

## Part 2B of Form ADV: Brochure Supplement



James Skaggs Pittenger, Jr.  
5533 South 27th Street, Suite 201  
Lincoln, NE 68512  
402-328-8800

Pittenger & Anderson, Inc.  
5533 South 27th Street  
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11/30/2022

This brochure supplement provides information about James Skaggs Pittenger, Jr., that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about James Skaggs Pittenger, Jr., is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 2 Educational Background and Business Experience

**Full Legal Name:** James Skaggs Pittenger, Jr.

**Born:** 1948

#### Education

- University of Nebraska; BS, Business Administration; 1970
- Wharton Business School; Dean Witter Wharton Institute Account Executive Program; 1991

#### Business Experience

- Pittenger & Anderson, Inc.; Chairman/ CEO; from 1995 to Present

#### Designations

James Skaggs Pittenger, Jr., has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 1988

The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics,

including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

### **Item 3 Disciplinary Information**

James Skaggs Pittenger Jr has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. James Skaggs Pittenger, Jr., is not engaged in any other investment-related activities.
2. James Skaggs Pittenger, Jr., does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

James Skaggs Pittenger, Jr., is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

James Skaggs Pittenger, Jr., does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** Daniel L. Anderson

**Title:** President, CFO

**Phone Number:** 402-328-8800

Pittenger & Anderson, Inc., utilizes an open office design. Pittenger & Anderson, Inc., also has a Chief Compliance Officer that reviews policies and procedures on a regular basis. All employees must read, review and sign off on the policies and procedures annually. All trades are reviewed by principals of the company before the trades are executed.

### **On a personal note...**

After graduating from the University of Nebraska in 1970, Pitt started his financial career with the Investment Division of the First National Bank of Lincoln. He opened the Dean Witter office in Lincoln in 1976 and earned the title of Senior Vice President. During his tenure with the company he served as branch manager, studied for a CERTIFIED FINANCIAL PLANNER™ Certification and attended the Dean Witter/Wharton Institute at the University of Pennsylvania. Jim also serves the Financial Industry Regulatory Authority as an arbitrator.

Pitt loves the Blues and is an avid fisherman, hunter and golfer. He enjoys flying and holds a Commercial Pilot certification. In addition to serving a number of local philanthropies, Pitt has a keen interest in his alma mater, the University of Nebraska. He has served as a University of Nebraska Foundation Director, Chairman of the Finance Committee and member of the Executive Committee as well as Governance. He is a former Madonna Rehabilitation Hospital Foundation Trustee and has served in the same capacity for a number of charities and foundations. A fifth generation Nebraskan, Pitt and his wife Julie were born and raised in Lincoln and have two married children, Trey (wife Shari, daughters Maci, Lexi, Vivi, and son Cruz) and Melissa Person (husband Ashley, son Will, and daughters Eve and Grace).

## Part 2B of Form ADV: Brochure Supplement



Daniel Lynn Anderson  
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5533 South 27th Street  
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Lincoln, NE 68512

11/30/2022

This brochure supplement provides information about Daniel Lynn Anderson that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Daniel Lynn Anderson

**Born:** 1951

#### Education

- University of Nebraska; BS, Business Administration; 1974
- University of Nebraska; Masters, Business Administration; 1975

#### Business Experience

- Pittenger & Anderson, Inc.;  
President/CFO/COO; from 1996 to Present

#### Designations

Daniel Lynn Anderson has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 1991

The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and

agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

### **Item 3 Disciplinary Information**

Daniel Lynn Anderson has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Daniel Lynn Anderson is not engaged in any other investment-related activities.

2. Daniel Lynn Anderson does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Daniel Lynn Anderson is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Daniel Lynn Anderson does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr.

**Title:** Chairman

**Phone Number:** 402-328-8800

Pittenger & Anderson, Inc., utilizes an open office design. Pittenger & Anderson, Inc., also has a Chief Compliance Officer that reviews policies and procedures on a regular basis. All employees must read, review and sign off on the policies and procedures annually. All trades are reviewed by principals of the company before the trades are executed.

### **On a personal note...**

Dan's business career began in 1975 when he accepted a position with the Investment Division of the National Bank of Commerce in Lincoln. Also a graduate of the University of Nebraska, Dan played on two Nebraska National Championship football teams and served as a graduate assistant for the Huskers while pursuing a Master's Degree in Business Administration. In 1985, he joined Pitt at Dean Witter where he was soon promoted to Senior Vice President, while earning the CERTIFIED FINANCIAL PLANNER™ Certification. Their partnership continues at P&A.

Dan is a past Chairman of the Lincoln YMCA and the Lincoln Community Health Endowment Board, and is active in the local Pheasants Forever chapter. He spends his free time working on his farm, hunting, fishing and golfing. A fourth generation Nebraskan, Dan and his wife Sue were born and raised in Fremont, Nebraska and have two children, Reed and Blake and are grandparents to Violet, Oliver and Hazel.

## Part 2B of Form ADV: Brochure Supplement



Jon J. Sevenker  
5533 South 27th Street, Suite 201  
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5533 South 27th Street  
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11/30/2022

This brochure supplement provides information about Jon J. Sevenker that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Jon J. Sevenker

**Born:** 1975

#### Education

- University of Nebraska; BS, Finance and Economics; 1998

#### Business Experience

- Pittenger & Anderson, Inc.; Lead Advisor/Principal; from 1998 to Present

#### Designations

Jon J. Sevenker has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2007

The program is administered by the Certified Financial Planner Board of Standards, Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

### **Item 3 Disciplinary Information**

Jon J. Sevenker has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Jon J. Sevenker is not engaged in any other investment-related activities.
2. Jon J. Sevenker does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Jon J. Sevenker is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Jon J. Sevenker does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

Pittenger & Anderson, Inc., utilizes an open office design. Pittenger & Anderson, Inc., also has a Chief Compliance Officer that reviews policies and procedures on a regular basis. All employees must read, review and sign off on the policies and procedures annually. All trades are reviewed by principals of the company before the trades are executed.

#### **On a personal note...**

Jon joined Pittenger & Anderson in June 1998, after graduating from the University of Nebraska with a Bachelor's Degree in Finance and Economics. He is a CERTIFIED FINANCIAL PLANNER™ and Series 65 registered. As such, he spends the majority of his time helping his clients plan for their future, while understanding their values and goals. Jon is also the point person for the firm's marketing efforts, including website, monthly client newsletter, and online advertising.

Jon is a big Husker sports fan, enjoys reading, biking, and traveling. In addition, he serves on the Lincoln Children's Zoo Board of Directors, is a past president of the Lincoln Downtown Athletic Club, and a Teammates mentor. Jon and his wife are the proud parents of a daughter and son.

## Part 2B of Form ADV: Brochure Supplement



Diane L. Klein  
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11/30/2022

This brochure supplement provides information about Diane L. Klein that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Diane L. Klein

**Born:** 1972

#### Education

- Peru State College; BT, Industrial Technology; 2000

#### Business Experience

- Pittenger & Anderson, Inc.; Lead Advisor/Principal; from 2001 to Present

#### Designations

Diane L Klein has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2010

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### **Item 3 Disciplinary Information**

Diane L. Klein has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Diane L. Klein is not engaged in any other investment-related activities.

2. Diane L. Klein does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Diane L. Klein is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Diane L Klein does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Diane joined us in February 2001 after many years in the restaurant and retail industries. She is a graduate of Peru State College with a Bachelors Degree in Technology. She is a lead advisor & principal of the company. Diane has earned the CERTIFIED FINANCIAL PLANNER™ designation and is Series 65 registered. In addition to being a part of the compliance team and a Nebraska SHIP counselor, she sits on our Investment Committee and is an important part of our portfolio management team. Diane spends her free time cooking, reading, and going to Husker Volleyball games with her husband, Kevin. The couple is raising a family and lives in Lincoln.



## Part 2B of Form ADV: Brochure Supplement



James Skaggs Pittenger, III  
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11/30/2022

This brochure supplement provides information about James Skaggs Pittenger, III that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about James Skaggs Pittenger, III is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 2 Educational Background and Business Experience

**Full Legal Name:** James Skaggs Pittenger, III

**Born:** 1978

#### Education

- University of Nebraska; BS, Finance; 2001

#### Business Experience

- Wells Fargo Bank; Private Client Services; from 2002 to 2006
- Pittenger & Anderson, Inc.; Lead Advisor/Principal; from 2006 to Present

#### Designations

James Skaggs Pittenger, III has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2011

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candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

### **Item 3 Disciplinary Information**

James Skaggs Pittenger, III has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. James Skaggs Pittenger, III is not engaged in any other investment-related activities.

2. James Skaggs Pittenger, III does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

James Skaggs Pittenger, III is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

James Skaggs Pittenger, III does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

A 2001 graduate of the University of Nebraska, Trey was employed as an intern at P&A during his college years where he learned how we build portfolios and administer our review process. He was also instrumental in creating the research disciplines we currently use. After graduation, Trey started his business career in the Private Client Services division of Wells Fargo Bank where his duties included lending, cash management, investment analysis and marketing. He joined P&A again in June of 2006 and is a lead advisor & principal. Trey received his CERTIFIED FINANCIAL PLANNER™ designation in 2011.

Trey loves to compete; if there is a game, he wants in. He currently serves as Bryan LGH Foundation Chair, Building Corporation President of the local Sigma Chi fraternity, Lincoln Christian Foundation Board Chair and is on the Country Club of Lincoln board. Born and raised in Lincoln, he and his wife Shari are the proud parents of Maci, Lexi, Cruz and Vivi and are all part of the Lincoln Christian Family.

## Part 2B of Form ADV: Brochure Supplement



Elizabeth Ann Sydzyk  
5533 South 27th Street, Suite 201  
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11/30/2022

This brochure supplement provides information about Elizabeth Ann Sydzyk that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Elizabeth Ann Sydzyk

**Born:** 1985

#### Education

- University of Nebraska; BS, Finance; 2007

#### Business Experience

- Pittenger & Anderson, Inc.; Service Advisor; from 2008 to Present

#### Designations

Elizabeth Ann Sydzyk has earned the following designation(s) and is in good standing with the granting authority:

- CRPC®; Chartered Retirement Planning Counselor; July 2016

Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. The program is designed for approximately 120-150 hours of self-study.

### Item 3 Disciplinary Information

Elizabeth Ann Sydzyk has no reportable disciplinary history.

## **Item 4 Other Business Activities**

### **A. Investment-Related Activities**

1. Elizabeth Ann Sydzyk is not engaged in any other investment-related activities.
2. Elizabeth Ann Sydzyk does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### **B. Non Investment-Related Activities**

Elizabeth Ann Sydzyk is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

## **Item 5 Additional Compensation**

Elizabeth Ann Sydzyk does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Elizabeth graduated in 2007 from the University of Nebraska-Lincoln and started at P&A shortly after. She earned her Chartered Retirement Planning Counselor<sup>SM</sup> designation in 2016 and is Series 65 registered. Elizabeth holds the title of Service Advisor and is also responsible for numerous other tasks including our Fireball discipline, trading, and assisting clients with their charitable giving.

Elizabeth and her husband, Steve, live on an acreage in Adams with their three dogs, tortoise named Boris and a potbellied pig named Tater. She spends her spare time camping, traveling, UTV trail-riding and listening to true crime podcasts. You might also find her hunting for "junk" at auctions or antique stores.

## Part 2B of Form ADV: Brochure Supplement



Shane Michael Riley  
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Suite 201  
Lincoln, NE 68512

11/30/2022

This brochure supplement provides information about Shane Michael Riley that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Shane Michael Riley

**Born:** 1988

#### Education

- University of Nebraska; BS, Business Administration; 2010

#### Business Experience

- Pittenger & Anderson, Inc.; Lead Analyst/Principal; from 2011 to Present

#### Designations

Shane Michael Riley has earned the following designation(s) and is in good standing with the granting authority:

- Chartered Financial Analyst Designation®

This designation is offered by the CFA Institute (formerly the Association for Investment Management and Research [AIMR]). To obtain the CFA charter, candidates must successfully complete three difficult exams and gain at least four (4) years of qualifying work experience, among other requirements. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis.

### **Item 3 Disciplinary Information**

Shane Michael Riley has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Shane Michael Riley is not engaged in any other investment-related activities.
2. Shane Michael Riley does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Shane Michael Riley is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Shane Michael Riley does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

A native of Fremont, Nebraska, Shane is a 2010 graduate of the University of Nebraska-Lincoln, where he obtained a Bachelor's Degree in Business Administration with an emphasis in accounting. While at UNL, he was a member of the Phi Gamma Delta Fraternity. Currently, his duties include securities research and analysis, trading, and serving on P&A's Investment Committee. In 2015, Shane earned the CFA® designation. He spends his free time traveling, watching Netflix and Amazon Prime, following global markets and wishing he was a scratch golfer.

## Part 2B of Form ADV: Brochure Supplement



Blake Alan Anderson  
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Pittenger & Anderson, Inc.  
5533 South 27th Street  
Suite 201  
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11/30/2022

This brochure supplement provides information about Blake Alan Anderson that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Blake Alan Anderson

**Born:** 1981

#### Education

- University of Nebraska; BS, Finance & Marketing; 2003
- University of Texas – Austin; MBA, Business Administration - 2009

#### Business Experience

- Sprint Nextel; Finance; From 2003-2007
- Deloitte Consulting; Sr. Consultant; From 2009-2010
- ConAgra Foods; Manager Finance; from 2010-2014
- Pittenger & Anderson, Inc.; Lead Advisor/Principal; from 2014 to Present

#### Designations

Blake Alan Anderson has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2016

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

### **Item 3 Disciplinary Information**

Blake Alan Anderson has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Blake Alan Anderson is not engaged in any other investment-related activities.
2. Blake Alan Anderson does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Blake Alan Anderson is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Blake Alan Anderson does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Blake rejoined P&A in 2014 after working as an Intern while getting his undergrad in Finance from the University of Nebraska-Lincoln in 2003. Prior to rejoining P&A, Blake spent time work in the Finance departments at Sprint and ConAgra Foods, and as a management consultant with Deloitte. In 2009, Blake received his MBA from the University of Texas-Austin. He is series 65 registered and earned his CFP® designation in 2016. Blake's duties include client relationship management, portfolio management, business development, and research.

Blake was born and raised in Nebraska and is happy to be home with his wife Emmy and 3 kids – Violet, Oliver and Hazel. When Blake isn't at the office or busy with his kids' activities, he enjoys getting outside to play golf, hunt, fish or head to the mountains of Colorado.



## Part 2B of Form ADV: Brochure Supplement



Kristin Marie Kliever  
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Pittenger & Anderson, Inc.  
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Lincoln, NE 68512

11/30/2022

This brochure supplement provides information about Kristin Marie Kliever that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Kristin Marie Kliever

**Born:** 1990

#### Education

- York High School; High School, General Studies; 2008, University of Nebraska Lincoln; Finance; 2013

#### Business Experience

- Pittenger & Anderson, Inc.; Service Advisor/Chief Compliance Officer; from 2012 to Present

#### Designations

Kristin Marie Kliever has earned the following designation(s) and is in good standing with the granting authority:

- IACCP®; Investment Adviser Certified Compliance Professional Program, National Regulatory Services; 2016

The program is administered by National Regulatory Services. The Examination tests the candidate's knowledge of investment adviser regulations as well as industry best practice, as presented in the NRS IACCP education courses and material. This representation of industry best practice is driven by compliance industry consensus,

gained through over 30 years of experience in the compliance field and proven over time as successful strategies for meeting regulatory requirements. The purpose of the IACCP Examination is to help ensure that investment adviser compliance professionals have a minimum level of general foundation knowledge related to applicable regulatory laws, rules, requirements and certain best practice (as defined by the 2005 Job Task Analysis for investment adviser compliance professionals and periodic updates), and which is necessary to function as a compliance professional for investment advisory firms.

### **Item 3 Disciplinary Information**

Kristin Marie Kliewer has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Kristin Marie Kliewer is not engaged in any other investment-related activities.
2. Kristin Marie Kliewer does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Kristin Marie Kliewer is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Kristin Marie Kliewer does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Kristin was our intern and joined us as a full-time employee in 2014. Kristin is Series 65 registered and has received the IACCP® designation. Some of her responsibilities at P&A include helping clients as a service advisor, compliance maintenance, client technical support, accounts payable and receivable.

Kristin grew up down the road in York, NE as a Duke. She moved just west of Sprague, NE in 2019. She enjoys spending time with her husband, Ryan, two daughters, Renley and Sienna, and rescue pooch, Fergie. Give her a day of sunshine and she'll be out soaking it in with family and friends.

## Part 2B of Form ADV: Brochure Supplement



Audrey Lynn Mines  
5533 South 27th Street, Suite 201  
Lincoln, NE 68512  
402-328-8800

Pittenger & Anderson, Inc.  
5533 South 27th Street  
Suite 201  
Lincoln, NE 68512

11/30/2022

This brochure supplement provides information about Audrey Lynn Mines that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Audrey Lynn Mines

**Born:** 1977

#### Education

- Elkhorn Valley High School; High School, General Studies; 1995, University of Nebraska Lincoln; Finance; 2000

#### Business Experience

- Pittenger & Anderson, Inc.; Service Advisor; from May 2016 to Present

Smith Hayes; Assistant Branch Manager from March 2012 to April 2016

Ameritas Investment Corp; Home Office Associate from December 2000 to March 2012

#### Designations

Audrey Lynn Mines has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2016

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to

financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

- State of Nebraska Licensed Individual Life & Health Insurance Consultant\*
- State of Nebraska Licensed Life & Annuities, Variable Contracts Producer\*

\*Audrey is not affiliated with any insurance company, nor sells any insurance products

### **Item 3 Disciplinary Information**

Audrey Lynn Mines has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Audrey Lynn Mines is not engaged in any other investment-related activities.

2. Audrey Lynn Mines does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Audrey Lynn Mines is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Audrey Lynn Mines does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Audrey is a 2000 graduate of the University Nebraska–Lincoln, where she majored in Finance. Audrey joined Pittenger & Anderson in May 2016 following sixteen years holding various roles including Life Underwriting, Sales Supervision, and Compliance within the Financial Services Industry. She is Series 66 registered, earned her CFP® designation in 2016. She works on a variety of tasks in the office, including research & analysis, special projects, trading, and helping review client accounts.

Audrey enjoys reading, cooking, travel, various outdoor activities, and spending time with family and friends. Born and raised on a Farm near Meadow Grove, NE, she and her husband Cory, another Northeast Nebraska native, have two children, Carissa and Sean, and all are members of the St. Vincent Catholic Church in Seward.

## Part 2B of Form ADV: Brochure Supplement



Daniel Erick Frost  
5533 South 27th Street, Suite 201  
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Pittenger & Anderson, Inc.  
5533 South 27th Street  
Suite 201  
Lincoln, NE 68512

11/30/2022

This brochure supplement provides information about Daniel Erick Frost that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Daniel Erick Frost

**Born:** 1976

#### Education

- University of Nebraska- Lincoln; Finance, 1999

#### Business Experience

- Pittenger & Anderson, Inc.; Lead Advisor/ Senior Analyst; August 2021 - Present
- Union Bank & Trust; Vice President/ Senior Portfolio Manager; July 2008- July 2021

#### Designations

Daniel Erick Frost has earned the following designation(s) and is in good standing with the granting authority:

- CFP®; Certified Financial Planner Board of Standards, Inc.; 2019

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's ethics and professional responsibility and financial planning standards.

- CFA®; Chartered Financial Analyst; Charter Holder as of 2002

This designation is offered by the CFA Institute (formerly the Association for Investment Management and Research [AIMR]). To obtain the CFA charter, candidates must successfully complete three difficult exams and gain at least four (4) years of qualifying work experience, among other requirements. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis.

### **Item 3 Disciplinary Information**

Daniel Erick Frost has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Daniel Erick Frost is not engaged in any other investment-related activities.

2. Daniel Erick Frost does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Daniel Erick Frost is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Daniel Erick Frost does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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### **On a personal note...**

Dan earned his degree in Finance from the University of Nebraska-Lincoln, graduating in 1999. While in college, he worked as an intern for a local bank where he was first exposed to the investment management profession. Following graduation Dan started working as an investment officer with responsibilities that included investment research and client portfolio management. In 2002, he earned the CFA® designation. In 2007, Dan and his family moved to Fort Collins, CO where he continued his career in the Wealth Management and Trust Division of First National Bank. In 2008, he returned to Lincoln, NE where he re-joined the Investment Management Division of Union Bank & Trust. Dan also earned the CERTIFIED FINANCIAL PLANNER™ designation in 2019. In August of 2021, he joined P&A as a Lead Advisor and Senior Analyst.

Dan and his wife of over 20 years have two daughters and reside in Lincoln, NE. They keep busy with various school, church, and other activities. When time allows, they love to travel as much as possible and spend time enjoying the outdoors, especially where there are either mountains or an ocean.

## Part 2B of Form ADV: Brochure Supplement



Soren Elizabeth Schwan  
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11/30/2022

This brochure supplement provides information about Soren Elizabeth Schwan that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Soren Elizabeth Schwan

**Born:** 1988

#### Education

- Nebraska Wesleyan University; Psychology; 2010

#### Business Experience

- Allstate Financial Services; Principal Review Analyst; 2017-2021
- Pittenger & Anderson, Inc.; Service Advisor; January 2022-present

### **Item 3 Disciplinary Information**

Soren Elizabeth Schwan has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Soren Elizabeth Schwan is not engaged in any other investment-related activities.

2. Soren Elizabeth Schwan does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Soren Elizabeth Schwan is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Soren Elizabeth Schwan does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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#### **On a personal note...**

Soren studied Psychology at Nebraska Wesleyan University and graduated in 2010. She then moved to Kansas City, MO where she worked in various retail and customer service positions. After four years, she returned home to Lincoln, NE in 2014 and started working at Allstate in the life insurance customer service department. As her interest in the financial services industry grew, she moved first to the variable life insurance team, and then eventually to the broker/dealer, Allstate Financial Services. Wanting to return to a role where she could work more directly with clients, Soren began working for Pittenger & Anderson, Inc. in January 2022 as a Service Advisor. Soren is Series 65 registered. Her role at Pittenger & Anderson includes assisting clients with account maintenance and helping with P&A's marketing efforts.

Soren was born and raised in Lincoln, NE. She currently resides in Bennet, NE with her husband, Matt, and their daughter, Sayre. Soren enjoys spending time with family and friends, reading, antiquing, and frequenting local wineries.



## Part 2B of Form ADV: Brochure Supplement



Ema Lydia Rose Kohmetscher  
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11/30/2022

This brochure supplement provides information about Ema Lydia Rose Kohmetscher that supplements the Pittenger & Anderson, Inc., brochure. You should have received a copy of that brochure. Please contact James S. Pittenger, Jr., at 402-328-8800 if you did not receive Pittenger & Anderson, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational Background and Business Experience

**Full Legal Name:** Ema Lydia Rose Kohmetscher

**Born:** 1998

#### Education

- Hastings College; Mathematics Education; 2019

#### Business Experience

- Pittenger & Anderson, Inc.; Service Advisor; March 2022-present

### **Item 3 Disciplinary Information**

Ema Lydia Rose Kohmetscher has no reportable disciplinary history.

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

#### **A. Investment-Related Activities**

1. Ema Lydia Rose Kohmetscher is not engaged in any other investment-related activities.
2. Ema Lydia Rose Kohmetscher does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

Ema Lydia Rose Kohmetscher is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

### **Item 5 Additional Compensation**

Ema Lydia Rose Kohmetscher does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

**Supervisor:** James S. Pittenger, Jr., & Daniel L. Anderson

**Title:** Chairman & President

**Phone Number:** 402-328-8800

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#### **On a personal note...**

Ema earned her degree in Mathematics Education from Hastings College, graduating in 2019. While in college, she worked as an intern for an insurance agency where she took a full-time role after graduation in their Lincoln office. Ema joined Pittenger & Anderson in March 2022 as a Service Advisor and is Series 65 registered. Her role at Pittenger & Anderson includes assisting clients with account maintenance, money movements, and technology support.

Ema was born and raised on a farm near Juniata, NE. She currently resides in Lincoln, NE with her husband, Nolan, and their two dogs, Kelso & Penny. Ema enjoys spending her free time traveling to new places, enjoying time outdoors, and tackling home improvement projects.