



## **Form ADV Part 2B – Brochure Supplement**

**for**

**Charles P. Mattingly, CFP®**  
**Chief Executive Officer, Principal, Financial Planner and Chief Compliance Officer**

**Effective: February 11, 2021**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Charles P. Mattingly, CFP® (CRD# 5782195) in addition to the information contained in the Leading Edge Financial Planning LLC (“LEFP” or the “Advisor”, CRD# 277149) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the LEFP Disclosure Brochure or this Brochure Supplement, please contact us at 865-240-2292.

Additional information about Mr. Mattingly is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5782195.

## Item 2 – Educational Background and Business Experience

Charles P. Mattingly, born in 1974, is dedicated to advising Clients of LEFP as the Chief Executive Officer, Principal, Financial Planner and Chief Compliance Officer. Mr. Mattingly earned a BS, Mechanical Engineering from University of Tennessee in 1997. Mr. Mattingly also earned an MBA Financial Planning from California Lutheran University in 2012. Additional information regarding Mr. Mattingly's employment history is included below.

### Employment History:

Chief Executive Officer, Principal, Financial Planner and Chief Compliance Officer, Leading Edge Financial Planning LLC	11/2015 to Present
Owner, Leading Edge Tax Planning, LLC	10/2018 to Present
Airline Pilot, Southwest Airlines	03/2007 to 08/2020
Financial Advisor, Patriot Investment Management	10/2012 to 11/2015
Chief Executive Officer, Financial Advisor, Leading Edge Financial Planning, LLC	11/2015 to Present
Registered Representative of the Broker Dealer, Money Concepts Broker Dealer	04/2010 to 10/2012
Managing Member and Owner, Leading Edge Tax Planning, LLC.	10/2018 to Present

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

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 87,000 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.

**Leading Edge Financial Planning LLC**  
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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®.

### **Item 3 – Disciplinary Information**

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Mattingly.*** Mr. Mattingly has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Mattingly.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Mattingly.***

However, we do encourage you to independently view the background of Mr. Mattingly on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5782195.

### **Item 4 – Other Business Activities**

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#### Tax Planning

Mr. Mattingly is also an Owner of Leading Edge Tax Planning, CPA, a tax and accounting firm under common control with the Advisor. LETP offers tax preparation and accounting services to the Clients based on the unique needs of each Client. Clients are advised that these services may be separate and distinct from the advisory services offered by LEFP and that the receipt of additional compensation by certain management persons poses a conflict of interest. Clients are not obligated to engage LETP for these tax preparation and accounting services in order to maintain an advisory relationship with the Advisor.

### **Item 5 – Additional Compensation**

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Mr. Mattingly has additional business activities where compensation is received that are detailed in Item 4 above.

### **Item 6 – Supervision**

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Mr. Mattingly serves as the Chief Executive Officer, Principal, Financial Planner and Chief Compliance Officer of LEFP. Mr. Mattingly can be reached at 865-240-2292.

LEFP has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of LEFP. Further, LEFP is subject to regulatory oversight by various agencies. These agencies require registration by LEFP and its Supervised Persons. As a registered entity, LEFP is subject to examinations by regulators, which may be announced or unannounced. LEFP is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.