

Item 1: Cover Page

Firm Brochure

Form ADV Part 2A and 2B

NEW HEIGHTS FINANCIAL PLANNING, LLC

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This brochure provides information about the qualifications and business practices of New Heights Financial Planning, LLC. If you have any questions about the contents of this brochure, please contact us at newheights@newheightsfp.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.

Additional information about New Heights Financial Planning, LLC also is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: March 28th, 2017

Item 2: Material Changes

Since the initial filing on January 27th, 2017, New Heights Financial Planning, LLC has updated Items 4, 5, and 14 in this brochure.

Changes to Item 4 include the addition of Investment Advisory Services.

Changes to Item 5 include compensation for Investment Advisory Services via Solicitor Agreements with third party money managers.

Changes to Item 14 include the explanation of arrangements with third party money managers

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Item 4: Advisory Business

Description of Firm

New Heights Financial Planning, LLC (“New Heights FP”) was founded in November 2016 by Daniel J Kellermeyer, the sole Owner and President.

New Heights FP is a fee-only financial planning firm specializing in providing comprehensive, personalized, and confidential financial services to our clients. These solutions are discussed in “Types of Advisory Services” below.

As a fee-only firm, we do not sell annuities, insurance, stocks, bonds, mutual funds, limited partnerships, or other commissioned products. No commissions in any form are accepted.

Types of Advisory Services

Comprehensive Financial Planning

Financial planning is a comprehensive evaluation of a client’s current and future financial state by using currently known variables to predict future cash flows, asset values and withdrawal plans. The key defining aspect of financial planning is that through the financial planning process, all questions, information and analysis will be considered as they affect and are affected by the entire financial and life situation of the client. Clients purchasing this service will receive detailed advice on their specific goals and objectives.

The client always has the right to decide whether or not to act upon our recommendations. If the client elects to act on any of the recommendations, the client always has the right to implement any aspect of the plan with anyone they choose.

Ongoing Planning and Guidance

This service involves working one-on-one with a planner over an extended period of time, covering a variety of financial planning topics applicable to the Client’s needs. The plan and the client’s financial situation and goals will be monitored throughout the year and follow-up phone calls and emails will be made to the client to confirm that any agreed upon action steps have been carried out.

On an annual basis there will be a full review of this plan to ensure its accuracy and ongoing appropriateness. Any needed updates will be implemented at that time. If a follow up meeting is required, we will meet at the client's convenience

Investment Advisory Services

New Heights FP offers investment advisory services through use of third party money managers (“Outside Managers”) for portfolio management services. We maintain Solicitor Agreements with any Outside Manager we recommend. We assist clients in selecting an appropriate allocation model, completing a risk profile questionnaire, interacting with the Outside Manager and reviewing the Outside Manager. Additionally, we will meet with the client on a periodic basis to discuss changes in their personal or financial situation, suitability, and any new or revised restrictions to be applied to the account.

Clients will sign an advisory agreement with the Outside Manager. Clients will pay a management fee directly to the Outside Manager generally based on a percentage of the assets under management. New Heights FP is paid a portion of this fee by the Outside Manager in exchange for the client referral. The Outside Manager will provide the client with a disclosure statement detailing the fees.

Tailored Relationships

Any advice rendered from New Heights FP is tailored to each specific client's individual situation. A great deal of time is spent getting to know each client, discussing their goals and dreams, and gathering detailed information on their entire financial situation. This information is then documented in the client file and the firm's CRM (client relationship management) software for access when needed.

Any changes to a client's financial situation are documented and, if warranted, changes to their financial planning or investment strategies are made.

Item 5: Fees and Compensation

Comprehensive Financial Planning Fees

Clients can obtain comprehensive financial planning services on a project basis, or an hourly basis depending on the degree of complexity associated with the client's situation. Any fees will be agreed upon before the start of any work.

Comprehensive Financial Plans Fees can range between \$1,500 and \$20,000.00 per engagement. The fee will be due upon delivery of the plan. We do not bill in advance for financial planning services.

The Financial Planning hourly fee is an hourly rate of \$150.00 per hour. The fee is due at the completion of the engagement. In the event of early termination by client, any fees for the hours already worked will be due.

These fees are negotiable.

On-Going Planning and Guidance

Clients can also obtain On-going Financial Planning advice. The fee for Ongoing Financial Planning is a fixed retainer fee of \$100.00 per month. This fee is negotiable. Fees for this service will be paid monthly, in arrears. This service may be terminated with 15 days' notice. Since fees are paid in arrears, no refund will be processed upon termination. Instead, the client will be sent an invoice for the remaining amount due on a pro-rata basis.

Outside Manager Fees for Investment Advisory Services

As mentioned in Item 4, the Outside Manager will charge the client a fee for Investment Advisory services, typically calculated based on a percentage of assets under management. Fees generated through a solicitor agreement are billed to the client via the Outside Manager and a portion of that fee is paid to New Heights FP by the Outside Manager.

The fees, services provided, payment structure, termination provisions, and other aspects of each program are disclosed and detailed in the Outside Manager's Form ADV Part 2A or other substitute disclosure document.

Item 6: Performance-Based Fees and Side-By-Side Management

New Heights FP does not charge any type of performance-based fees.

Item 7: Types of Clients

New Heights FP generally provides investment advice to individuals, high net-worth individuals, pension and profit sharing plans, trusts, estates, and corporations or business entities. Client relationships vary in scope and length of service.

We do not have a minimum account size requirement.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

New Heights FP will use an Outside Manager to manage client investment and does not actively or passively manage any client funds. Clients should refer to the Outside Manager's Form ADV for further information.

Item 9: Disciplinary Information

The firm and its employees are not now, nor have ever been, involved in any legal or disciplinary events related to any past or present client or investment-related criminal or civil action, administrative action, or self-regulatory proceeding.

Item 10: Other Financial Industry Activities and Affiliations

New Heights FP is not involved in any other financial industry activities or affiliations.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

As a fiduciary, our firm and its associates have a duty of utmost good faith to act solely in the best interests of each client. Our clients entrust us with their funds and personal information, which in turn places a high standard on our conduct and integrity. Our fiduciary duty is a core aspect of our Code of Ethics and represents the expected basis of all of our dealings.

Code of Ethics Description

This code does not attempt to identify all possible conflicts of interest, and literal compliance with each of its specific provisions will not shield associated persons from liability for personal trading or other conduct that violates a fiduciary duty to advisory clients. A summary of the Code of Ethics' Principles is outlined below.

- Integrity - Associated persons shall offer and provide professional services with integrity.
- Objectivity - Associated persons shall be objective in providing professional services to clients.
- Competence - Associated persons shall provide services to clients competently and maintain the necessary knowledge and skill to continue to do so in those areas in which they are engaged.
- Fairness - Associated persons shall perform professional services in a manner that is fair and reasonable to clients, principals, partners, and employers, and shall disclose conflict(s) of interest in providing such services.
- Confidentiality - Associated persons shall not disclose confidential client information without the specific consent of the client unless in response to proper legal process, or as required by law.
- Professionalism - Associated persons' conduct in all matter shall reflect credit of the profession.
- Diligence - Associated persons shall act diligently in providing professional services.

We periodically review and amend our Code of Ethics to ensure that it remains current, and we require all firm access persons to attest to their understanding of and adherence to the Code of Ethics at least

annually. Our firm will provide of copy of its Code of Ethics to any client or prospective client upon request.

[Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest](#)

New Heights FP does not currently recommend purchase of any securities to Clients.

Item 12: Brokerage Practices

[Selecting Brokerage Firms](#)

New Heights FP neither selects brokerage firms nor has any affiliation with product sales firms.

Item 13: Review of Accounts

For On-Going Financial Planning Clients, New Heights FP will review Client's financial plans on a monthly basis or as requested by the client. On-Going Clients will also have access to various electronic reports using their access to the New Heights FP Client Portal. Clients may also request custom reports as needed.

New Heights FP will not provide annual reviews of Comprehensive Financial Plans unless re-engaged by the Client.

Item 14: Client Referrals and Other Compensation

As mentioned in Items 4 and 5, New Heights FP will recommend Outside Managers to its clients and will receive compensation from such advisors for the client accounts that we refer. New Heights FP will not recommend Outside Managers with which they do not have a solicitor's agreement.

Item 15: Custody

New Heights FP does not accept custody of client funds.

Item 16: Investment Discretion

New Heights FP does not accept discretionary authority to manage securities accounts on behalf of clients.

Item 17: Voting Client Securities

New Heights FP does not vote Client proxies. Therefore, Clients maintain exclusive responsibility for: (1) voting proxies, and (2) acting on corporate actions pertaining to the Client's investment assets.

Item 18: Financial Information

New Heights FP does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because New Heights FP does not maintain discretion or custody over client funds or securities, nor serves as a custodian for client funds or securities, and does not require prepayment of fees of more than \$500 per client, and six months or more in advance.

Item 19: Requirements for State-Registered Advisers

For further information involving the firm's principal executive and management personnel, their business activities, as well as material conflicts of interest, please refer to areas previously disclosed in Items 6 and 9 through 11, as well as the accompanying Form ADV Part 2B Brochure Supplement that immediately follows this page. Per Item 10 of this brochure, neither the firm nor a member of its management has a material relationship with the issuer of a security.

Item 1: Cover Page

Daniel J Kellermeyer

Form ADV Part 2B Brochure Supplement

NEW HEIGHTS FINANCIAL PLANNING, LLC

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This brochure provides information about Daniel J Kellermeyer that supplements the New Heights Financial Planning, LLC brochure. You should have received a copy of that brochure. Please contact Daniel Kellermeyer at newheights@newheightsfp.com if you did not receive New Heights Financial Planning, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Daniel J Kellermeyer also is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: March 28th, 2017

Item 2: Educational Background and Business Experience

Daniel J Kellermeyer, President and CCO New Heights Financial Planning, LLC

Educational Background

- Born in 1986
- Received Bachelor of Science degree from Purdue University, May 2009
- Received Certificate of Financial Planning from Northwestern University, September 2016
- Mr. Kellermeyer is also a Candidate for CFP® Certification after successfully passing the CFP Examination in November 2016. Mr. Kellermeyer is **not** yet a CFP® Professional as he has not yet met the experience requirement.

Professional Designations, Licenses, and Exams

- Series 65, December 2016

Business Background

- Currently serves as President of New Heights Financial Planning, LLC which was formed in November 2016
- Mr. Kellermeyer has pursued a career change into financial planning after a 7-year career in the Pharmaceutical Wholesale industry from 2009 to 2017.

Item 3: Disciplinary Information

Mr. Kellermeyer has not been the subject of any legal or disciplinary events, including criminal or civil action in a domestic, foreign, or military court, or any proceeding before a state, federal, or foreign regulatory agency, self-regulatory organization, or suspension or sanction by a professional association.

Item 4: Other Business Activities

Mr. Kellermeyer is not actively involved in any other investment-related business or occupation

Mr. Kellermeyer currently receives a substantial amount of his income from his occupation as an IT Professional for a pharmaceutical distributor.

Item 5: Additional Compensation

Mr. Kellermeyer is NOT compensated by performance-based fees. Firm policy does not allow associated persons to accept or receive additional economic benefit, such as sales awards or other prizes, for providing advisory services to anyone who is not a client.

Item 6: Supervision

Mr. Kellermeyer serves as the President and Chief Compliance Officer of New Heights Financial Planning, LLC and is responsible for supervision. He may be contacted at newheights@newheightsfp.com

Item 7: Requirements for State-Registered Advisors

Mr. Kellermeyer has NOT been involved in an arbitration, civil proceeding, self-regulatory proceeding, administrative proceeding, or a bankruptcy proceeding.