

# Form ADV Part 2B Brochure Supplement

Michael J. Lantz, CFP®

Lantz Financial, LLC

1733 Park Street, Suite 350

Naperville, IL 60563

(331) 204-6230

[www.lantzteam.com](http://www.lantzteam.com)

May 09, 2023

This Brochure Supplement provides information about Michael J. Lantz that supplements the Lantz Financial, LLC (Lantz) Brochure which you should have received. Please contact us at (331) 204-6230 if you did not receive the Lantz Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Lantz is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

Michael J. Lantz, born in 1968, founded the firm in 2017 and serves as the firm's Managing Principal. Prior to registering the firm as an investment adviser in 2018, he was a registered representative for Wells Fargo Advisors Financial Network, LLC from 2017 to 2018, and for Wells Fargo Advisors, LLC from 2009 through 2017. He was a registered representative for Wachovia Securities LLC from 2008 to 2009, was a financial consultant for A.G. Edwards from 1993 to 2008, and was associated with Edward D. Jones & Co., LP from 1990 to 1993.

Mr. Lantz received a Bachelor of Arts degree in Management from North Central College in 1990.

Mr. Lantz earned his Certified Financial Planner® certificate in 1996.

The CERTIFIED FINANCIAL PLANNER™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc. Candidates are required to complete a CFP-board registered program. They must also pass the CFP Certification Examination, which is a comprehensive six hour exam. The exam 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. Certified individuals are required to complete ongoing continuing education coursework, and continue to be bound by the Code of Ethics and Standards of Conduct. As a prerequisite to sitting for the CFP Certification Examination, candidates must hold a bachelor's degree (or higher) from an accredited college or university and have at least 6000 hours of professional financial planning experience (or 4000 hours of apprenticeship experience).

## **Item 3- Disciplinary Information**

Mr. Lantz is currently not subject to, nor has ever been subject to, any legal or disciplinary events of a material nature.

## **Item 4- Other Business Activities**

Mr. Lantz currently has no other reportable outside business activities.

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

Mr. Lantz does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

### **Item 6 - Supervision**

Mr. Lantz is the owner of the firm and consequently does not report to a supervisor. Kristin Crowley serves as the firm's Chief Compliance Officer and is responsible for oversight of the firm's regulatory compliance practices. Either may be contacted by mail or phone at the address or phone number listed above.

# Form ADV Part 2B Brochure Supplement

Daniel B. Rohlfing, CFP®

Lantz Financial, LLC

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Naperville, IL 60563

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This Brochure Supplement provides information about Daniel B. Rohlfing that supplements the Lantz Financial, LLC (Lantz) Brochure which you should have received. Please contact us at (331) 204-6230 if you did not receive the Lantz Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Rohlfing is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

Daniel B. Rohlfig, born in 1979, has been an investment advisor representative since the firm was registered as an investment adviser in 2018 and an equity owner since 2021. He was a registered representative for Wells Fargo Advisors Financial Network, LLC from 2017 to 2018, and for Wells Fargo Advisors, LLC from 2009 through 2017. He was a registered representative for Wachovia Securities LLC from 2008 to 2009, was a financial consultant for A.G. Edwards from 2006 to 2008 and was a financial planner/financial planning analyst for Capstone Financial Advisors, Inc. from 2001 to 2006.

Mr. Rohlfig received a Bachelor of Arts degree in Computer Science and a Bachelor of Science degree in Finance from North Central College in 2001.

Mr. Rohlfig earned his Certified Financial Planner® certificate in 2004.

The CERTIFIED FINANCIAL PLANNER™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc. Candidates are required to complete a CFP-board registered program. They must also pass the CFP Certification Examination, which is a comprehensive six hour exam. The exam 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. Certified individuals are required to complete ongoing continuing education coursework, and continue to be bound by the Code of Ethics and Standards of Conduct. As a prerequisite to sitting for the CFP Certification Examination, candidates must hold a bachelor's degree (or higher) from an accredited college or university and have at least 6000 hours of professional financial planning experience (or 4000 hours of apprenticeship experience).

## **Item 3- Disciplinary Information**

Mr. Rohlfig is currently not subject to, nor has ever been subject to, any legal or disciplinary events of a material nature.

## **Item 4- Other Business Activities**

Mr. Rohlfig currently has no other reportable outside business activities.

## **Item 5- Additional Compensation**

Mr. Rohlring does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

### **Item 6 - Supervision**

Mr. Rohlring reports to Michael J. Lantz, the Managing Principal of the firm. Kristin Crowley serves as the firm's Chief Compliance Officer and is responsible for oversight of the firm's regulatory compliance practices. Mr. Lantz or Ms. Crowley may be contacted by mail or phone at the address or phone number listed above.

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Derek Raridon

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May 09, 2023

This Brochure Supplement provides information about Derek Raridon that supplements the Lantz Financial, LLC (Lantz) Brochure which you should have received. Please contact us at (331) 204-6230 if you did not receive the Lantz Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Raridon is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

Derek Raridon, born in 1990, joined the firm in 2018 and became an investment advisor representative in 2023. He was a finance manager for Sears Holdings from 2016 to 2018 and a staff accountant for Harris Theater from 2013 to 2016.

Mr. Raridon received a Bachelor of Arts degree in Finance and a Bachelor of Arts degree in Economics from North Central College in 2013.

## **Item 3- Disciplinary Information**

Mr. Raridon is currently not subject to, nor has ever been subject to, any legal or disciplinary events of a material nature.

## **Item 4- Other Business Activities**

Mr. Raridon currently has no other reportable outside business activities.

## **Item 5- Additional Compensation**

Mr. Raridon does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Mr. Raridon reports to Michael J. Lantz, the Managing Principal of the firm. Kristin Crowley serves as the firm's Chief Compliance Officer and is responsible for oversight of the firm's regulatory compliance practices. Mr. Lantz or Ms. Crowley may be contacted by mail or phone at the address or phone number listed above.