



## Part 2B of Form ADV: Brochure Supplement June 2020

Dorothy A. Lewis

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This Brochure Supplement provides information about our investment adviser representatives that supplements Financial Insights, Inc.'s brochure. You should have received a copy of that brochure. Please contact Alexandria A. Criss, Managing Partner and Chief Compliance Officer of Financial Insights, Inc., if you did not receive Financial Insights, Inc.'s brochure or if you have any questions about the contents of this supplement. Additional information about our investment adviser representatives is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may search this site using a unique identifying number, known as a CRD number for each Supervised Person.

## Item 2: Educational, Background and Business Experience

**Name:** Dorothy A. Lewis, CFP®, MA, President

**CRD# 1042516**

**Born:** 1946

### Education

- Attended Washington State University
- Graduated from the University of Puget Sound with a BA
- Graduated from the University of Washington with an MA
- Certified Financial Planner (CFP®) Professional Education Program, College of Financial Planning

### Recent Business Experience

- President, Financial Insights, Inc., 1981 to present
- Investment Advisor Representative, Financial Insights, Inc., 1984 to present
- Registered Representative, Pacific West Securities, 1982 to 1984
- Registered Principal, Raymond James Financial Services, Inc., 1984 to 2006
- Registered Representative and Branch Manager, Raymond James Financial Services, Inc., 1984 to 2006

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 71,000 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, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination 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 *Standards 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 hours 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 CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### **Item 3: Disciplinary Information**

Dorothy A. Lewis has no reportable disciplinary history.

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

Dorothy A. Lewis is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

### **Item 5: Additional Compensation**

Dorothy A. Lewis does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6: Supervision**

The executive management team of Financial Insights, Inc. is responsible for the supervision of all employees and the Investment Committee is responsible for the oversight of investment advice provided to clients. The executive management team is comprised of Dorothy A. Lewis, President, and Alexandria A. Criss, Managing Partner and Chief Compliance Officer. The Investment Committee is comprised of Michael W. Dunbar, Wealth Advisor Representative, Alexandria A. Criss, Managing Partner and Chief Compliance Officer, Dorothy A. Lewis, President, Daniel J. McCaffrey, Wealth Advisor Representative, Rhys C. Cooper, Wealth Advisor Representative, Amanda M. Burrows, Wealth Advisor Representative and Brian A. Babbitt, Investment Portfolio Manager. The Investment Committee documents and oversees investment meetings, all material investment policy changes, and conducts periodic reviews of client portfolios to ensure that client objectives and mandates are being met. Alexandria A. Criss, Managing Partner and Chief Compliance Officer of Financial Insights, Inc. and member of the executive management team and investment management team, is responsible for reviewing the personal trading activities of Dorothy A. Lewis.

Dorothy A. Lewis and Alexandria A. Criss may be reached at 253-627-6010.