

Part 2B of Form ADV Brochure Supplement

Diane L. Woodward, CFP®

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This Form ADV Part 2B (“Brochure Supplement”) provides information about Diane L. Woodward that supplements the Strategic Wealth Advisors Group, LLC (“SWAG”) Form ADV Part 2A (“Brochure”). You should have received a copy of our Brochure. Please contact us if you did not receive our Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Ms. Woodward is available on the SEC’s website at www.adviserinfo.sec.gov or by contacting us at the address and phone number above.

Item 2. Educational Background and Business Experience

Name of Representative: Diane L. Woodward, CFP®

Year of Birth: 1965

Education and Training

University of California, Santa Barbara, Bachelor of Arts, Economics, 1987

Series 7, General Securities Representative Examination

Series 63, Uniform Securities Agent State Law Examination

Series 66, Uniform Combined State Law Examination

Certified Financial Planner (CFP®)

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 68,000 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, 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 Standard 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 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 the CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Previous 5 Years of Business Experience

02/2019- Present	Strategic Wealth Advisors Group, Investment Adviser Representative
09/2009- Present	LPL Financial, Registered Representative

Item 3. Disciplinary Information

Not applicable.

Item 4. Other Business Activities

Ms. Woodward is a registered representative of LPL Financial ("LPL"), a registered broker-dealer, member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and the Securities Investor Protection Corporation ("SIPC"). Ms. Woodward is also a licensed insurance agent appointed with various insurance companies. In these capacities Ms. Woodward may recommend securities, insurance, or other products, and receive commissions and other compensation if products are purchased through any firms with which Ms. Woodward is affiliated. Thus, a potential conflict of interest may exist between the interests of Ms. Woodward and those of the advisory clients. However, clients are under no obligation to act upon any recommendations of Ms. Woodward or effect any transactions through Ms. Woodward if they decide to follow the recommendations.

When performing services as an investment adviser representative of SWAG, and/or a registered representative of LPL, Ms. Woodward uses 'doing business as' (DBA) Oak Tree Wealth Management.

Item 5. Additional Compensation

Ms. Woodward may receive the following economic benefits as a result of providing advisory services to clients:

Ms. Woodward may receive from LPL bonuses based on her production, awards of stock options to purchase shares of LPL's parent company, LPL Investment Holdings, Inc., reimbursement of fees she pays to LPL for items such as administrative services, and other things of value such as complimentary or reduced-cost attendance at LPL's national sales conference or top producer forums and events. These financial incentives from LPL are based on her overall business production.

Ms. Woodward 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 she may attend.

Item 6. Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's Rule 206(4)-7 policies and procedures. The primary purpose of the Registrant's policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act (the "Act"). The Registrant's team of compliance supervisors is responsible for implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. The Registrant's Chief Compliance Officer, Daxs Stadjuhar, directs the actions of the team on a day to day basis.

The Registrant supervises its personnel and the investments made in client accounts. The Registrant monitors the investments recommended to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives, and risk tolerance. The Registrant periodically reviews the advisory activities of its supervised persons, which may include office visits, routine conversations, and regular conference calls to train and explain the policies and procedures of the firm.

Should an employee or investment advisor representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Daxs Stadjuhar at 650-571-1934.