



THE  
**HUMPHREYS**  
GROUP

FORM ADV PART 2B\*  
BROCHURE SUPPLEMENT

Professional Backgrounds of

**Diane S. Bourdo**

and

**Alexis W. Olian**

February 2017

111 Sutter Street, Suite 525  
San Francisco, California 94104

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[www.humphreysgroup.com](http://www.humphreysgroup.com)

\*This brochure supplement provides information about the qualifications of The Humphreys Group, LLC's investment advisory personnel. This is a supplement to The Humphreys Group's brochure which you should have received previously. Please contact the Firm's Principal and Chief Compliance Officer, Diane S. Bourdo if you have not received the brochure or if you have any questions about the contents of this supplement. Additional information about The Humphreys Group is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Each member of The Humphreys Group's professional staff is evaluated on the basis of his or her education and work experience. As general standards, an undergraduate degree and prior related business experience are required. Graduate work and/or specialized business or technical skills are preferred.

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## **DIANE S. BOURDO, CFP®**

Born - 1960

### **Item 2 - Educational Background and Business Experience**

#### Education

BA, 1982, University of Wisconsin, Madison, WI

MBA, 1991, University of California, Berkeley, Haas Graduate School of Business

#### Professional Designations

Certified Financial Planner™ (“CFP®”)\*, designation conferred, 1997

#### Business Background

The Humphreys Group, LLC, 1989 - present

#### Professional and Community Activities

Diane is a member of the Financial Women's Association; as a member of its Scholarship Committee she interviews undergraduate and graduate students who are interested in careers in finance, from a number of Bay Area Universities. Diane lives in San Francisco with her husband and has a 20 - something daughter. In her free time she enjoys outdoor adventures, traveling, reading and cooking.

### **Item 3 - Disciplinary Information**

Diane has no legal or disciplinary events or disclosures.

### **Item 4 - Other Business Activities**

Diane is not involved in any outside business activities.

### **Item 5 - Additional Compensation**

Other than as disclosed in Item 12 of the Firm's Form ADV Part 2A related to unsolicited discounts on software or brokerage services from client custodians, neither the Firm nor any of its employees receive any economic benefit from any non-client for the provision of investment advisory services. Employees are not paid “sales awards” or other prizes for referring clients to the Firm.

## **Item 6 - Supervision**

All Firm personnel are supervised by Principal and Chief Compliance Officer, Diane S. Bourdo, whose supervision is ongoing and includes account reviews, trade supervision, annual compliance reviews including the forensic testing of Firm systems, staff meetings and employee reviews.

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## **ALEXIS W. OLIAN, CFP®**

Born - 1963

### **Item 2 - Educational Background and Business Experience**

#### Education

BS, 1986, University of California, Davis

MNA, 1995, University of San Francisco

Graduate Certificate, Personal Financial Planning, Golden Gate University, 2008

#### Professional Designations

Certified Financial Planner™ (“CFP®”)\*, designation conferred, 2014

#### Business Background

The Humphreys Group, LLC, 2013 - present

Financial Para-Planner, Barbara Gault, 2008-2013

#### Professional and Community Activities

Alexis is a member of the Financial Planning Associate of San Francisco. She lives in San Francisco with her husband and teenage son. On weekends she can be found exploring the neighborhoods of San Francisco or coaxing vegetables to grow in her 4’ x 8’ community garden.

### **Item 3 - Disciplinary Information**

Lexi has no legal or disciplinary events or disclosures.

### **Item 4 - Other Business Activities**

Lexi is not involved in any outside business activities.

## **Item 5 - Additional Compensation**

Other than as disclosed in Item 12 of the Firm's Form ADV Part 2A related to unsolicited discounts on software or brokerage services from client custodians, neither the Firm nor any of its employees receive any economic benefit from any non-client for the provision of investment advisory services. Employees are not paid "sales awards" or other prizes for referring clients to the Firm.

## **Item 6 - Supervision**

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\* The Certified Financial Planner™ ("CFP®") designation requires the holder to meet education, examination, experience and ethics requirements, and pay an ongoing certification fee. A bachelor's degree (or higher), or its equivalent in any discipline, from an accredited college or university is required. Students are required to complete course training in nine core financial topic areas, sit for a 10 hour CFP Board Certification Examination, acquire three years full-time or equivalent (2,000 hours per year) part-time work experience in the financial planning field and undergo an extensive background check—including an ethics, character and criminal check. To maintain the CFP certification, CFP® professionals must complete 30 hours of continuing education (CE) accepted by CFP Board (including completion of 2 hours of CFP Board approved Ethics CE).