

## Item 1 Cover Page

A.

**Lisa A. Kelly**

Federmann Financial Advisors Inc.

ADV Part 2B, Brochure Supplement

Dated: February 26, 2025

Contact: Lisa A. Kelly, Chief Compliance Officer  
745 Route 25A, Suite C  
Rocky Point, New York 11778

B.

**This Brochure Supplement provides information about Lisa A. Kelly that supplements the Federmann Financial Advisors Inc. Brochure; you should have received a copy of that Brochure. Please contact Lisa A. Kelly, Chief Compliance Officer, if you did *not* receive Federmann Financial Advisors Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Lisa A. Kelly was born in 1964. Ms. Kelly graduated from College of William and Mary in 1986, with a Bachelor of Business Administration degree in Accounting. Ms. Kelly is President and has been an investment adviser representative of Federmann Financial Advisors Inc. since January 2006.

Ms. Kelly holds the designation of CERTIFIED FINANCIAL PLANNER®.

Ms. Kelly is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, she may refer to herself as a CERTIFIED FINANCIAL PLANNER® professional or a CFP® professional, and she may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold

the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

Ms. Kelly holds the designation of Certified Public Accountant ("CPA"). CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum

college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

Ms. Kelly also holds the designation of a Personal Financial Specialist ("PFS"). The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 75 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's *Code of Professional Conduct*, and is encouraged to follow AICPA's *Statement on Responsibilities in Financial Planning Practice*. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

### **Item 3 Disciplinary Information**

None.

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

- A. Lisa A. Kelly is not actively engaged in any investment-related business or occupation.
- B. Lisa A. Kelly, is a Certified Public Accountant. All tax preparation services rendered by Ms. Kelly are performed in her capacity as a representative of Federmann Financial. However, no client of Federmann Financial is under any obligation to use the tax preparation services of Federmann Financial. **Please Note:** Any recommendation by Federmann Financial and/or Ms. Kelly that a client utilize Federmann's Financial tax preparation services presents a conflict of interest, as Federmann Financial and/or Ms. Kelly have an economic incentive to make such recommendation based on the fees to be received, rather than a client's best interests.

### **Item 5 Additional Compensation**

None.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Lisa A. Kelly, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter 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 Ms. Kelly at (631) 981-1904.

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### **Anthony Visintin**

Federmann Financial Advisors Inc.

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Contact: Lisa A. Kelly, Chief Compliance Officer

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Rocky Point, New York 11778

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

## Item 2 Education Background and Business Experience

Anthony Visintin was born in 1996. Mr. Visintin graduated from Saint Leo University in 2018, with a Bachelor of Arts degree in Business Management and from Saint Leo University in 2020 with a Master's in Business Administration degree. Mr. Visintin has been a Wealth Management Associate of Federmann Financial Advisors Inc. since November 2020 and a Wealth Management Advisor since November 2021. Prior to that, Mr. Visintin was a student.

Mr. Visintin has held the designation of Enrolled Agent (EA) since August 2023. Enrolled Agent (EA) is a tax professional who has passed an IRS test covering all aspects of taxation, plus passed an IRS background check. Enrolled Agents have passed a three-day, 10.5-hour examination. The examination (called the Special Enrollment Examination) covers all aspects of federal tax law, including the taxation of individuals, corporations, partnerships, and various regulations governing IRS collections and audit procedures. Like CPAs and tax attorneys, EAs can handle any type of tax matter and represent their client's interests before the IRS. Unlike CPAs and tax attorneys, Enrolled Agents are tested directly by the IRS, and enrolled agents focus exclusively on tax

accounting. The “EA” designation may be revoked by the IRS’ Office of Professional Responsibility for malpractice.

### **Item 3 Disciplinary Information**

None.

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

- A. Anthony Visintin is not actively engaged in any investment-related business or occupation.
- B. Anthony Visintin is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

**Ashley E. White**

Federmann Financial Advisors Inc.

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**This Brochure Supplement provides information about Ashley White that supplements the Federmann Financial Advisors Inc. Brochure; you should have received a copy of that Brochure. Please contact Lisa A. Kelly, Chief Compliance Officer, if you did *not* receive Federmann Financial Advisors Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Ashley White was born in 1988. Ms. White graduated from Briarcliffe College in 2012, with a Bachelor of Arts degree in Business Management. Ms. White has been a Wealth Management Associate of Federmann Financial Advisors Inc. since November 2022. From July 2017 through November 2022, Ms. White was an Executive Assistant with Coastline Wealth Management.

## Item 3 Disciplinary Information

None.

## Item 4 Other Business Activities

- A. Ashley White is not actively engaged in any investment-related business or occupation.
- B. Ashley White is not actively engaged in any non-investment-related business or occupation for compensation.

**Item 5 Additional Compensation**

None.

**Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, Lisa A. Kelly, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter 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 Ms. Kelly at (631) 981-1904.