

# Goodman Financial Corporation

## Brochure Supplement – Part 2B of Form ADV Supervised Persons

Steven R. Goodman, Charlotte M. Jungen, Linda J. McCoy, Christopher A. Matlock,  
Wade D. Egmon, Paul E. Palmer, Jr., Morgann Zimmer, Diana Castro, Abrin A. Berkemeyer, Hunter W. Coday, Antonio F.  
Castillo, Anna P. Ceker, Albert P. Wagner V, Robert Jacob Haverly, Cameron A. Malott, Lee J. Taylor, and Benjamin C.  
McCue

This Brochure Supplement provides information about the above Supervised Persons that supplements Goodman Financial Corporation's Form ADV Part 2A Brochure. You should have received a copy of that brochure. Please contact Charlotte Jungen, Chief Compliance Officer at the Firm, if you did not receive Goodman Financial Corporation's Brochure or if you have any questions about the contents of this supplement.

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

**Brochure supplement prepared on May 9, 2024**

## Goodman Financial Corporation

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# Contents

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<b>Professional Certifications.....</b>	<b>3</b>
<b>Steven R. Goodman.....</b>	<b>6</b>
<b>Charlotte M. Jungen.....</b>	<b>7</b>
<b>Linda J. McCoy.....</b>	<b>8</b>
<b>Christopher A. Matlock.....</b>	<b>9</b>
<b>Wade D. Egmon.....</b>	<b>10</b>
<b>Paul E. Palmer, Jr. ....</b>	<b>11</b>
<b>Morgann Zimmer.....</b>	<b>12</b>
<b>Diana Castro.....</b>	<b>13</b>
<b>Abrin A. Berkemeyer.....</b>	<b>14</b>
<b>Hunter W. Coday.....</b>	<b>15</b>
<b>Antonio F. Castillo.....</b>	<b>16</b>
<b>Anna P. Ceker.....</b>	<b>17</b>
<b>Albert P. Wagner V.....</b>	<b>18</b>
<b>Robert Jacob Haverly.....</b>	<b>19</b>
<b>Cameron A. Malott.....</b>	<b>20</b>
<b>Lee J. Taylor.....</b>	<b>21</b>
<b>Benjamin C. McCue.....</b>	<b>22</b>

# Professional Certifications

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Employees have earned certifications and credentials that are required to be explained in further detail.

## **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. While various supervised persons of Goodman Financial are CPAs, this firm is not a CPA firm.

## **Certified Financial Planner™**

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.

### **Chartered Financial Analyst®**

(CFA®) is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 90,000 CFA® charterholders working in 134 countries. To earn the CFA® charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® charterholders to:

- Place their clients' interests ahead of their own;
- Maintain independence and objectivity;
- Act with integrity;
- Maintain and improve their professional competence; and
- Disclose conflicts of interest and legal matters.

### **Global Recognition**

Passing the three CFA® exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 22 countries and territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

**Accredited Investment Fiduciary®**

(AIF®) is a professional designation that helps prepare investment professionals and those managing investments on behalf of others to carry out their fiduciary responsibilities. Issued by Fi360, AIF® designees must meet a combination of education, relevant industry experience and/or professional development. Designees must also complete a final certification exam. In addition, designees must obtain 6 hours of continuing education credits each year

**Chartered Market Technician®**

(CMT®) is a professional designation for practitioners of technical analysis who have demonstrated knowledge of investment risk in portfolio management settings. CMT® designees have completed at least three years of professional analytical or investment management experience and are members of the Market Technicians Association. CMT® designees have also successfully completed all three levels of the CMT® exam process.

# Steven R. Goodman

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## Item 2: Educational Background and Business Experience

Steven "Steve" R. Goodman, CPA, CFP® - President

Born in 1961

### Education

Master of Science in Accountancy, University of Houston, 1985, Graduated with Honors

Bachelor of Science, University of Houston, 1983, Graduated with Honors

### Professional Designations

Certified Public Accountant

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

Steve is Founder and President of Goodman Financial Corporation. Prior to Goodman Financial Corporation, Steve worked in public accounting for Ernst & Young as a tax consultant and subsequently with his own firm.

### Prior 5 Years Work Experience

10/2018-present Goodman Financial Corporation – President

01/2023-present GFC Quantified Alpha, LP – Class B Limited Partner of GFC QA Special Partner, LP

3/2015-09/2018 Goodman Financial Corporation - President/Chief Investment Officer

1/1989-3/2015 Goodman Financial Corporation - President/Chief Investment Officer/Chief Compliance Officer

## Item 3: Disciplinary Information

Steve Goodman does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Steve Goodman does not have any other investment-related business activities.

## Item 5: Additional Compensation

Steve Goodman does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Steve Goodman's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Charlotte M. Jungen

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## Item 2: Educational Background and Business Experience

Charlotte M. Jungen, CPA, CFP® – Chief Compliance Officer & Chief Operating Officer

Born in 1975

### Education

Bachelor of Business Administration – Accounting, Lamar University, 1997, Summa Cum Laude

### Professional Designations

Certified Public Accountant

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As Chief Operating Officer/Chief Compliance Officer, Charlotte's responsibilities include executing on the firm's vision, maintaining the firm's compliance with applicable rules and regulations, managing the day-to-day operations of the firm, and overseeing the operations and compliance team that supports our financial advisory and investment teams. Prior to joining Goodman Financial in 2013, Charlotte was a shareholder of an accounting firm and concentrated in its financial advisory practice. Charlotte has over 25 years of experience in investment management, financial planning and consulting, insurance analysis and planning, estate planning, tax planning, accounting services, and compliance.

### Prior 5 Years Work Experience

1/2020-present	Goodman Financial Corporation – Chief Compliance Officer & Chief Operating Officer
10/2018-12/2019	Goodman Financial Corporation – Director of Financial Advisory Services/ Chief Compliance Officer
3/2015- 09/2018	Goodman Financial Corporation – Client Service Manager/Chief Compliance Officer
10/2013-3/2015	Goodman Financial Corporation – Client Service Manager

## Item 3: Disciplinary Information

Charlotte Jungen does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Charlotte Jungen does not have any other investment-related business activities.

## Item 5: Additional Compensation

Charlotte Jungen does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Charlotte Jungen's advisory activities are supervised by Steve Goodman, President. Steve Goodman can be contacted by phone at (713) 599-1777 or by email at [sgoodman@goodmanfinancial.com](mailto:sgoodman@goodmanfinancial.com).

# Linda J. McCoy

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## Item 2: Educational Background and Business Experience

Linda J. McCoy, CFP®, CMT – Chief Client Officer

Born in 1960

### Education

Master of Business Administration, University of California, 1992

Bachelor of Business Administration, Arizona State University, 1982, Summa Cum Laude

### Professional Designations

CERTIFIED FINANCIAL PLANNER™ Professional

Chartered Market Technician® Designation

### Business Experience and Background

As Chief Client Officer, Linda's responsibilities include overseeing the firm's Financial Advisory Team and the execution of the client experience. In addition, she oversees Financial Advisory Team projects and initiatives while contributing to the strategic thinking and execution of the firm's vision. Prior to joining Goodman Financial, Linda was an industry speaker and Investor Education Instructor with TD Ameritrade. Most recently, she was a Branch Manager leading Client Service and Financial Consultant professionals who delivered goals-based financial planning and personalized solutions to clients. Linda has over 20 years of leadership experience in the financial services industry, in the areas of strategy, client relationship management, product and service development, and global implementation.

### Prior 5 Years Work Experience

02/2021-present Goodman Financial Corporation – Chief Client Officer

07/2015-01/2021 TD Ameritrade – Branch Manager

## Item 3: Disciplinary Information

Linda McCoy does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Linda McCoy does not have any other investment-related business activities.

## Item 5: Additional Compensation

Linda McCoy does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Linda McCoy's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).



# Christopher A. Matlock

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## Item 2: Educational Background and Business Experience

Christopher "Chris" A. Matlock, CFA, CPA - Chief Investment Officer

Born in 1958

### Education

Master of Business Administration, University of Houston, 1993

Bachelor of Science – Accounting, University of Houston-Clear Lake, 1982

### Professional Designations

Chartered Financial Analyst® Charterholder

Certified Public Accountant

### Business Experience and Background

Chris has over 25 years of experience in portfolio management and investment analysis in addition to having over 10 years of experience in accounting and auditing. Prior to joining Goodman Financial in 2017 as Director - Portfolio Management, Chris served as Chairman and Chief Investment Officer of Lookout Capital Management, LP. He has also been Chief Investment Officer at Lighthouse Capital Management and served as Portfolio Manager of the Chase Bank/JP Morgan Fleming Asset Management Mid Cap Core Equity Mutual Fund and Assistant Portfolio Manager of the Texas Commerce Bank Small Cap Growth Fund.

### Prior 5 Years Work Experience

10/2018 - Present	Goodman Financial Corporation – Chief Investment Officer
01/2023 – Present	GFC Quantified Alpha, LP – Class B Limited Partner of GFC QA Special Partner, LP
07/2017 - 09/2018	Goodman Financial Corporation – Director - Portfolio Management
09/2011 - 07/2017	Lookout Capital Management, LP – Chairman and Chief Investment Officer

## Item 3: Disciplinary Information

Chris Matlock does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Chris Matlock does not have any other investment-related business activities.

## Item 5: Additional Compensation

Chris Matlock does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Chris Matlock's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Wade D. Egmon

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## Item 2: Educational Background and Business Experience

Wade D. Egmon, CPA, CFP® - Senior Financial Advisor

Born in 1978

### Education

Masters in Professional Accounting, University of Texas at Austin, 2002

Bachelor of Arts – Accounting, Texas Lutheran University, 2001

### Professional Designations

Certified Public Accountant

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As Senior Financial Advisor, Wade's responsibilities include working with clients directly, addressing their financial planning needs. He also oversees client relationships and assists other team members with the more complex financial advisory issues. Prior to joining Goodman Financial, Wade served as a financial planner and income tax resource for a family office in Houston offering clients comprehensive financial planning services and targeted analysis. Additionally, Wade has six years of Big Four and small-firm tax experience, specializing in tax compliance and planning for high net worth individuals.

### Prior 5 Years Work Experience

2/2021-present	Goodman Financial Corporation – Senior Financial Advisor
1/2020-2/2021	Goodman Financial Corporation – Director of Financial Advisory Services
9/2009-12/2019	Goodman Financial Corporation – Client Service Manager

## Item 3: Disciplinary Information

Wade Egmon does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Wade Egmon does not have any other investment-related business activities.

## Item 5: Additional Compensation

Wade Egmon does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Wade Egmon's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Paul E. Palmer, Jr.

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## Item 2: Educational Background and Business Experience

Paul E. Palmer, Jr., CFP® - Senior Financial Advisor

Born in 1958

### Education

Bachelor of Science in Business Administration, Louisiana State University, 1980

### Professional Designations

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As Senior Financial Advisor, Paul’s responsibilities include working with clients directly, addressing their financial planning needs. He also oversees client relationships and assists other team members with the more complex financial advisory issues. Prior to joining Goodman Financial, Paul worked for Mobil Oil in the 80’s before moving to Houston to pursue his passion in the financial services industry with CIGNA Financial Services. In 1993, Paul started his own firm, Cypress Advisory Services, focused on providing comprehensive financial planning to families across the Houston area. His firm later expanded in 2006 and became The Advocates. Paul has almost 40 years of experience in financial planning with special expertise in risk management and estate planning.

### Prior 5 Years Work Experience

12/2023-Present	Goodman Financial Corporation – Senior Financial Advisor
10/2006-12/2023	Your Advocates Ltd., LLP dba The Advocates – Partner
10/1993-10/2006	Cypress Advisory Services, a sole proprietorship – President/Owner

## Item 3: Disciplinary Information

Paul Palmer, Jr. does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Paul Palmer, Jr. does not have any other investment-related business activities.

## Item 5: Additional Compensation

Paul Palmer, Jr. does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Paul Palmer, Jr.’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Morgann Zimmer

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## Item 2: Educational Background and Business Experience

Morgann Zimmer, CFP® – Senior Financial Advisor

Born in 1990

### Education

Bachelor of Science in Agribusiness, Texas A&M University, 2012, Cum Laude

### Professional Designations

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As Senior Financial Advisor, Morgann's responsibilities include working with clients directly, addressing their financial planning needs. She also oversees client relationships and assists other team members with the more complex financial advisory issues. Prior to joining Goodman Financial in 2017, Morgann spent four years with KMH Wealth Management, LLC in Victoria, Texas. She worked closely supporting several financial advisors with client investments and financial plans.

### Prior 5 Years Work Experience

06/2021 – Present	Goodman Financial Corporation – Senior Financial Advisor
09/2020 – 06/2021	Goodman Financial Corporation – Senior Associate Advisor
01/2017 – 09/2020	Goodman Financial Corporation – Associate Advisor
07/2016 - 12/2016	Unemployed
05/2012 - 06/2016	KMH Wealth Management, LLC - Intern/Assistant Portfolio Manager

## Item 3: Disciplinary Information

Morgann Zimmer does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Morgann Zimmer does not have any other investment-related business activities.

## Item 5: Additional Compensation

Morgann Zimmer does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Morgann Zimmer's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Diana Castro

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## Item 2: Educational Background and Business Experience

Diana Castro, CPA, CFP® – Senior Financial Advisor

Born in 1979

### Education

Master in Professional Accounting, University of Texas at Austin, 2003

Bachelor of Business Administration with Honors, University of Texas at Austin, 2003

### Professional Designations

Certified Public Accountant

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As Senior Financial Advisor, Diana’s responsibilities include working with clients directly, addressing their financial planning needs. She also oversees client relationships and assists other team members with the more complex financial advisory issues. Prior to joining Goodman Financial in 2019, Diana worked as a Para Planner at a Houston-based RIA firm. In addition, she has approximately 15 years of experience working in corporate tax.

### Prior 5 Years Work Experience

11/2022-Present	Goodman Financial Corporation – Senior Financial Advisor
06/2022-11/2022	Goodman Financial Corporation – Senior Associate Advisor
09/2020-06/2022	Goodman Financial Corporation – Associate Advisor
12/2019-09/2020	Goodman Financial Corporation – Junior Planner
06/2018-11/2019	Insight Wealth Strategies – Para Planner

## Item 3: Disciplinary Information

Diana Castro does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Diana Castro does not have any other investment-related business activities.

## Item 5: Additional Compensation

Diana Castro does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Diana Castro’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Abrin A. Berkemeyer

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## Item 2: Educational Background and Business Experience

Abrin A. Berkemeyer, CFP®, AIF® – Senior Financial Advisor

Born in 1994

### Education

Bachelor of Science in Actuarial Mathematics, Worcester Polytechnic Institute, 2016

### Professional Designations

CERTIFIED FINANCIAL PLANNER™ Professional  
Accredited Investment Fiduciary®

### Business Experience and Background

As Senior Financial Advisor, Abrin oversees the day-to-day relationship with his clients, addressing their financial advisory needs and leading client meetings. He also serves in the senior relationship role for a select group of clients. Prior to joining Goodman Financial, Abrin was a Lead Financial Advisor who built financial plans, implemented investment strategies, and conducted portfolio reviews for his clients.

### Prior 5 Years Work Experience

04/2024-Present	Goodman Financial Corporation - Senior Financial Advisor
11/2022-04/2024	Goodman Financial Corporation – Senior Associate Advisor
04/2022-11/2022	Goodman Financial Corporation – Associate Advisor
01/2022-04/2022	RWM Capital, LLC – Investment Advisor Representative
09/2019-10/2021	Penobscot Wealth Management – Financial Advisor
09/2017-09/2019	Penobscot Wealth Management – Associate Financial Advisor

## Item 3: Disciplinary Information

Abrin Berkemeyer does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Abrin Berkemeyer does not have any other investment-related business activities.

## Item 5: Additional Compensation

Abrin Berkemeyer does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Abrin Berkemeyer's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Hunter W. Coday

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## Item 2: Educational Background and Business Experience

Hunter W. Coday, CFP® – Associate Advisor

Born in 1998

### Education

Bachelor of Science in Personal Financial Planning, Texas Tech University, 2020, Summa Cum Laude

### Professional Designations

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As an Associate Advisor, Hunter oversees the day-to-day relationship with his clients, addressing their financial advisory needs, participating in client meetings, and servicing their accounts. Hunter attended Texas Tech University’s Personal Financial Planning program where he was able to prepare for a role in financial planning through volunteering in programs such as Red to Black® Peer Financial Coaching, Knowledge Empowering You Outreach, and serving as a student ambassador. During his time at Texas Tech, Hunter also completed an internship with another Houston-based investment advisory firm where he was able to gain valuable experience learning the day-to-day workings of a financial advisor in Houston.

### Prior 5 Years Work Experience

06/2021-Present	Goodman Financial Corporation – Associate Advisor
01/2021-06/2021	Goodman Financial Corporation – Financial Planner
07/2020-12/2020	Goodman Financial Corporation – Financial Planning Analyst
05/2019-12/2019	The Financial Advisory Group, Inc – Financial Planning Intern
08/2016-05/2020	Student – Texas Tech University

## Item 3: Disciplinary Information

Hunter Coday does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Hunter Coday does not have any other investment-related business activities.

## Item 5: Additional Compensation

Hunter Coday does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Hunter Coday’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Antonio F. Castillo

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## Item 2: Educational Background and Business Experience

Antonio F. Castillo, CFP® – Associate Advisor

Born in 1965

### Education

Bachelor of Business Administration & Economics, University of Barcelona, Spain, 1990

Master in Operations and Production Management, IE Business School, Spain, 1996

International Management Program, IPADE, 1998

Certified Financial Planner Graduate Certificate Program, Rice University, 2015

### Professional Designations

Chartered Financial Analyst® Charterholder

CERTIFIED FINANCIAL PLANNER™ Professional

### Business Experience and Background

As an Associate Advisor, Antonio oversees the day-to-day relationship with his clients, addressing their financial advisory needs, participating in client meetings, and servicing their accounts. Prior to joining Goodman Financial, Antonio was a financial planner providing clients with retirement scenario analysis, cash flow needs analysis, tax efficient strategies, and distribution planning. Antonio has over 25 years of experience in Corporate management and recently completed his CFP® Certification.

### Prior 5 Years Work Experience

02/2023-Present	Goodman Financial Corporation – Associate Advisor
03/2022-01/2023	RWM Capital, LLC – Associate Financial Planner
08/2021-01/2022	Bellaire Capital Management, LLC – Financial Planner
03/2021-08/2021	Fund2vida Financial Planning (self-employed) – Financial Planner
01/2019-03/2021	Student at Dalton Education and Kaplan
01/2004-12/2018	CEMEX Inc. – Director

## Item 3: Disciplinary Information

Antonio Castillo does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Antonio Castillo does not have any other investment-related business activities.

## Item 5: Additional Compensation

Antonio Castillo does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Antonio Castillo's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).



# Anna P. Ceker

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## Item 2: Educational Background and Business Experience

Anna P. Ceker – Financial Planner

Born in 1990

### Education

Bachelor of Business Administration – Finance, University of Houston, 2014

### Business Experience and Background

As a Financial Planner, Anna works with our Senior Financial Advisors to address our clients' financial advisory needs, prepare financial plans and analysis, and service client accounts. Prior to joining Goodman Financial in 2014, Anna interned with Merrill Lynch where she assisted financial advisors and wealth managers with client acquisition activities and daily business operations.

### Prior 5 Years Work Experience

9/2020-Present	Goodman Financial Corporation – Financial Planner
1/2020-9/2020	Goodman Financial Corporation – Junior Planner
6/2014-12/2019	Goodman Financial Corporation – Junior Planner/Analyst
9/2013-4/2014	Merrill Lynch – Client Associate/Intern

## Item 3: Disciplinary Information

Anna Ceker does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Anna Ceker does not have any other investment-related business activities.

## Item 5: Additional Compensation

Anna Ceker does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Anna Ceker's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Albert P. Wagner V

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## Item 2: Educational Background and Business Experience

Albert P. Wagner V, CPA – Financial Planner

Born in 1995

### Education

Master of Taxation, Baylor University, 2018

Bachelor of Business Administration in Accounting, Baylor University, 2017

### Professional Designations

Certified Public Accountant

### Business Experience and Background

As a Financial Planner, Albert works with our Senior Financial Advisors to address clients' financial advisory needs, prepare financial plans and analyses, and service client accounts. Prior to joining Goodman Financial, Albert was a Senior Tax Consultant responsible for managing client relationships, managing client projects, and managing staff for all client tax services. Albert has four years of experience in public accounting, providing client services at PricewaterhouseCoopers and KPMG. Albert is a licensed Certified Public Accountant and holds a Master of Taxation degree from Baylor University.

### Prior 5 Years Work Experience

12/2022-Present	Goodman Financial Corporation – Financial Planner
09/2021-11/2022	KPMG – Tax Senior
01/2019-09/2021	PwC – Tax Associate

## Item 3: Disciplinary Information

Albert Wagner does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Albert Wagner does not have any other investment-related business activities.

## Item 5: Additional Compensation

Albert Wagner does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Albert Wagner's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Robert Jacob Haverly

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## Item 2: Educational Background and Business Experience

Robert Jacob “Jake” Haverly – Financial Planner

Born in 1998

### Education

Bachelor of Business Administration, University of Houston, 2022

### Business Experience and Background

As a Financial Planner, Jake works with our Senior Financial Advisors to service client accounts, prepare presentations and financial analyses, and address our clients’ financial advisory needs. Prior to joining Goodman Financial, Jake attended the University of Houston’s Personal Financial Planning Program where he was able to prepare for his role through participation in Financial Planning Projects and by serving as an investment analyst for Bauer Capital Group. During his time at the University of Houston, Jake also had the privilege of completing a tax planning internship with Moss Adams and RSM US LLP.

### Prior 5 Years Work Experience

10/2023-Present	Goodman Financial Corporation – Financial Planner
10/2022-10/2023	Goodman Financial Corporation – Financial Planning Analyst
08/2022-10/2022	Greystar – Property Accountant
08/2017-05/2022	University of Houston – Student

## Item 3: Disciplinary Information

Jake Haverly does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Jake Haverly does not have any other investment-related business activities.

## Item 5: Additional Compensation

Jake Haverly does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Jake Haverly’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Cameron A. Malott

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## Item 2: Educational Background and Business Experience

Cameron A. Malott – Client Service Specialist

Born in 1993

### Education

Bachelor of Science in Business Administration, Liberty University, 2015

### Business Experience and Background

As Client Service Specialist, Cameron serves as the primary point of contact for operational support with our Financial Advisory Team. He plays a key role in delivering an exceptional client experience, focusing on initial client onboarding, account maintenance and paperwork, client data maintenance and reporting. Prior to joining Goodman Financial, Cameron spent four years with a wealth management firm as a Client Service Associate and Operations Manager.

### Prior 5 Years Work Experience

10/2022-Present	Goodman Financial Corporation – Client Service Specialist
03/2021-10/2022	Engrave Wealth Partners, LLC – Operations Manager
04/2018-03/2021	Engrave Wealth Partners, LLC – Client Service Associate
01/2017-04/2018	Ramin Corporation – Sales Manager

## Item 3: Disciplinary Information

Cameron Malott does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Cameron Malott does not have any other investment-related business activities.

## Item 5: Additional Compensation

Cameron Malott does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Cameron Malott’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Lee J. Taylor

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## Item 2: Educational Background and Business Experience

Lee J. Taylor – Quantitative Portfolio Manager

Born in 1988

### Education

Bachelor of Science, Finance, University of Northern Colorado, 2014

### Business Experience and Background

As Quantitative Portfolio Manager, Lee is responsible for managing Goodman Financial’s Quantified Alpha Strategy. Lee develops and maintains quantitative investment strategies, screens and asset pricing models. As a Quantitative Portfolio Manager, Lee is also responsible for trading client-held equity and fixed income securities. With Lee’s background in Data Science, Lee extracts, transforms, analyzes and presents data from multiple sources in firm-wide projects. Prior to joining Goodman Financial, Lee worked at Tower Hill Trading as an algorithmic trader. Additionally, Lee ran his own consulting firm, LJT Financial Analytics, advising with private equity deals and investment decision making.

### Prior 5 Years Work Experience

08/2022-Present	Goodman Financial Corporation – Quantitative Portfolio Manager
01/2023-Present	GFC Quantified Alpha, LP – Class B Limited Partner of GFC QA Special Partner, LP
01/2020-08/2022	Goodman Financial Corporation – Quantitative Analyst & Trader
05/2018-12/2019	Goodman Financial Corporation – Analyst/Trader
05/2015-05/2018	LJT Financial Analytics - Consultant
10/2013-05/2015	Tower Hill Trading - Trader
01/2013-05/2014	University of North Colorado – Tutor

## Item 3: Disciplinary Information

Lee Taylor does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Lee Taylor does not have any other investment-related business activities.

## Item 5: Additional Compensation

Lee Taylor does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Lee Taylor’s advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).

# Benjamin C. McCue

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## Item 2: Educational Background and Business Experience

Benjamin "Ben" C. McCue, CFA – Investment Research Analyst

Born in 1982

### Education

Master of Business Administration, Southern Methodist University, 2017

Bachelor of Arts, University of Texas at Austin, 2005

### Professional Designations

Chartered Financial Analyst® Charterholder

### Business Experience and Background

As Investment Research Analyst, Ben's responsibilities include investment research and monitoring existing firm holdings. Prior to joining Goodman Financial, Ben worked at MUFG Securities Americas, Inc. as an equity research associate providing investment research and analysis to institutional clients. Additionally, Ben worked for public corporations in a variety of roles including investor relations and corporate communications.

### Prior 5 Years Work Experience

08/2020-Present	Goodman Financial Corporation – Investment Research Analyst
01/2018-07/2020	MUFG Securities Americas, Inc. – Associate
08/2015-05/2017	Southern Methodist University – Student

## Item 3: Disciplinary Information

Ben McCue does not have any legal or disciplinary events.

## Item 4: Other Business Activities

Ben McCue does not have any other investment-related business activities.

## Item 5: Additional Compensation

Ben McCue does not receive any additional economic benefit from third parties for providing advisory services.

## Item 6: Supervision

Ben McCue's advisory activities are supervised by Charlotte Jungen, Chief Compliance Officer & Chief Operating Officer. Charlotte Jungen can be contacted by phone at (713) 599-1777 or by email at [cjungen@goodmanfinancial.com](mailto:cjungen@goodmanfinancial.com).