OATLEY & DIAK, LLC

REGISTERED INVESTMENT ADVISOR

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Form ADV
Part 2B
February 3, 2025

This Brochure provides information about the qualifications and business practices of Oatley & Diak, LLC ["Advisor"]. If you have any questions about the contents of this Brochure, please contact us at (303) 221-1900 or email at info@oatleydiak.com. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Oatley & Diak, LLC (CRD# 123589) is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser.

Additional information about Oatley & Diak, LLC also is available on the SEC's website at www.adviserinfo.sec.gov.

Table of Contents

John J. Diak, CFP®
CRD #: 5207863

Date of Birth: 07/16/1970

Item 2 - Educational Background and Business Experience

Education

- BS – Business Administration – Finance - Colorado State University; 1993
- BS – Human Development and Family Studies – Colorado State University; 1993
- MS – Finance - University of Colorado; 1996
- Personal Financial Planning Certificate - Metro State College of Denver; 2009

Business Experience

- Oatley & Diak, LLC; Managing Member; 2023 – Present
- Town of Parker; Council Member; 2012 – Present
- Oatley & Diak, LLC; Member; 2006 – 2022
- Western States Surveying, Inc; Chief Financial Officer/Vice President – Finance; 1993-2006

Designations

Certified Financial Planner (CFP®); 2009

Item 3 – Disciplinary Information

John Diak has no reportable disciplinary history.

Item 4 – Other Business Activity

Investment - Related Activities

John Diak is not engaged in any other investment-related activities. He does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

Non-Investment-Related Activities

In 2012, John Diak was elected to the Parker Town Council. His duties include sitting on committees, making policy decisions and approving the Town budget. This is not a full – time position and the required meetings are primarily held at night. John does sit on various financial related advisory and oversight committees. John's role is to monitor cash management and investment results, develop and recommend investment policies to the Town Council and assist in the selection of the investment professionals to implement policy. John has no role in the investment selection and/or active management of municipal investment assets.

Item 5 – Additional Compensation

John Diak does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 – Supervision

Supervisor: Noelle O. Diak, Member|303-221-1900

Item 7 – Requirements For State Advisors

John Diak has not been found liable in any arbitration claim in excess of $2,500 or found liable in a civil, self-regulatory organization or administrative proceeding.

Noelle O. Diak
CRD #: 4125107

Date of Birth: 7/24/1969

Item 2 - Educational Background and Business Experience
Education
- BS – Merchandising – Colorado State University; 1993
- Personal Financial Planning Certificate – Metro State College of Denver; 2002

Business Experience
- AJ Gallagher; Insurance; 2022 – Present
- Oatley & Diak, LLC; Member; 2001 – Present
- Spinmaster; Merchandising; 2016 – 2022
- Janus Service Group; Registered Representative; 2000 – 2001
- Continental Airlines; Empowered Agent; 1999 – 2001

Item 3 – Disciplinary Information
Noelle Diak has no reportable disciplinary history.

Item 4 – Other Business Activity
Investment - Related Activities
Noelle Diak is not engaged in any other investment-related activities. He does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

Non-Investment-Related Activities
Noelle Diak currently holds a customer service position for Gallagher. The position is full-time and does provide compensation. Noelle continues to provide administrative support to the firm and this position does not interfere with completing her assigned firm duties.

Item 5 – Additional Compensation
Noelle Diak does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 – Supervision
Supervisor: John J. Diak, Managing Member|303-221-1900

Item 7 – Requirements For State Advisors
Noelle Diak has not been found liable in any arbitration claim in excess of $2,500 or found liable in a civil, self-regulatory organization or administrative proceeding.

Appendix

Supervision
Oatley & Diak, LLC has adopted written policies and procedures which are designed to set standards and internal controls for the firm, its employees, and its businesses and are also reasonably designed to detect and prevent any violations of regulatory requirements and the firm's policies and procedures. Every employee and manager is required to be responsible for and monitor those individuals and departments he or she supervises to detect, prevent and report any activities inconsistent with the firm's procedures, policies, high professional standards, or legal/regulatory requirements. Oatley & Diak, LLC's owners/members are primarily responsible for the development and implementation of appropriate policies and procedures. Monitoring systems are tailored to particular policies and procedures, the manner and frequency of testing varies as appropriate. These compliance procedures include the reporting of violations or errors to designated personnel. After any preliminary due diligence and investigation, matters are corrected or resolved in an appropriate manner, which will vary depending on, among other things, the nature and severity of the violation.

Professional Designations

<u>Certified Financial Planner™ Practitioner</u>
Conferred by the CFP Board, this professional designation requires individuals to meet the following requirements: Bachelor's degree (or higher), CFP Certification Examination, Three years of full- time relevant personal financial planning experience is required, and CFP® Certification Application. CFP® certification also requires you to agree to adhere to CFP Board's Code of Ethics and Professional Responsibility, Rules of Conduct and Financial Planning Practice Standards, and acknowledge CFP Board's right to enforce them through its Disciplinary Rules and Procedures.

CFP® professionals must develop their theoretical and practical financial planning knowledge by completing a comprehensive course of study at a college or university offering a financial planning curriculum approved by CFP Board. Other options for satisfying the education component include submitting a transcript review or previous financial planning related coursework to CFP Board for review and credit, or showing the attainment of certain professional designations or academic degrees. CFP® practitioners must pass a comprehensive two-day, 10-hour CFP® Certification Examination that tests their ability to apply financial planning knowledge in an integrated format. Based on regular research of what planners do, the exam covers the financial planning process, tax planning, employee benefits and retirement planning, estate planning, investment management and insurance. CFP® professionals must have three years minimum experience in the financial planning process prior to earning the right to use the CFP® certification marks. As a result, CFP® practitioners possess financial counseling skills in addition to financial planning knowledge. As a final step to certification, CFP® practitioners agree to abide by a strict code of professional conduct, known as CFP Board's Code of Ethics and Professional Responsibility, that sets forth their ethical responsibilities to the public, clients and employers. CFP Board also performs a background check during this process, and each individual must disclose any investigations or legal proceedings related to their professional or business conduct. Once certified, CFP® practitioners are required to maintain technical competence and fulfill ethical obligations. Every two years, they must complete a minimum 30 hours of continuing education to stay current with developments in the financial planning profession and better serve clients. Two of these hours are spent studying or discussing CFP Board's Code of Ethics or Practice Standards. In addition to the biennial continuing education requirement, all CFP® practitioners voluntarily disclose any public, civil, criminal or disciplinary actions that may have been taken against them during the previous two years as part of the renewal process.

For more information on the Certified Financial Planner™ designation, please visit www.cfp.net.

Certified Divorce Financial Analyst™

Certified Divorce Financial Analyst™ (CDFA®): The Institute for Divorce Financial Analysts™ is the premier national organization dedicated to the certification, education and promotion of the use of financial professionals in the divorce arena. The Institute provides comprehensive training using a variety of knowledge and skill-building techniques. Candidates will learn how to help their clients with financial issues and they will receive the Certified Divorce Financial Analyst™ (CDFA) designation after successfully completing the course.

To acquire the CDFA® designation, a candidate must successfully pass all exams (modules) with a minimum score of 70% for each one and be in good standing with the FINRA/SEC or other licensing or regulatory agency.

Individuals with a minimum of three years of professional experience in finance or divorce and a Bachelors degree are eligible to enroll in the CDFA Program. This includes experience as a financial professional, accountant, or matrimonial lawyer. Candidates should also have working knowledge of financial calculators before purchasing the course or the examination.

After completing the CDFA course, the designation requires 15 hours of divorce related education every two years and an annual reinstatement fee.

For more information on the Certified Divorce Financial Analyst™ designation, please visit www.institutedfa.com.