



1 Trans Am Plaza Drive  
Oakbrook Terrace, IL 60181  
630-613-9230

## **Advisor Brochure Supplement Part 2B of Form ADV**

John Aloy  
Galo Baca  
Andrew Barlow  
Luke Baumgarten  
Michael Corrigan  
Floyd Davis  
Anna Dujan  
Isaiah Gates  
John McIerney  
Timothy Newell  
Brian Park  
Joseph Savenok  
Eric Schlosser  
Thomas Shankland  
Robert Thompson  
Kenneth Wilkinson  
Kristine Witherow  
Wendy West  
James Wisdom

## **2B Supplemental Brochure**

**March 6th, 2024**

The Brochure Supplement provides information about John Aloy, Galo Baca, Andrew Barlow, Luke Baumgarten, Michael Corrigan, Floyd Davis, Anna Dujan, Isaiah Gates, John McIerney, Timothy Newell, Brian Park, Joseph Savenok, Eric Schlosser, Thomas Shankland, Robert Thompson, Kenneth Wilkinson, Kristine Witherow, Wendy West, and James Wisdom that supplements the Harvest Investment Services Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer at 630-613-9230 or if you did not receive Harvest Investment Services' Brochure or if you have any questions about the contents of this supplement. Additional information is available on the SEC's website at SEC Advisor Info. You can search this site by a unique identifying number, known as the CRD number 306559



**John K. Aloy, CIMA®**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**April 15, 2019**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about John K. Aloy that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about John K. Aloy (CRD # 3228696) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**John K. Alyo, CIMA®**

*Year of Birth:* 1975

*Formal Education After High School:*

- Aurora University, BA Business Administration, 2014
- Waubensee Community College, AA Economics, 2011
- College of DuPage, Business, Attended 1994 - 1998

*Business Background:*

- Harvest Investment Services, LLC, CIO, 12/2011 - Present
- ProEquities, Inc., Registered Representative, 5/1999 - 6/2018

*Certifications:* **CIMA®**

### **Certified Investment Management Analyst<sup>SM</sup> (CIMA®)**

The CIMA® certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA® certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA® certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, and pass a Certification Examination. CIMA® designees are required to adhere to Investments & Wealth Institute's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA® designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through the Investments & Wealth Institute™ formerly known as Investment Management Consultants Association (IMCA®).

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. John K. Alyo has no required disclosures under this item.

## Item 4 Other Business Activities

John K. Alyo is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Mr. Alyo for insurance related activities. This presents a conflict of interest because Mr. Alyo may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Alyo's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## **Item 6 Supervision**

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of John K. Alyo. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Galo Baca**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**January 10, 2023**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Galo Baca that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Galo Baca (CRD # 7677382) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Galo Baca

*Year of Birth:* 2001

*Formal Education After High School:*

- Aurora University, BS Finance, 2023
- Aurora University, BA Business Administration, 2023

*Business Background:*

- Harvest Investment Services, LLC, Assistant Advisor, 8/2022 - Present
- Christian Retirement Ministries, Assistant Advisor, 8/2022 - Present
- Su Servicio Hispano, Inc. Tax Office, Customer Service Clerk, 1/2016 - Present
- Life Changers International Church, Children's Ministry Event Coordinator, 5/2018 - 8/2021

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Galo Baca has no required disclosures under this item.

## Item 4 Other Business Activities

Galo Baca is an Assistant Advisor of Christian Retirement Ministries, LLC, a management company. Mr. Baca's duties as an Assistant Advisor of Christian Retirement Ministries, LLC do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Baca's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Galo Baca. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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**Andrew D. Barlow (CRD# 7555902)**

Born: 1989

Post-Secondary Education:

- College of Dupage, Attended 9/2009 – 5/2010

Recent Business Experience:

- 2020-Present Envoy Advisory, Inc., Director of Strategic Operations
- 2021-Present Harvest Investment Services, LLC, Partner;  
2020-Present Director of Strategic Operations
- 2021-Present Harvesting Kingdom Resources, Partner
- 2019-Present Brand Champions, Founder/CEO
- 2018-2019 PASS, CEO; 2018-2019 General Manager
- 2011-2018 Shoot & Share, Marketing & Community Manager

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## ITEM 3 - DISCIPLINARY INFORMATION

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Andrew D. Barlow has no history of any legal or disciplinary events deemed to be material to a client's consideration of Andrew D. Barlow to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Andrew D. Barlow that is not included in this brochure supplement.

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## ITEM 4 - OTHER BUSINESS ACTIVITIES

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Andrew D. Barlow is an Investment Adviser Representative of Harvest Investment Services, LLC, a registered investment adviser. Harvest Investment Services, LLC is an affiliate of Envoy Advisory Inc. When appropriate, Mr. Barlow may recommend that you use the investment advisory services of Harvest Investment Services, LLC. If you utilize the advisory services of Mr. Barlow through Harvest Investment Services, LLC, he may receive additional fees or other compensation in his capacity as an investment adviser representative. These fees would be in addition to any fees charged for the advisory services provided through Envoy Advisory Inc.

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## ITEM 5 - ADDITIONAL COMPENSATION

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Andrew D. Barlow does not receive any economic benefit for providing advisory services beyond the scope of Envoy Advisory, Inc. and business activities listed in **Item 4**.

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## ITEM 6 - SUPERVISION

Andrew D. Barlow is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Timothy J. Newell, who is responsible for administering the policies and procedures. Timothy J. Newell reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

**Timothy J. Newell contact information:**

Chief Compliance Officer

**630-613-9230**





**Luke E. Baumgarten**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**April 30, 2019**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Luke E. Baumgarten that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Luke E. Baumgarten (CRD # 6481176) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Luke E. Baumgarten**

*Year of Birth:* 1990

*Formal Education After High School:*

- College of Dupage, Attended 8/2007 - 5/2011
- Liberty University, Business Finance, Attended 8/2011 to 10/2013

*Business Background:*

- Harvest Investment Services, LLC, Director of Business Development, 01/2019 - Present
- Harvest Investment Services, LLC, Investment Adviser Representative, 9/2015 - Present
- Harvest Investment Services, LLC., Office and Operations Assistant, 10/2014 - 01/2019

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Luke E. Baumgarten has no required disclosures under this item.

## Item 4 Other Business Activities

Luke E. Baumgarten is not actively engaged in any other business or occupation (investment-related or otherwise) beyond his capacity as Investment Adviser Representative and Director of Business Development of Harvest Investment Services, LLC. Moreover, Mr. Baumgarten does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

## Item 5 Additional Compensation

Luke E. Baumgarten does not receive any additional compensation beyond that received as an Investment Adviser Representative and Director of Business Development of Harvest Investment Services, LLC.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Luke E. Baumgarten. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Michael A. Corrigan**  
913 Hillgrove Ave.  
Lagrange, IL 60525

Telephone: 708-482-3800

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**August 2, 2019**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Michael A. Corrigan that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Michael A. Corrigan (CRD # 1253829) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Michael A. Corrigan**

*Year of Birth:* 1959

*Formal Education After High School:*

- Loras College, BA Business Administration, 1981

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 2/2014 - Present
- Corrigan Financial Services, Inc., President, 1991 - Present
- ProEquities, Inc., Registered Representative, 9/1999 - 6/2018

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Michael A. Corrigan has no required disclosures under this item.

## Item 4 Other Business Activities

Michael A. Corrigan is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Mr. Corrigan for insurance related activities. This presents a conflict of interest because Mr. Corrigan may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

Michael A. Corrigan is President of Corrigan Financial Services. This firm provides financial planning and insurance services under the d/b/a name of Harvest Investment Services, LLC. Mr. Corrigan's duties as the President of Corrigan Financial Services do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Corrigan's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Michael A. Corrigan. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Floyd E. Davis**  
710 S Broadway  
Suite 250  
Walnut Creek CA 94596

Telephone: 925-743-1678  
Facsimile: 925-743-1601  
Email: [floyd.davis@pesmail.com](mailto:floyd.davis@pesmail.com)

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**October 24, 2019**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Floyd E. Davis that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Floyd E. Davis (CRD # 1809327) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Floyd E. Davis

*Year of Birth:* 1957

*Formal Education After High School:*

- Chabot Jr. College, Accounting, Attended 9/1975 - 12/1979
- California State University of Hayward, Business Administration with Option in Accounting, Attended 1/1980 - 12/1981

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 6/2012 - Present
- ProEquities, Inc., Investment Adviser Representative, 10/2003 - 08/2018
- ProEquities, Inc., Registered Representative, 10/2003 - 08/2018

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Floyd E. Davis has no required disclosures under this item.

## Item 4 Other Business Activities

Floyd E. Davis is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Mr. Davis for insurance related activities. This presents a conflict of interest because Mr. Davis may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Davis's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Floyd E. Davis. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Anna M. Dujan, RF®**  
450 E. 96th Street  
Suite 500  
Indianapolis, IN 46240-3760

**Telephone: 317-407-1045**

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

**Telephone: 630-613-9230**  
**Facsimile: 630-613-9126**

**August 1, 2019**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Anna M. Dujan that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Anna M. Dujan (CRD # 4933785) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## Item 2 Educational Background and Business Experience

**Anna M. Dujan, RF®**

*Year of Birth:* 1956

*Formal Education After High School:*

- University of Indianapolis, History, Attended 1974
- Indiana University Purdue University Indianapolis, Finance, Attended 1994 - 2000

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 6/2016 - Present
- ProEquities, Inc., Registered Representative, 6/2016 - 12/2016
- Park Avenue Securities, Registered Representative, 1/2016 - 5/2016
- Guardian, Agent, 12/2015 - 5/2016
- Guardian, Broker, 8/2015 - 12/2015
- ProEquities, Inc., Registered Representative, 5/2010 - 8/2015

*Certifications:* **RF®**

### **Registered Fiduciary® (RF®)**

DALBAR, Inc. has created and acts as registrar for the Registered Fiduciary® and RF® designation. As registrar, DALBAR certifies and authorizes the use of these designations. The Registered Fiduciary® and RF® are trademarks of DALBAR.

A background check is performed on each RF® candidate to establish that there are no incidents in the past that would compromise the integrity of the designation or cause concern for a reasonable person that relies on that designee. The background check is repeated annually in order to continue using the RF® designation.

RF® candidates must have the academic credentials and licenses that are required to provide the services that are offered by the candidate. The RF® designation is added to existing credentials to indicate the candidate's fiduciary competence in addition to previously established capabilities.

RF® candidates, unless exempted by existing knowledge, are required to undergo RF® fiduciary training and at least one specialty training by an RF® qualified training organization ("QTO"). Training for qualified professionals typically requires 15 to 20 hours, depending on the training organization and specialty. RF® QTOs are authorized to train RF® candidates and successful completion of their courses permits a candidate to apply for the RF® validation to be an RF® designee.

The changing requirements of the marketplace, regulations and technology require that financial professionals with the RF® designation remain current with new developments. RF® QTOs are required to provide continuing education and RF® designees are required to take continuing education courses in their specialty areas. The actual time spent in continuing education depends on the volume of applicable changes taking place.

RF® designees are required to renew their designations annually. Renewals require designees to provide evidence of maintaining a continuing education program and the background check is repeated.

Every five years, designees repeat a proctored examination.

### Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Ms. Anna M. Dujan has no required disclosures under this item.

### Item 4 Other Business Activities

Anna M. Dujan is separately licensed as an independent insurance agent. In this capacity, she can effect transactions in insurance products for her clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Ms. Dujan for insurance related activities. This presents a conflict of interest because Ms. Dujan may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

### Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Ms. Dujan's receipt of additional compensation as a result of her other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

### Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Anna M. Dujan. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Isaiah Gates**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**February 9, 2023**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Isaiah Gates that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Isaiah Gates (CRD # 7697580) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Isaiah Gates

*Year of Birth:* 2003

*Formal Education After High School:*

- John A. Logan Community College, BS Transfer Course Enrollee - Dual Enrollment, 1/2019 - 5/2019
- Liberty University, BS Business Administration: Financial Planning, 6/2019 - Present

*Business Background:*

- Harvest Investment Services, LLC, Stewardship Advisor Intern Associate, 10/2022 - Present
- Christian Retirement Ministries, Stewardship Advisor Intern Associate, 10/2022 - Present
- Integritas Providers, Bookkeeping Intern, 6/2022 - 8/2022
- Cornerstone Reformed Church, Lawncare Manager, 5/2019 - 7/2021

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Isaiah Gates has no required disclosures under this item.

## Item 4 Other Business Activities

Isaiah Gates is not actively engaged in any other business or occupation (investment-related or otherwise) beyond his capacity as Stewardship Advisor Intern Associate of Harvest Investment Services, LLC. Moreover, Mr. Gates does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

## Item 5 Additional Compensation

Isaiah Gates does not receive any additional compensation beyond that received as an Stewardship Advisor Intern Associate of Harvest Investment Services, LLC.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Isaiah Gates. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**John McInerney, CFP, CPA**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**February 2, 2024**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about John McInerney that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about John McInerney (CRD # 5734672) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**John McInerney, CFP, CPA**

*Year of Birth:* 1953

*Formal Education After High School:*

- University of Illinois at Chicago, BS Accounting, 1979

*Business Background:*

- Harvest Investment Services, LLC, Financial Planner, 1/2010 - Present
- dba Progressive Financial Planning Services, Inc, Financial Professional, 11/2009 - Present
- Concourse Financial Group Securities Inc, Financial Professional, 11/2009 - 1/2024
- Harvest Investment Services LLC Investment Adviser, Financial Professional, 1/2009 - 7/2018

*Certifications:* CFP, CPA

### **CERTIFIED FINANCIAL PLANNER™ Professional**

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

**Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.

**Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.

**Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

**Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

**Ethics** – Commit to complying with CFP Board's *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning.

CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client. **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### **Certified Public Accountant (CPA)**

CPA's are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

## **Item 3 Disciplinary Information**

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. John McNerney has no required disclosures under this item.

## **Item 4 Other Business Activities**

John McNerney is also a certified public accountant with John J McNerney CPA. Clients of our firm may also receive accounting related services from Mr. McNerney. The services provided and compensation received by Mr. McNerney for accounting related activities are separate and distinct from any fees paid for advisory services provided by our firm.

## **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. McNerney's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Managing Director/Chief Compliance Officer, is responsible for supervising the advisory activities of John McNerney. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.





**Timothy J. Newell, CFP®, AIF®, CEP®, CKA®**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**May 14, 2019**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Timothy J. Newell that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Timothy J. Newell (CRD # 1339021) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Timothy J. Newell, CFP®, AIF®, CEP®, CKA®**

*Year of Birth:* 1963

*Formal Education After High School:*

- Tim J. Newell has no formal educational background

*Business Background:*

- Harvest Investment Services, LLC, President, CEO, 10/2011 to Present
- Harvest Financial Planning, LLC, Owner, 2/1990 to Present
- ProEquities, Inc., Registered Representative, 7/1999 to 7/2018

*Certifications:* **AIF, CEP, CFP, CKA**

### **Accredited Investment Fiduciary® (AIF®)**

The AIF designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

### **Certified Estate Planner™ (CEP®)**

This designation is issued by the National Institute of Certified Estate Planners (NICEP). A pre-requisite is that an individual must hold a valid current license in either the financial, legal, or tax profession. The educational component for the CEP is completed through an interactive discussion of the course highlights done either live or online, in combination with reading and understanding significant self study materials. An applicant is expected to spend a minimum of 40 hours on the educational component of the program. The applicant must pass a qualifying exam, which is composed of 100 multiple choice questions, worded in such a way that the applicant must have a competent grasp of the subject matter. A minimum score of 70% is required for passing. Exams must be proctored by another licensed professional who is neither related to you or under your employ or influence. An individual is required to undergo eight hours of continuing education (in the area of estate planning) every two years and must adhere to the NICEP professional code of ethics which requires: model business behavior, compliance with State and Federal licensing authorities, compliance with represented professional companies and organizations, proper notification procedures, and submission to the findings and rulings of the NICEP with regard to the continued use of any certification which is conferred by the NICEP.

**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 71,000 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.

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® certification.

### **Certified Kingdom Advisor™ (CKA®)**

The CKA designation is a distinct award obtained through Kingdom Advisors, Inc. This designation is awarded to professionals who have demonstrated themselves to be believers in Jesus Christ, able to apply biblical wisdom in their counsel, are technically competent in their chosen profession, have high ethics and integrity, and are biblical stewards in their personal and professional life.

## **Item 3 Disciplinary Information**

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Timothy Newell has no required disclosures under this item.

## Item 4 Other Business Activities

Timothy J. Newell is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Mr. Timothy Newell for insurance related activities. This presents a conflict of interest because Mr. Newell may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

Mr. Timothy Newell is the owner of Harvest Financial Planning which provides insurance sales and tax preparation. Harvest Financial Planning also owns TA Office Properties, LLC. Any fees or commissions charged by Harvest Financial Planning Services are separate and apart from the advisory fees charged by our firm.

## Item 5 Additional Compensation

Please refer to the *Other Business Activities* section above for disclosures on Mr. Timothy Newell's receipt of additional compensation as a result of his other business activities.

Also, please refer to the *Fees and Compensation* section and the *Client Referrals and Other Compensation* section Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell is the CCO and responsible for compliance and supervision at Harvest Investment Services, LLC. In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**HARVEST**  
INVESTMENT SERVICES

**Brian J. Park**  
3740 Elizabeth Street  
Riverside, CA 92506

Telephone: 951-684-0211

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**March 20, 2019**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Brian J. Park that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Brian J. Park (CRD # 6391250) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Brian J. Park**

*Year of Birth:* 1962

*Formal Education After High School:*

- Riverside City College, AA, 1983
- Biola University, BA Christian Education, 1985
- Talbot Seminary, MA Christian Education, 1987

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 10/2015 - Present
- Glocal Outreach, CEO, 1/2010 - Present
- ProEquities, Inc., Registered Representative, 8/2014 - 6/2018

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Brian J. Park has no required disclosures under this item.

## Item 4 Other Business Activities

Brian J. Park is Founder/CEO of Glocal Outreach, a non-profit 501(C)3 that organizes religious groups to work together on special projects, outreach projects and disaster relief. Mr. Park's duties as the Founder/CEO of Glocal Outreach do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Park's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Brian J. Park. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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**Eric W. Schlosser (CRD# 7299597)**

Born: 2000

Post-Secondary Education:

- Excelsior College, BS Business, 2020

Recent Business Experience:

- 2022-Present Envoy Advisory, Inc., Investment Adviser Representative
- 2022-Present Harvest Investment Services, LLC, Investment Adviser Representative

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## ITEM 3 - DISCIPLINARY INFORMATION

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Eric W. Schlosser has no history of any legal or disciplinary events deemed to be material to a client's consideration of Eric W. Schlosser to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Eric W. Schlosser that is not included in this brochure supplement.

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## ITEM 4 - OTHER BUSINESS ACTIVITIES

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Eric W. Schlosser is an Investment Adviser Representative of Harvest Investment Services, LLC, a registered investment adviser. Harvest Investment Services, LLC is an affiliate of Envoy Advisory Inc. When appropriate, Mr. Schlosser may recommend that you use the investment advisory services of Harvest Investment Services, LLC. If you utilize the advisory services of Mr. Schlosser through Harvest Investment Services, LLC, he may receive additional fees or other compensation in his capacity as an investment adviser representative. These fees would be in addition to any fees charged for the advisory services provided through Envoy Advisory Inc.

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## ITEM 5 - ADDITIONAL COMPENSATION

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Eric W. Schlosser does not receive any economic benefit for providing advisory services beyond the scope of Envoy Advisory, Inc. and business activities listed in **Item 4**.

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## ITEM 6 - SUPERVISION

Eric W. Schlosser is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Timothy J. Newell, who is responsible for administering the policies and procedures. Timothy J. Newell reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

**Timothy J. Newell contact information:**

Chief Compliance Officer

**630-613-9230**





**Joseph Savenok**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**January 25, 2024**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Joseph Savenok that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Joseph Savenok (CRD # 7854743) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Joseph Savenok

Year of Birth: 2000

Formal Education After High School:

- College of DuPage, AA Finance, 2022

Business Background:

- Harvest Investment Services, LLC, Adviser Assistant, 8/2023 - Present
- Envoy Advisory Inc., Adviser Assistant, 8/2023 - Present
- Jones Lang Laselle, AR Specialist, 6/2022 - 8/2023
- Jacob Yakos CPA, Tax Preparation Intern, 1/2022 - 5/2022
- T. Rowe Price, Intern, 10/2019 - 3/2020

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Joseph Savenok has no required disclosures under this item.

## Item 4 Other Business Activities

Joseph Savenok is an Investment Adviser Representative of Envoy Advisory Inc., a registered investment adviser. When appropriate, Mr. Savenok may recommend that you use the investment advisory services of Envoy Advisory Inc. If you utilize the advisory services of Mr. Savenok through Envoy Advisory Inc., he may receive additional fees or other compensation in his capacity as an investment adviser representative. These fees would be in addition to any fees charged for the advisory services provided through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the Other Business Activities section above for disclosures on Mr. Savenok's receipt of additional compensation as a result of his other business activities.

Also, refer to the Fees and Compensation, *Client Referrals and Other Compensation*, and *Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Managing Director/Chief Compliance Officer, is responsible for supervising the advisory activities of Joseph Savenok. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Eric W. Schlosser**

**Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**April 13, 2022**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Eric W. Schlosser that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Eric W. Schlosser (CRD # 7299597) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Eric W. Schlosser**

*Year of Birth:* 2000

*Formal Education After High School:*

- Excelsior College, BS Business, 2020

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 3/2022 - Present
- Envoy Advisory Inc., Investment Adviser Representative, 3/2022 - Present
- Merrill Lynch, Financial Solutions Advisor/Financial Services Representative, 9/2020 - 3/2022

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Eric W. Schlosser has no required disclosures under this item.

## Item 4 Other Business Activities

Eric W. Schlosser is an Investment Adviser Representative of Envoy Advisory Inc., a registered investment adviser. When appropriate, Mr. Schlosser may recommend that you use the investment advisory services of Envoy Advisory Inc.. If you utilize the advisory services of Mr. Schlosser through Envoy Advisory Inc., he may receive additional fees or other compensation in his capacity as an investment adviser representative. These fees would be in addition to any fees charged for the advisory services provided through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Schlosser's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Frederick A. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Eric W. Schlosser. Frederick A Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Thomas A. Shankland, CEP, ChFC**  
24547 W Park River Lane  
Shorewood, IL 60404

Telephone: 815-725-6118  
Facsimile: 815-725-6118

**Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**October 24, 2019**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Thomas A. Shankland that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Thomas A. Shankland (CRD # 1779390) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Thomas A. Shankland, CEP, ChFC**

*Year of Birth:* 1959

*Formal Education After High School:*

- University of Illinois, BA Business Administration, 8/1984 - 12/1988

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 1/2014 - Present
- ProEquities, Inc., Investment Adviser Representative, 11/1999 - 6/2017
- ProEquities, Inc., Registered Representative, 5/1997 - 6/2017

*Certifications:* **CEP, ChFC**

### **Certified Estate Planner (CEP)**

This designation is issued by the National Institute of Certified Estate Planners (NICEP). A pre-requisite is that an individual must hold a valid current license in either the financial, legal, or tax profession. The educational component for the CEP is completed through an interactive discussion of the course highlights done either live or online, in combination with reading and understanding significant self-study materials. An applicant is expected to spend a minimum of 40 hours on the educational component of the program. The applicant must pass a qualifying exam, which is composed of 100 multiple choice questions, worded in such a way that the applicant must have a competent grasp of the subject matter. A minimum score of 70% is required for passing. Exams must be proctored by another licensed professional who is neither related to you or under your employ or influence. An individual is required to undergo eight hours of continuing education (in the area of estate planning) every two years and must adhere to the NICEP professional code of ethics which requires: model business behavior, compliance with State and Federal licensing authorities, compliance with represented professional companies and organizations, proper notification procedures, and submission to the findings and rulings of the NICEP with regard to the continued use of any certification which is conferred by the NICEP.

### **Chartered Financial Consultant® (ChFC®)**

This designation is issued by The American College and is granted to individuals who have at least three years of full-time business experience within the five years preceding the awarding of the designation. The candidate is required to take seven mandatory courses which include the following disciplines: financial, insurance, retirement and estate planning; income taxation, investments and application of financial planning; as well as two elective courses involving the application of the aforementioned disciplines. Each course has a final proctored exam and once issued, the individual is required to submit 30 hours of continuing education every two years.

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Thomas A. Shankland has no required disclosures under this item.

## Item 4 Other Business Activities

Thomas A. Shankland is separately licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Mr. Shankland for insurance related activities. This presents a conflict of interest because Mr. Shankland may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Shankland's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Thomas A. Shankland. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Robert Thompson, AIF, CFP**  
9944 S. Roberts Road  
Suite 108  
Palos Hills, IL 60465

**Telephone: 708-267-1327**

## **Harvest Investment Services, LLC**

**1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181**

**Telephone: 630-613-9230  
Facsimile: 630-613-9126**

**November 6, 2023**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Robert Thompson that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Robert Thompson (CRD # 1975407) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## Item 2 Educational Background and Business Experience

### **Robert Thompson, AIF, CFP**

*Year of Birth:* 1959

*Formal Education After High School:*

- Keller Graduate School of Management, MBA Finance, 1988
- University of Illinois - Chicago, BS Accounting, 1982

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 11/2023 - Present
- Midland States Bank, Retirement Plan Services Officer/Consultant, 2/2023 - Present
- (dba) Progressive Financial Planning Services, President, 10/1984 - Present
- Fifth Third Bank/MB Financial Bank, Senior Vice President, 10/2007 - 11/2020

*Certifications:* **AIF, CFP**

### **Accredited Investment Fiduciary® (AIF®)**

The AIF designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

### **CERTIFIED FINANCIAL PLANNER™ Professional**

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

**Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.

**Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.

**Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

**Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

**Ethics** – Commit to complying with CFP Board's *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.

**Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Robert Thompson has no required disclosures under this item.

### Item 4 Other Business Activities

Robert Thompson is President of Progressive Financial Planning Services, Inc., a Financial Planning Services. Mr. Thompson's duties as the President of Progressive Financial Planning Services, Inc. do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

Robert Thompson is a Retirement Plan Officer/Consultant of Midland States Bank, a Banking/Trust. Mr. Thompson's duties as a Retirement Plan Officer/Consultant of Midland States Bank do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

### Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Thompson's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

### Item 6 Supervision

Timothy J. Newell, Managing Director/Chief Compliance Officer, is responsible for supervising the advisory activities of Robert Thompson. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Kenneth J. Wilkinson, CEP, CSA, RFC**  
710 S Broadway  
Suite 250  
Walnut Creek CA 94596

Telephone: 925-743-1678  
Facsimile: 925-743-1601  
Email: [kenneth.wilkinson@pesmail.com](mailto:kenneth.wilkinson@pesmail.com)

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**October 24, 2019**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Kenneth J. Wilkinson that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Kenneth J. Wilkinson (CRD # 2504136) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Kenneth J. Wilkinson, CEP, CSA, RFC**

*Year of Birth:* 1941

#### *Formal Education After High School:*

- Cal State University East Bay, BS Finance, 9/1963 - 6/1967
- Stafford University, MS Business & Financial Planning, 9/2000 - 6/2001

#### *Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 6/2012 - Present
- Wilkinson Insurance Agency, CEO/General Agent, 12/2000 - Present
- Spectrum Synergy Group LLC, CEO/Consultant, 3/2000 - Present
- ProEquities, Inc., Registered Representative, 12/2000 - 12/2017
- ProEquities, Inc., Investment Adviser Representative, 8/2004 - 12/2017

*Certifications:* **CEP, CSA, RFC**

### **Certified Estate Planner (CEP)**

This designation is issued by the National Institute of Certified Estate Planners (NICEP). A pre-requisite is that an individual must hold a valid current license in either the financial, legal, or tax profession. The educational component for the CEP is completed through an interactive discussion of the course highlights done either live or online, in combination with reading and understanding significant self study materials. An applicant is expected to spend a minimum of 40 hours on the educational component of the program. The applicant must pass a qualifying exam, which is composed of 100 multiple choice questions, worded in such a way that the applicant must have a competent grasp of the subject matter. A minimum score of 70% is required for passing. Exams must be proctored by another licensed professional who is neither related to you or under your employ or influence. An individual is required to undergo eight hours of continuing education (in the area of estate planning) every two years and must adhere to the NICEP professional code of ethics which requires: model business behavior, compliance with State and Federal licensing authorities, compliance with represented professional companies and organizations, proper notification procedures, and submission to the findings and rulings of the NICEP with regard to the continued use of any certification which is conferred by the NICEP.

### **Certified Senior Advisors (CSA)**

Certified Senior Advisors have supplemented their individual professional licenses, credentials and education with knowledge about aging and working with seniors. The CSA designation requires that the candidate: Complete of the SCSA Information Profile and Disclosure Questionnaire; Pass a background check; Complete the CSA's Role, Rules and Responsibilities (CSA Code of Professional Responsibility) online module and sign the CSA Code of Professional Responsibility and SCSA Membership Rules; and, Pass the CSA examination.

As part of the Information Profile and Disclosure Questionnaire, applicants must legally attest with their signature that they meet one of following education/experience options to become designated: (1) A combination of education and experience working with seniors: Completion of the SCSA educational course or its equivalent and one year of paid work experience or 50 hours of volunteer experience within the last three years; OR (2) Experience working with seniors: Two years of paid work experience or 100 hours of volunteer experience (within the last three years); OR Education related to seniors: Completion of a certificate or degree program, in a field related to working with seniors, from an accredited college or university.

Certification is awarded for a period of one year. Renewal is required annually, with recertification required every three years. Prior to January 1, 2011 CSAs are required to earn 18 CSA Continuing Education (CSA CE) credits every three years. Effective January 1, 2011 CSAs are required to earn 30 CSA Continuing Education (CSA CE) credits every three years. To be eligible for credit all CSA CE course topics must be directly related to seniors and/or ethical issues.

### **Registered Fiduciary® (RF®)**

DALBAR, Inc. has created and acts as registrar for the Registered Fiduciary® and RF® designation. As registrar, DALBAR certifies and authorizes the use of these designations. The Registered Fiduciary® and RF® are trademarks of DALBAR.

A background check is performed on each RF® candidate to establish that there are no incidents in the past that would compromise the integrity of the designation or cause concern for a reasonable person that relies on that designee. The background check is repeated annually in order to continue using the RF® designation.

RF® candidates must have the academic credentials and licenses that are required to provide the services that are offered by the candidate. The RF® designation is added to existing credentials to indicate the candidate's fiduciary competence in addition to previously established capabilities.

RF® candidates, unless exempted by existing knowledge, are required to undergo RF® fiduciary training and at least one specialty training by an RF® qualified training organization ("QTO"). Training for qualified professionals typically requires 15 to 20 hours, depending on the training organization and specialty. RF® QTOs are authorized to train RF® candidates and successful completion of their courses permits a candidate to apply for the RF® validation to be an RF® designee.

The changing requirements of the marketplace, regulations and technology require that financial professionals with the RF® designation remain current with new developments. RF® QTOs are required to provide continuing education and RF® designees are required to take continuing education courses in their specialty areas. The actual time spent in continuing education depends on the volume of applicable changes taking place.

RF® designees are required to renew their designations annually. Renewals require designees to provide evidence of maintaining a continuing education program and the background check is repeated.

Every five years, designees repeat a proctored examination.

### **Registered Financial Consultant (RFC)**

This designation is issued by the International Association of Registered Financial Consultants (IARFC) and is granted to individuals who have met all of the following requirements: (a) possess an undergraduate or graduate financial planning degree, or has earned one of the following designations: AAMS, AEP, CEP, CFA, CFP®, ChFC®, CLU®, CPA, EA, LUTC, MS, MBA, JD, Ph.D, or completed a CFP® equivalent, IARFC-approved college curriculum; (b) if operating on a commission basis, must meet licensing requirements for securities and life and health insurance; if operating strictly as fee-only and not licensed, then must be registered as an investment adviser, and (c) four years full time experience as a financial planning practitioner or educator in the field of financial planning or financial services. The individual must complete approved college curriculum in personal financial planning or an IARFC self-study course (with a final certification examination). The individual is required to take 40 hours of continuing education in the field of personal finance and professional practice management

every year, must complete an IARFC approved CE course or curriculum on operational ethics and standards of conduct every two years, and must provide evidence that the member can produce a high-quality personal financial plan.

### **Item 3 Disciplinary Information**

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Kenneth J. Wilkinson has no required disclosures under this item.

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

Kenneth J. Wilkinson has an ownership interest in Wilkinson Insurance Agency, a licensed insurance agency, and is also separately licensed as an independent insurance agent. In this capacity, Mr. Wilkinson may effect transactions in insurance products for clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Wilkinson Insurance Agency and/or Mr. Wilkinson for insurance related activities. This presents a conflict of interest because Mr. Wilkinson may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

### **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. Wilkinson's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

### **Item 6 Supervision**

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Kenneth J. Wilkinson. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.





**HARVEST**  
INVESTMENT SERVICES

**Kristine J. Witherow**  
115 Buford Avenue  
PO Box 3425  
Gettysburg, PA 17325

Telephone: 717-253-4701

**Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**August 9, 2023**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Kristine J. Witherow that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230, if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Kristine J. Witherow (CRD # 2890576) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



## Item 2 Educational Background and Business Experience

### **Kristine J. Witherow**

*Year of Birth:* 1965

*Formal Education After High School:*

- University of Pittsburgh, BA German Studies with a Minor in Economics and a Minor in Psychology, 1987

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 4/2016 - Present
- ProEquities, Inc., Investment Adviser Representative/Registered Representative, 5/2016 - 7/2018
- Bankers Life Securities, Inc., Registered Representative, 1/2016 - 03/2016
- Bankers Life and Casualty, Insurance Sales Rep, 5/2010 - 03/2016
- ProEquities, Inc., Investment Adviser Representative/Registered Representative, 5/2010 - 1/2016

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Ms. Kristine J. Witherow has no required disclosures under this item.

## Item 4 Other Business Activities

Kristine J. Witherow is separately licensed as an independent insurance agent. In this capacity, she can effect transactions in insurance products for her clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Ms. Witherow for insurance related activities. This presents a conflict of interest because Ms. Witherow may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Ms. Witherow's receipt of additional compensation as a result of her other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Kristine J. Witherow. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**Wendy West**  
901 North 1st St. Suite 13  
DeKalb, IL 60115

Telephone: 815-762-5500

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230

Facsimile: 630-613-9126

**February 28th, 2024**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about Wendy West that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Wendy West (CRD # 2817890) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Wendy West

*Year of Birth:* 1973

*Formal Education After High School:*

- Northern Illinois University, BA Psychology, 8/1991 - 5/1996

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 4/2012 - Present
- Siepert West Financial Consulting, Partner, 1/2014 - 12/2022
- ProEquities, Inc., Registered Representative, 8/2000 - 7/2018
- Double W Financial Group, 1/2023 - Present

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Ms. Wendy West has no required disclosures under this item.

## Item 4 Other Business Activities

Wendy West is separately licensed as an independent insurance agent. In this capacity, she can effect transactions in insurance products for her clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Ms. West for insurance related activities. This presents a conflict of interest because Ms. West may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

Wendy West is Partner of Double W Financial Group, a Financial Planning Firm. Ms. West's duties as Partner of Double W Financial Group do not create a conflict of interest to her provision of advisory services through Harvest Investment Services, LLC.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Ms. West's receipt of additional compensation as a result of her other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

## Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of Wendy West. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.



**James L. Wisdom, CFP**  
4607 Lakeview Canyon Road  
Suite 482  
Westlake Village, CA 91361

Telephone: 805-497-9264

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

Telephone: 630-613-9230  
Facsimile: 630-613-9126

**March 26, 2015**

### **FORM ADV PART 2B BROCHURE SUPPLEMENT**

This brochure supplement provides information about James L. Wisdom that supplements the Harvest Investment Services, LLC brochure. You should have received a copy of that brochure. Contact us at 630-613-9230 if you did not receive Harvest Investment Services, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Educational Background and Business Experience

### James L. Wisdom

Year of Birth: 1959

Formal Education After High School:

- UCLA, BA Economics, 9/1977 - 1/1981

Business Background:

- Harvest Investment Services, LLC, Investment Adviser Representative, 3/2015 - Present
- James L Wisdom Insurance Services, Owner, 7/2003 - Present
- National Planning Corporation, Registered Representative, 4/2008 - 7/2011

Certifications: **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 63,000 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, administered in 10 hours over a two-day period, 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.

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® certification.

### Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. James L. Wisdom has no required disclosures under this item.

### Item 4 Other Business Activities

James L. Wisdom has an ownership interest in James L. Wisdom Insurance Services , a licensed insurance agency, and is also separately licensed as an independent insurance agent. In this capacity, Mr. Wisdom may effect transactions in insurance products for clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by James L. Wisdom Insurance Services and/or Mr. Wisdom for insurance related activities. This presents a conflict of interest because Mr. Wisdom may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

### Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Wisdom's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Harvest Investment Services, LLC's firm brochure for additional disclosures on this topic.

### Item 6 Supervision

Timothy J. Newell, Chief Compliance Officer, is responsible for supervising the advisory activities of James L. Wisdom. Timothy J. Newell can be reached at (630) 613-9230.

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Harvest Investment Services, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.