



**Investment Advisor Representative**

**Erin K. Goodrich, CFP®, AAMS®, AWMA®, CWS®, CES™**

**CRD # 5936568**

Shepherd Financial, LLC  
111 Congressional Boulevard, Suite 100  
Carmel, Indiana 46032  
Phone: (317) 975-5033

August 22, 2023

**Associated with the following Registered Investment Advisor**

**Shepherd Financial Investment Advisory, LLC**

**CRD # 288623**

111 Congressional Boulevard, Suite 100  
Carmel, Indiana 46032  
Phone: (317) 975-5033

This brochure supplement provides information about your Investment Adviser Representative (“your Advisor”), Erin K. Goodrich, who is registered and associated with Shepherd Financial Investment Advisory, LLC (Shepherd Financial Investment Advisory). This brochure is a supplement to the Shepherd Financial Investment Advisory Form ADV 2A brochures, of which you should have already received.

Additional information about your Investment Adviser Representative is available via the U.S. Securities and Exchange Commission's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Please Note: If you have not received a copy of the Form ADV 2A brochure, please contact Steven M. Wylam, Chief Compliance Officer, at (317) 975-5034. Brochure requests and additional questions may also be directed to Shepherd Financial Investment Advisory at (317) 975-5033.

## **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

Erin K. Goodrich, CFP®, AAMS®, AWMA®, CWS®, CES™

Year of Birth: 1988

### **Education**

Purdue University, Bachelor of Science, Consumer Financial Counseling & Planning, 2011

### **Business Experience**

Investment Adviser Representative, Shepherd Financial Investment Advisory CRD # 288623, October 2021 – Present

Investment Adviser Representative, Lincoln Investment CRD # 519, September 2021 – Present

Investment Adviser Representative, Capital Analysts CRD # 162200, September 2021 – Present

Registered Representative, Lincoln Investment CRD # 519, September 2021 – Present

Investment Adviser Representative, Schwab Private Client Investment Advisory CRD #159035, October 2015 – September 2021

### **Professional Licenses / Designations**

Mrs. Goodrich holds and maintains the following securities and insurance licenses and registrations required to engage in the offering of securities and investment products.

SIE – Securities Industry Essentials Examination

Series 7 - General Securities Representative Examination

Series 63 - Uniform Securities Agent State Law Examination

Series 66 – Uniform Combined State Law Examination

Indiana Resident Insurance Producer # 3117209 – Life, Accident & Health, Variable Life & Annuity

In addition, Mrs. Goodrich holds and maintains the following professional designation(s):

#### **Certified Financial Planner™ (CFP®)**

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: Certified Financial Planner Board of Standards, Inc.

Prerequisites: Candidate must meet the following requirements: A bachelor's degree (or higher) from an accredited college or university, and three years of full-time personal financial planning experience

Education Requirements: Candidate must complete a CFP-board registered program, or hold one of the following: CPA, ChFC, CLU, CFA, Ph.D. in business or economics, Doctor of Business Administration, Attorney's License

Exam Type: CFP Certification Examination

Continuing Education Requirements: 30 hours every two years

Accredited Asset Management Specialist<sup>SM</sup> (AAMS®)

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: College for Financial Planning – a Kaplan Company

Prerequisites: None

Education Requirements: Online self-study AAMS course and exam to be completed within 120 days of receiving program access; instructor-led option based on availability

Exam Type: Online, closed-book final exam

Continuing Education Requirements: 16 hours every two years

Accredited Wealth Management Advisor<sup>SM</sup> (AWMA®)

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: College for Financial Planning – a Kaplan Company

Prerequisites: None

Education Requirements: Online self-study AWMA course and exam to be completed within 120 days of receiving program access; instructor-led option based on availability

Exam Type: Online, closed-book final exam

Continuing Education Requirements: 16 hours every two years

Certified Wealth Strategist® (CWS®)

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: Cannon Financial Institute

Prerequisites: Three years of experience in the financial services industry that must also include direct interaction with clients and a 4-year degree from an accredited school

Education Requirements: Candidate must complete the following: Two instructor-led training sessions, self-directed study on numerous wealth management issues, and Capstone project

Exam Type: Ten Mastery Exams, one for each directed study module

Continuing Education Requirements: 33 hours every two years

Certified Estate and Trust Specialist® (CES®)

Designation Status: Currently offered and recognized by the issuing organization

Issuing Organization: Institute of Business and Finance

Prerequisites: Candidate must have a bachelor's degree or one year of financial services work experience

Education Requirements: Self-study course, including written case study

Exam Type: Online, proctored, closed-book exams

Continuing Education Requirements: 30 hours every two years

**DISCIPLINARY INFORMATION**

Mrs. Goodrich has no material legal or disciplinary events to report.

**OTHER BUSINESS ACTIVITIES**

Mrs. Goodrich is a registered representative and investment adviser representative of Lincoln Investment and an investment adviser representative of Capital Analysts. Lincoln Investment and Capital Analysts are affiliated entities under common control. Mrs. Goodrich may offer the services of either company when making financial recommendations to you. These companies offer similar services and products, but

with different pricing structures for the services being offered. This may present a conflict of interest in that a recommendation to use a particular firm may be viewed as being in the best economic interest of Mrs. Goodrich. If you purchase commissionable products through your Advisor, your Advisor will receive a commission, and in the case of mutual funds, possibly a 12b-1 fee. You are under no obligation to purchase commissionable products through Mrs. Goodrich. However, please note Mrs. Goodrich will recommend to you the services he believes are most appropriate for you.

Mrs. Goodrich is licensed to solicit, offer, and sell insurance products. Your Advisor may be appointed with various insurance companies. Mrs. Goodrich may receive separate, yet customary, commission and other financial incentive compensation resulting from the purchases and sales of insurance products. You are under no obligation to purchase insurance products through Mrs. Goodrich.

Your Advisor may be engaged in other outside business activities that have been identified as follows: Mrs. Goodrich is an employee of Shepherd Financial, LLC, the operating entity for Shepherd Financial Investment Advisory.

### **ADDITIONAL COMPENSATION**

Please refer to the Fees and Compensation section in Shepherd Financial Investment Advisory's Form ADV 2A of which should have been provided to you by your Advisor. This section describes in detail the potential other forms of compensation, in addition to the advisory fee, that may be shared with Mrs. Goodrich and other Financial Advisors by Shepherd Financial Investment Advisory.

For non-advisory product purchases, your Advisor may receive a sales commission which may be in addition to any advisory fees received on your advisory assets. In these situations, your Advisor may be financially incentivized to offer you both non-advisory and advisory products and services.

Lincoln Investment provides incentives, such as sales conferences, for financial advisors, the eligibility for which may be based on the number of advisory accounts or the total assets under management. This may present a potential conflict of interest. Shepherd Financial Investment Advisory hold their Financial Advisors to a Code of Ethics and owe a fiduciary duty to all clients and require your Financial Advisor to always place your interests above his or her own and to avoid any recommendation that would not be in your best interest. It is each financial advisor's responsibility to understand and adhere to the requirements of the Code of Ethics, as well as applicable laws, regulations, and rules.

### **SUPERVISION**

The individual responsible for monitoring the advisory activities of Mrs. Goodrich is Steven M. Wylam, Chief Compliance Officer. Mrs. Wylam or his designee is responsible to review the recommended financial plans and transactions of your Financial Advisor. The Chief Compliance Officer provides an oversight of the activities occurring in your account(s). If you have any questions about the trading or recommendations in your account, please call Mrs. Wylam at (317) 975-5033.