

# Jordan R. VanOort, CFA<sup>®</sup>, CFP<sup>®</sup>, CPWA<sup>®</sup>

XML Financial Group

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**This document provides information about Jordan VanOort that supplements the XML Financial Group (XML) ADV 2A Brochure and Wrap Fee Program Brochure (Brochures). If you were not provided with a Brochure or if you have questions about the content of this supplement please contact Compliance at [info@xmlfg.com](mailto:info@xmlfg.com) or 703.827.2300. The Brochures and additional information about XML and Jordan VanOort are available on the SEC's website at [adviserinfo.sec.gov](http://adviserinfo.sec.gov).**

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Jordan graduated from Yale University with a Bachelor of Arts. Jordan joined XML in 2021 and is a Senior Wealth Advisor of the Collins Investment Group division. He is also a registered representative with the affiliated broker-dealer, XML Securities, LLC, member FINRA/SIPC ("XML BD"). Previously, Jordan was an Associate Financial Advisor with Wells Fargo Advisors Financial Network, LLC since 2009.

### 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 high standard of professional education; stringent code of conduct and standards of practice; and ethical requirements that govern professional engagements with clients. The CFP certification maintains rigorous standards. To attain the right to use the CFP marks, an individual must satisfactorily fulfill the following requirements: Education: Approved curriculum; Examination: Comprehensive exam; Experience: 6,000 hours experience (or 4,000 hours through the apprenticeship pathway); Ethics: Strict code of conduct. A CFP must provide financial planning services at a fiduciary standard of care, meaning in the best interests of their clients. Failure to comply could result in suspension or permanent revocation of their CFP certification. Continuing Education (CE) requires the completion of 30 hours of CE every two years. To learn more about the CFP certification, please visit the CFP Board website: <https://www.cfp.net>.

### CHARTERED FINANCIAL ANALYST (CFA)

The curriculum for this designation is a self-study program consisting of three levels requiring approximately 250 hours of study for each level. Candidates must pass an exam for each level, as well. Prerequisites include an undergraduate degree and four years of professional experience involving investment decision-making or four years qualified work experience. There are no continuing education requirements. Areas of study involve fundamental investment principles, such as ethical and professional standards, economics, quantitative methods, corporate finance, portfolio management and wealth planning. The program's professional conduct requirements demand that both CFA candidates and charter holders adhere to the highest standards of ethical responsibility. CERTIFIED PRIVATE WEALTH ADVISOR (CPWA)

This designation is issued by the Investments & Wealth Institute. Prerequisites: Candidate must meet all of the following: Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA, CIMC, CFA, CFP, ChFC or CPA license; A satisfactory record of ethical conduct, as determined by IMCA's Admissions Committee; and Five years of professional client-centered experience in financial services or a related industry. Education Requirements: Candidate must complete the following: Six-month pre-study educational component, In-class program at The University of Chicago Booth School of Business, or online program through Yale School of Management. Continuing education requirement is 40 hours every two years.

## ITEM 3 DISCIPLINARY INFORMATION - None

## ITEM 4 OTHER BUSINESS ACTIVITIES

**BROKER AGENT:** Jordan is a registered representative with XML BD. This enables him to effect securities transactions for a commission in his capacity as a broker agent. He is able to offer brokerage services to both clients and non-clients of XML.

When acting in the capacity as a broker agent, he will receive compensation based on the sale of securities and brokerage products including, but not limited to, mutual fund share classes that pay sale charges and distribution or service ("trail") fees, transaction commissions, markup and markdowns on principal trades in bonds and other compensation as detailed in the Reg BI Disclosure document. This creates a conflict of interest as there is an inherent incentive to recommend brokerage products and effect transactions based on the broker agent's compensation. Please discuss any questions regarding brokerage compensation and the related conflicts of interest with this professional. Visit <https://www.xmlfg.com/brokerage-services/> to view the Reg BI Disclosure and additional disclosures and policies.

**ITEM 5 ADDITIONAL COMPENSATION** - None

**ITEM 6 SUPERVISION**

XML's investment advisor supervisory system includes, but is not limited to, principal approval of advisory agreements and amendments, email sample review, outside account review and trade monitoring. This individual's designated supervisor is Brett Bernstein, CFP®, CEO at 301.770.5234.