



## **Shawn Dunnigan**

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## **ICA Group Wealth Management, LLC**

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This brochure supplement provides information about Shaun Dunnigan as a supplement to the ICA Group Wealth Management, LLC (“ICA Group”) disclosure brochure. You should have received a copy of ICA Group disclosure brochure that describes the investment advisory services offered through ICA Group, an investment adviser registered with the SEC. Please contact ICA Group at the telephone number above or email us at [Kelly.Bauman@icadvisorgroup.com](mailto:Kelly.Bauman@icadvisorgroup.com) if you did not receive the ICA Group brochure or if you have any questions about the contents of the supplement. Additional information about Shawn Dunnigan is available on the SEC's website at <https://adviserinfo.sec.gov/>.

# EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Shawn Dunnigan

Year of birth: 1963

## Education

State University of New York; Master Business Administration

09/01/1988 - 05/01/1989

Minnesota State University Moorhead; Bachelor of Science

09/01/1983 - 05/01/1987

## Business Experience

ICA Group Wealth Management, LLC; Investment Adviser Representative

03/2022 - PRESENT

LPL Financial LLC; Registered Representative

11/2017 - PRESENT

Investment Centers of America, Inc.; Investment Representative

02/2015 – 11/2017

Gradient Securities LLC, Financial Advisor

11/2013-02/2015

Della Parola Capital Research; President

11/2013 – 02/2015

LPL Financial, LLC; Certified Financial Planning Professional

12/2010 – 11/2013

## Professional Designations

### Certified Financial Planner – CFP®

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

Prerequisites: Candidate must have a bachelor's degree (or higher) from an accredited college or university, and three years of full-time personal financial planning experience or the equivalent experience (2,000 hours equals one year full-time).

Educational 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, or an Attorney's License.

Examination Type: Final certification examination.

Continuing Education Requirements: 30 CE credits every two years.

## LEGAL AND DISCIPLINARY EVENTS

ICA Group is required to disclose all material facts regarding any legal or disciplinary event that would be material to your evaluation of each investment person providing advice to you. Mr. Dunnigan has no information required to be disclosed under this Item. There may be items that are contained on [brokercheck.finra.org](http://brokercheck.finra.org) or [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) that you may wish to review and consider in your evaluation of your advisor's background.

## OTHER BUSINESS ACTIVITIES

Mr. Dunnigan is also a registered representative of LPL Financial, LLC ("LPL") an SEC registered broker-dealer and Member FINRA/SIPC. Mr. Dunnigan will typically receive commissions for the implementation of recommendations for commissionable transactions. This compensation is separate from the advisory fees he receives due to his affiliation with ICA Group.

## ADDITIONAL COMPENSATION

Mr. Dunnigan is also eligible to receive the following compensation from LPL, which is over and above commissions for transactions:

- Payments based on production
- Free or reduced-cost marketing materials
- Payments in the form of repayable or forgivable loans
- Attendance at conferences and other events

This additional compensation is based on various factors such as Mr. Dunnigan's overall business production, tenure and/or on the amount of assets serviced in advisory programs. The amount of this compensation may be more or less than what Mr. Dunnigan would receive if you participated in other programs, programs of other investment adviser firms or paid separately for investment advice, brokerage, and other services.

## Solicitor Arrangements

Mr. Dunnigan may act as a referral agent to, or engage as a co-advisor with, certain third-party asset management firms (TAMPs). In such case, he receives compensation from the TAMP either in the form of a referral payment or an advisory fee, and you are provided disclosure about the arrangement and the compensation to be received at the time of the referral or engagement. Mr. Dunnigan may also receive compensation in addition to a referral or advisory fee. For example, some TAMPs pay or reimburse financial advisors for attending conferences or for expenses for workshops, seminars presented to clients or advertising, marketing, or practice management. The eligibility of a financial advisor to receive such payments or reimbursements is often based on the amount of assets referred by the financial advisor to the TAMP.

These benefits and/or payments to Mr. Dunnigan present a conflict of interest in that he has a financial incentive to recommend that a client engage with his, ICA Group for advisory services, and to recommend switching investment products or services where your current investment options are not available through ICA Group for the receipt of payment.

## SUPERVISION

ICA Group maintains a supervisory structure and system reasonably designed to prevent violations of the Investment Advisers Act of 1940. Mr. Dunnigan's advisory activities are supervised by Kelly Bauman, Chief Compliance Officer. In addition, compliance staff uses tools that monitor the advisory services provided by Mr. Dunnigan, for example, with respect to his trading and asset allocation. For more information on ICA Group's supervisory oversight of Mr. Dunnigan, please contact Kelly Bauman at (720) 758-8000