444-9010 or by email at [info@spg1.net](mailto:info@spg1.net) if you did not receive the brochure or if you have any questions about the content of this supplement.

Additional information about Jarrod Andrew Sherman is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) via his personal Web CRD number. The searchable IARD/CRD number for Strategic Planning Group, Inc. ("SPG") is 124855.

Jarrold Andrew Sherman

Personal CRD#2868422

Item 2: Education Background and Business Experience

- Year of birth: 1974

## Education &amp; Professional Designation:

- Assumption College, Bachelor of Arts, English, May 1996
- Series 65, May 2011

## Recent Business Background:

- Strategic Planning Group, Inc. – Principal, Chief Compliance Officer, September 2000 to Present

Item 3: Disciplinary Information

In September 2019, the SEC and the Massachusetts Securities Division issued Orders based on Offers of Settlement from SPG, David Rourke and Jarrod Sherman. The Orders found that the Firm, Rourke and Sherman invested the firm's clients' funds in the stock of Ecoark Holdings, Inc. but had failed to disclose to such clients that Rourke and Sherman had both personally invested in Ecoark stock and had also received shares of Ecoark stock in exchange for providing consulting services to the company. As a result, the Firm, Rourke and Sherman breached their fiduciary duties to the firm's clients by failing to disclose the resulting inherent conflict of interest. Both Orders censured the parties, ordered them to cease and desist from further violations and imposed monetary penalties. The SEC Order assessed a monetary penalty against Mr. Sherman personally of \$75,000.

Item 4: Other Business Activities

- None

Item 5: Additional Compensation

- No additional compensation for advisory business

Item 6: Supervision

Jarrold Andrew Sherman is Principal for Strategic Planning Group, Inc. His compliance related activities are supervised by David Rourke, President. Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Jarrod's work is periodically reviewed by David Rourke to ensure compliance. This includes, but is not limited to, the following items:

- Client communications including e-mails, internal notes and memos
- Financial Plans, Investment Policy Statements and client recommendations
- Portfolio reports and trade records
- Client meetings and on-site visits
- Creation of advertising and marketing pieces
- Pre-clearance of personal securities transactions

*Supervisor's contact information:*

David Rourke, President ♦ 781-444-9010 ♦ info@spg1.net

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This brochure supplement provides information about David Alexander Rourke Sr. that supplements the information provided in the Strategic Planning Group, Inc. ("SPG") brochure. You should have received a copy of that brochure. Please contact the Chief Compliance Officer at 781-444-9010 or by email at [info@spg1.net](mailto:info@spg1.net) if you did not receive the brochure or if you have any questions about the content of this supplement.

Additional information about David Alexander Rourke Sr. is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) via his personal Web CRD number. The searchable IARD/CRD number for Strategic Planning Group, Inc. is 124855.

**David Alexander Rourke Sr.**

Personal CRD#2089364

**Item 2: Education Background and Business Experience**

- Year of birth: 1968

## Education &amp; Professional Designation:

- Holy Cross College, Bachelor of Arts, Economics, May 1990
- Series 65, April 1995

## Recent Business Background:

- Strategic Planning Group, Inc. – Principal, President, March 1994 to Present

**Item 3: Disciplinary Information**

David Rourke recommended the purchase of Class B mutual fund shares to five of his customers from July 2002, through March 2004. Mr. Rourke performed an analysis on A, B and C shares, and at the time, had determined that the B shares were best suited for these clients. Mr. Rourke discussed the different options and prices with the clients, and we were all comfortable with the choices. During a review of mutual fund transactions in a routine audit by the NASD, it was determined that these purchases were unsuitable for the affected clients. Mr. Rourke discussed this in depth with the NASD personnel, reviewed their recommendations, and decided that their summary of this activity was correct. Mr. Rourke voluntarily reversed the trades and put these clients into share classes that were better suited for their respective portfolio. Without admitting or denying the allegations, Mr. Rourke consented to the described sanctions and to the entry of the findings. Mr. Rourke was suspended from association with any NASD member in any capacity for ten business days and fined \$7,500. Suspension commenced on October 3, 2005, and concluded October 14, 2005.

In September 2019, the SEC and the Massachusetts Securities Division issued Orders based on Offers of Settlement from SPG, David Rourke and Jarrod Sherman. The Orders found that the Firm, Rourke and Sherman invested the firm's clients' funds in the stock of Ecoark Holdings, Inc. but had failed to disclose to such clients that Rourke and Sherman had both personally invested in Ecoark stock and had also received shares of Ecoark stock in exchange for providing consulting services to the company. As a result, the Firm, Rourke and Sherman breached their fiduciary duties to the firm's clients by failing to disclose the resulting inherent conflict of interest. Both Orders censured the parties, ordered them to cease and desist from further violations and imposed monetary penalties. The SEC Order assessed a monetary penalty against Mr. Rourke personally of \$75,000.

**Item 4: Other Business Activities**

- None

**Item 5: Additional Compensation**

- No additional compensation for advisory business

**Item 6: Supervision**

David Alexander Rourke Sr. is a Principal for Strategic Planning Group, Inc. His compliance related activities are supervised by Jarrod Andrew Sherman, Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of David's work is periodically audited by Jarrod Sherman to ensure compliance. This includes, but is not limited to, the following items:

- Client communications including e-mails, internal notes and memos
- Financial Plans, Investment Policy Statements and client recommendations
- Portfolio reports and trade records
- Client meetings and on-site visits
- Creation of advertising and marketing pieces
- Pre-clearance of personal securities transactions

*Supervisor's contact information:*

Jarrod Andrew Sherman, Principal, CCO ♦ 781-444-9010 ♦ info@spg1.net