

# **Retirement Plan Advisors, LLC**

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

for

**Timothy Daniel (Dan) Harden, CFP®, ChFC®**

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**May 1, 2025**

This brochure supplement provides information about Dan Harden that supplements the Retirement Plan Advisors, LLC, Brochure. You should have received a copy of that brochure. Please contact our Service Center at (877) 284-6837 if you did not receive Retirement Plan Advisors' Brochure or if you have any questions about the contents of this supplement.

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

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(312) 701-1100

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

## Item 2: Educational Background and Business Experience

Dan Harden is a Financial Advisor for Retirement Plan Advisors. Dan provides retirement counseling and investment advice to individual plan participants, predominantly in the public sector.

Date of Birth: September 23, 1981

Education: Master of Science, Finance from Webster University in St. Louis, Missouri  
Bachelor of Arts degree in Music from Truman State University in Kirksville, Missouri

Designations: CFP®—Certified Financial Planner: Individuals certified by CFP® Board have taken the step to demonstrate their professionalism by voluntarily submitting to the CFP® certification process that includes thorough education, examination, experience and ethical requirements. The CFP® is issued by the Certified Financial Planner Board of Standards, Inc. Pre-requisites require a designee to hold a Bachelor's degree (or higher) from an accredited college or university as well as three years of full-time personal financial planning experience. The designee is then required to complete a CFP® board registered program, or hold one of the following designations; CPA, ChFC, CLU, CFA, PH.D. in business or economics, Doctor of Business Administration, or Attorney's License. The designee is then required to complete the CFP® certification examination. In addition, the designee is required to complete 30 hours of continuing education every two years.

Chartered Financial Consultant (ChFC): Your Chartered Financial Consultant® has completed the most extensive educational program required for any financial services credential. Each ChFC® has taken eight or more college-level courses on all aspects of financial planning from The American College, a non-profit educator with the highest level of academic accreditation. The average study time for the program is over 400 hours, and advisors frequently spend years earning this coveted distinction. Each ChFC® must also complete a minimum of 30 hours of continuing education every two years and must meet extensive experience requirements to ensure that you get the professional financial advice you need.

Business Background:	<i>Investment Adviser Representative</i> Retirement Plan Advisors, LLC	2020 – present
	<i>Retirement Education Specialist</i> Principal Financial Group	2017 – 2020

Business *Wealth Advisor*  
Background: Mariner Wealth Advisors

2016 - 2017

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

Dan Harden has not had:

- A) Any civil or criminal actions brought against him;
- B) Any administrative proceedings before the SEC, any other federal regulatory agency, or any foreign financial regulatory authority;
- C) Any proceedings before a self-regulatory organization; and
- D) Proceedings in which a professional attainment, designation, or license was revoked or suspended.

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

Dan Harden, your Advisor, is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your Advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

Additionally, Dan Harden is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor.

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

Dan Harden may receive benefits from Cambridge, through production credits, on discounts for performance reporting software and conference participation. He does not receive any

economic benefit from other persons, companies or organizations in exchange for providing client advisory services through Retirement Plan Advisors, LLC.

<b>Item 6: Supervision</b>
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Accounts are randomly and periodically reviewed for consistency between the investment objectives and risk tolerance as represented on the client's advisory account agreement or other suitability document, and the actual holdings in the client's account. Compliance may either sample investment management accounts on a periodic basis or review exception reports to determine if the client's investment allocations are consistent with the client's stated investment objective.

Matt Frank, Chief Compliance Officer, (573) 659-4443, is responsible for supervising the advisory activities of Dan Harden on behalf of Retirement Plan Advisors, LLC.