



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

## **Advisor Brochure Supplement**

### **Part 2B of Form ADV**

John Alyo  
Andrew Barlow  
Luke Baumgarten  
Michael Corrigan  
Anna Dujan  
Brent Emerick  
Ivy Emerick  
Thomas Fogelsong  
Isaiah Gates  
Emmanuel Iroko  
Ryan Kaczmarek  
Ted Miller  
Brenton Newell  
Timothy Newell  
Brian Park  
Joshua Payne  
Jeffrey Pounds  
Ronald Pyle  
Joseph Savenok  
Seth Scott  
Thomas Shankland  
Robert Thompson  
Joseph Webb III  
Wendy West  
Kenneth Wilkinson  
Kristine Witherow

## **2B Supplemental Brochure**

**December 1, 2025**

The Brochure Supplement provides information on Harvest Investment Service's advisors. Please contact the Chief Compliance Officer at 630-613-9230 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 159390.



**John K. Alyo, 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. Alyo 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. Alyo (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**

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of John K. Alyo. Scott Bradtmiller 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.



**Andrew Barlow**

**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 Andrew Barlow 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 Andrew Barlow (CRD # 7555902) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Andrew Barlow

*Year of Birth:* 1989

*Formal Education After High School:*

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

*Business Background:*

- 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

## 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. Andrew Barlow has no required disclosures under this item.

## Item 4 Other Business Activities

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.

## Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Barlow'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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Andrew Barlow. Scott Bradtmiller 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.



**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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Luke E. Baumgarten. Scott Bradtmiller 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  
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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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Michael A. Corrigan. Scott Bradtmiller 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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Anna M. Dujan. Scott Bradtmiller 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.



**Brent L. Emerick, CFP®**  
3909 W. 193rd Street  
Westfield, IN 46074

Telephone: 317-228-6222

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

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

June 30, 2023

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

This brochure supplement provides information about Brent L. Emerick 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 Brent L. Emerick (CRD #1021905) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Brent L. Emerick, CFP®**

*Year of Birth:* 1950

*Formal Education After High School:*

- Valparaiso University/Valparaiso Technical Institute
- Indiana University Purdue University Indianapolis, B.S.E.E., 1973
- College for Financial Planning/CFP Board of Standards, CFP designation, 1986
- Registry of CFP Licensed Practitioners, ICFP 1987

*Business Background:*

- Harvest Investment Services, LLC, Investment Advisor Representative, 2018 - Present
- Wealth Advisory Solutions, LLC, Investment Advisor Representative, 2018 - 2023
- Comprehensive Financial Planning Services, President, 1987 - 2018

*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. Brent L. Emerick has no required disclosures under this item.

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

Brent L. Emerick is not actively engaged in any outside business activity.

### **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mr. Emerick's receipt of additional compensation as a result of his other business activities. Mr. Emerick does not receive any additional compensation at this time.

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**

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Brent L. Emerick. Scott Bradtmiller 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

**Ivy Emerick, CFP®**

**3909 W. 193rd Street  
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## **Harvest Investment Services, LLC**

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

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

**June 30, 2023**

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

This brochure supplement provides information about Ivy Emerick 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 Ivy Emerick (CRD #1315322) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Ivy Emerick, CFP®**

*Year of Birth:* 1945

*Formal Education After High School:*

- Philadelphia College of Bible, Bachelors in Science
- College for Financial Planning

*Business Background:*

- Harvest Investment Services, LLC, Investment Advisor Representative, 2023 - Present
- Walth Advisory Solutions, LLC, Investment Advisor Representative, 2018 - 2023
- Comprehensive Financial Planning Services, Investment Advisor Representative, 1990 - 2018

*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. Mrs. Ivy Emerick has no required disclosures under this item.

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

Ivy Emerick is not actively engaged in any outside business activity.

### **Item 5 Additional Compensation**

Refer to the *Other Business Activities* section above for disclosures on Mrs. Emerick's receipt of additional compensation as a result of his other business activities. Mrs. Emerick does not receive any additional compensation at this time.

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**

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Ivy Emerick. Scott Bradtmiller 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 Fogelsong III**

**Harvest Investment Services, LLC**

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**Telephone: 630-613-9230  
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**July 31, 2024**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Thomas Fogelsong III 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 Fogelsong III (CRD # 7965878) 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 Fogelsong III**

*Year of Birth:* 2003

*Formal Education After High School:*

- Illinois State, BS Finance, 8/2021 - Present

*Business Background:*

- Harvest Investment Services, LLC, Advisor Assistant, 6/2023 - Present
- Balers Inc., Intern, 1/2019 - 12/2019

## 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. Thomas Fogelsong III has no required disclosures under this item.

## Item 4 Other Business Activities

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

## Item 5 Additional Compensation

Thomas Fogelsong III does not receive any additional compensation beyond that received as an Advisor Assistant of Harvest Investment Services, LLC.

## Item 6 Supervision

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Thomas Fogelsong III. Scott A. Bradtmiller 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, CFP®**

*Year of Birth:* 2003

*Formal Education After High School:*

- Liberty University, BS Business Administration, Financial Planning, 2023

*Business Background:*

- • 2023-Present Envoy Advisory, Inc., Investment Adviser Representative
- • 2023-Present Harvest Investment Services, LLC, Investment Adviser Representative
- • 2022-2023 Harvest Investment Services, LLC, Advisor Assistant
- • 2022-2023 Christian Retirement Ministries, Advisor Assistant
- • 2022-2022 Integritas Providers, Bookkeeping Assistant
- • 2019-2021 Cornerstone Reformed Church, Lawncare Manager

Certifications: **CFP®**

**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. 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**

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Isaiah Gates. Scott Bradtmiller 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.



**Emmanuel Iroko**  
Prosper, TX 75078

**Telephone: 972-809-9214**

**Harvest Investment Services, LLC**

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

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

**January 30, 2025**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Emmanuel Iroko 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 Emmanuel Iroko (CRD # 8037912) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Emmanuel Iroko**

*Year of Birth:* 1982

*Formal Education After High School:*

- Texas A & M University, Kingsville, MS Electrical Engineering, 2015
- Obafemi Awolowo University, Ile Ife Nigeria, BS Electrical & Electronic Engineering, 2009

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 1/2025 - Present
- Giverise, Founder & CEO, 1/2021 - Present
- Plero, Founder & CEO, 8/2024 - Present
- Artium, Senior Product Designer, 1/2023 - 5/2023
- Selby Lane Capital, Senior Product Designer, 6/2022 - 2/2023
- Stemuli, Chief Product Officer & Head of Design, 3/2020 - 3/2022
- RollKall Technologies Inc, Chief Product Officer & Head of Design, 8/2018 - 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. Emmanuel Iroko has no required disclosures under this item.

## Item 4 Other Business Activities

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

## Item 5 Additional Compensation

Emmanuel Iroko does not receive any additional compensation beyond that received as an Investment Adviser Representative of Harvest Investment Services, LLC.

## Item 6 Supervision

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Emmanuel Iroko. Scott A. Bradtmiller 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.



**Ryan Kaczmarek, CFP®**

**Harvest Investment Services, LLC**

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

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

**July 8, 2024**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Ryan Kaczmarek 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 Ryan Kaczmarek (CRD #7218469) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Ryan Kaczmarek, CFP®**

*Year of Birth:* 1984

*Formal Education After High School:*

- Harding University, BA Marketing, 2006

*Business Background:*

- Harvest Investment Services, LLC, Senior Stewardship Advisor, 6/2024 - Present
- Paulson Wealth Management, Inc, Wealth Advisor, 1/2020 - 4/2024
- Willow Creek Community Church, Stewardship Pastor, 9/2014 - 8/2020

*Certifications:* CFP®

### **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. Ryan Kaczmarek has no required disclosures under this item.

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

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

### **Item 5 Additional Compensation**

Ryan Kaczmarek does not receive any additional compensation beyond that received as an Senior Stewardship Advisor of Harvest Investment Services, LLC.

### **Item 6 Supervision**

Scott Bradtmiller, Managing Director/Chief Compliance Officer, is responsible for supervising the advisory activities of Ryan Kaczmarek. Scott Bradtmiller 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

**Ted Miller**  
Arlington, TX 76006

Telephone: 405-432-3590

**Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

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

**November 19, 2025**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Ted Miller 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 Ted Miller (CRD # 7542500) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Ted Miller**

*Year of Birth:* 1972

*Formal Education After High School:*

- The King's University, MA Practical Theology, 2018

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 11/2025 - Present
- Self Employed, Self, 4/2025 - Present
- Simplicity, Governing Advisor, 11/2023 - 4/2025
- Kingdom Oaks, President, 5/2018 - 11/2023
- Crossroads Church, Lead Pastor, 3/2012 - 4/2018

## 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. Ted Miller has no required disclosures under this item.

## Item 4 Other Business Activities

Ted Miller 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. Miller for insurance related activities. This presents a conflict of interest because Mr. Miller 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. Miller'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

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Ted Miller. Scott A. Bradtmiller 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.





**Brenton Newell**

**Harvest Investment Services, LLC**

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

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

**May 31, 2022**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Brenton 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 Brenton Newell (CRD # 7560153) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Brenton Newell**

*Year of Birth:* 1999

*Formal Education After High School:*

- Wheaton College, BA Media Communication, 2021
- Evangel University, Advertising/Public Relations, Attended 8/2018 - 5/2019
- College of DuPage, General Education, Attended 8/2017 - 5/2018

*Business Background:*

- Harvest Investment Services, LLC, Portfolio Manager, 1/2020 - Present
- Harvest Investment Services, LLC., Marketing Intern, 8/2015 - 8/2018

## 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. Brenton Newell has no required disclosures under this item.

## Item 4 Other Business Activities

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

## Item 5 Additional Compensation

Brenton Newell does not receive any additional compensation beyond that received as an Portfolio Manager of Harvest Investment Services, LLC.

## Item 6 Supervision

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Brenton Newell. Scott Bradtmiller 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 prerequisite 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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Brian J. Park. Scott Bradtmiller 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.





**Joshua Payne**

**Harvest Investment Services, LLC**

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

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

**October 11, 2024**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Joshua Payne 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 Joshua Payne (CRD # 7997139) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Joshua Payne

*Year of Birth:* 2001

*Formal Education After High School:*

- Southern Illinois University Carbondale, BS Finance, 2022

*Business Background:*

- Harvest Investment Services, LLC, Stewardship Advisor Assistant, 6/2024 - Present
- Envoy Advisory Inc., Stewardship Advisor Assistant, 6/2024 - Present
- Give Interactive, Client Associate, 1/2023 - 6/2024

## 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. Joshua Payne has no required disclosures under this item.

## Item 4 Other Business Activities

Joshua Payne is an Investment Adviser Representative of Envoy Advisory Inc., a registered investment adviser. When appropriate, Mr. Payne may recommend that you use the investment advisory services of Envoy Advisory Inc.. If you utilize the advisory services of Mr. Payne 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. Payne'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

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Joshua Payne. Scott A. Bradtmiller 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.



**Jeffrey Pounds, AIF**  
4605 Oleander Drive, Ste 300  
Myrtle Beach, SC 29577-5739

Telephone: 843-945-4480

## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

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

**September 5, 2024**

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

This brochure supplement provides information about Jeffrey Pounds 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 Jeffrey Pounds (CRD # 7007274) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Jeffrey Pounds, AIF**

*Year of Birth:* 1973

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

- Santa Rosa Junior College, Attended 8/1991 - 5/1993
- California State University - Sacramento, BS Physical Education, 1996
- West Virginia University, MS Athletic Training, 1998

#### *Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 9/2024 - Present
- Prospera Financial Services, Inc, Investment Adviser Representative, 1/2020 - 8/2024
- Prospera Financial Services, Inc., Registered Representative, 1/2020 - 8/2024
- Coastal Carolina University, Athletic Trainer, 7/2002 - 1/2020
- Cambridge Investment Research, Inc, Registered Representative, 8/2018 - 12/2019
- Cambridge Investment Research Advisors, Inc, Investment Adviser Representative, 2/2019 - 12/2019

*Certifications:* **AIF**

### **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).

## 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. Jeffrey Pounds has no required disclosures under this item.

## Item 4 Other Business Activities

Jeffrey Pounds 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. Pounds for insurance related activities. This presents a conflict of interest because Mr. Pounds 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 Jeffrey Pounds'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**

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Jeffrey Pounds. Scott A. Bradtmiller 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.



**Dr. Ronald Scott Pyle, AAMS**  
4605 Oleander Drive, Ste 300  
Myrtle Beach, SC 29577

Telephone: 843-945-4480

**Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

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

July 8, 2024

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Dr. Ronald Scott Pyle 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 Dr. Ronald Scott Pyle (CRD # 2270440) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### Dr. Ronald Scott Pyle, AAMS

*Year of Birth:* 1966

*Formal Education After High School:*

- Sam Houston University, BBA in Finance

*Business Background:*

- Harvest Investment Services, LLC, Investment Adviser Representative, 7/2024 - Present
- Prospera Financial Services, Inc., investment Adviser Representative, 11/2013 - Present
- Prospera Financial Services, Inc., Registered Representative, 11/2013 - Present

*Certifications:* **AAMS**

### **Accredited Asset Management Specialist<sup>SM</sup> (AAMS<sup>®</sup>)**

This designation is awarded by the College for Financial Planning to investment professionals who complete its 12-module AAMS<sup>®</sup> Professional Education Program, pass an examination, commit to a code of ethics and agree to pursue continuing education.

Indiana Wesleyan University, Doctor of Humane Letters; May 1, 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. Dr. Ronald Scott Pyle has no required disclosures under this item.

## Item 4 Other Business Activities

Dr. Ronald Scott Pyle is a Registered Representative with Prospera Financial Services, Inc. Prospera Financial Services, Inc. is a diversified financial services company engaged in the sale of specialized investment products. In this capacity, Dr. Pyle may recommend securities or insurance products offered by Prospera Financial Services, Inc. as part of your investment portfolio. If you purchase these products through Dr. Pyle, he will receive the customary commissions in his separate capacity as a Registered Representative of Prospera Financial Services, Inc.

Additionally, Dr. Pyle could be eligible to receive incentive awards such as Prospera Financial Services, Inc. may offer. He will also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation will give Dr. Pyle an incentive to recommend investment products based on the compensation received, rather than on your investment needs.

Dr. Ronald Scott Pyle has a fiduciary duty to act in your best interest when acting in an investment adviser representative capacity, including the duty to seek best execution. Therefore, our Company's mutual fund selection and recommendation process takes into consideration several factors in order to meet this requirement. See the ADV Part 2A Brochure, the *Brokerage Practices* section, for additional information on our mutual fund share class selection process.

As stated above, persons providing investment advice to advisory clients on behalf of our firm are registered representatives with Prospera Financial Services, Inc.. In their capacity as registered representatives, these persons receive compensation in connection with the purchase and sale of securities or other investment products, including asset-based sales charges, service fees or 12b-1

fees for the sale or holding mutual funds. Compensation earned by these persons in their capacities as registered representatives is separate and in addition to our advisory fees. This practice presents a conflict of interest because persons providing investment advice to advisory clients on behalf of our firm who are registered representatives have an incentive to recommend investment products based on the compensation received rather than solely based on your needs. Persons providing investment advice to advisory clients on behalf of our firm can select or recommend, and in many instances will select or recommend, mutual fund investments in share classes that pay 12b-1 fees when clients are eligible to purchase share classes of the same funds that do not pay such fees and are less expensive. This presents a conflict of interest. You are under no obligation, contractually or otherwise, to purchase securities products through a person affiliated with our firm.

Ronald Scott Pyle 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 Dr. Pyle for insurance related activities. This presents a conflict of interest because Dr. Pyle 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.

Ronald Scott Pyle is an Investment Adviser Representative of Prospera Financial Services, Inc., a registered investment adviser. When appropriate, Dr. Pyle may recommend that you use the investment advisory services of Prospera Financial Services, Inc.. If you utilize the advisory services of Dr. Pyle through Prospera Financial Services, 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 Dr. Pyle'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**

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Dr. Ronald Scott Pyle. Scott A. Bradtmiller 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.





**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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Joseph Savenok. Scott Bradtmiller 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.



**Seth Scott, AAMS®**  
Fresno, CA 93727

**Telephone: 559-785-0250**

**Harvest Investment Services, LLC**

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

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

**July 31, 2025**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Seth Scott 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 Seth Scott (CRD # 7395667) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

### **Seth Scott, AAMS®**

*Year of Birth:* 1983

*Formal Education After High School:*

- CSU Fresno, BS Computer Science, 2005

*Business Background:*

- Harvest Investment Services, LLC, Financial Planner, 7/2025 - Present
- Shepherd's Wallet Financial Services, Financial Planner, 8/2025 - Present
- Shepherd's Wallet, Financial Coach, 8/2025 - Present
- Self-Employed Musician, 1/1999 - Present
- Heartwood Financial Planning, Owner/Financial Planner, 5/2023 - 7/2025
- PlanMember Securities Corporation, Registered Representative, 9/2021 - 6/2025
- PlanMember Securities Corporation, Investment Adviser Representative, 9/2021 - 6/2025
- Agape Planning Partners, Financial Advisor, 3/2024 - 4/2025
- Broadway Media Distribution, Project Manager, 8/2021 - 10/2023
- Jubilation Singers, Director, 8/2019 - 2/2022
- Fresno COG, Planner, 8/2012 - 8/2021

*Certifications:* **AAMS®**

### **Accredited Asset Management Specialist<sup>SM</sup> (AAMS®)**

This designation is awarded by the College for Financial Planning to investment professionals who complete its 12-module AAMS® Professional Education Program, pass an examination, commit to a code of ethics and agree to pursue continuing education.

## 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. Seth Scott has no required disclosures under this item.

## Item 4 Other Business Activities

Seth Scott 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. Scott for insurance related activities. This presents a conflict of interest because Mr. Scott 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.

Seth Scott is a Financial Planner with Shepherd's Wallet Financial Services, a Financial Planning and Advisory firm. Mr. Scott's duties as a Financial Planner with Shepherd's Wallet Financial Services do not create a conflict of interest to his provision of advisory services through Harvest Investment Services, LLC.

Seth Scott is a Financial Coach with Shepherd's Wallet, a Financial Coaching and Education firm. Mr. Scott's duties as a Financial Coach with Shepherd's Wallet 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. Scott'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

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Seth Scott. Scott A. Bradtmiller 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 prerequisite 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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Thomas A. Shankland. Scott Bradtmiller 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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Robert Thompson. Scott Bradtmiller 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

**Joseph Webb III**  
8925 SW 148 Street  
Suite 200  
Palmetto Bay, FL 33176

Telephone: 305-969-3644

**Harvest Investment Services, LLC**

1 Transam Plaza Drive  
Suite 230  
Oakbrook Terrace, IL 60181

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

**May 5, 2025**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Joseph Webb III 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 Webb III (CRD # 4300522) 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 Webb III

*Year of Birth:* 1966

*Formal Education After High School:*

- St. Thomas Christian University, BA Non-Profit Business Management, and Master of Arts in Christian Education, 2013

*Business Background:*

- Harvest Investment Services, LLC, Financial Advisor-Planner, 12/2024 - Present
- Envoy Advisory Inc., Financial Advisor-Planner, 12/2024 - Present
- Profit Planners MGA, LLC, Principal/Insurance Agent, 1/2010 - Present
- Inspire Advisors, LLC dba Profit Planners Management Group, Investment Adviser Representative, 2/2019 - 1/2025
- IFS Advisory, LLC, Investment Adviser Representative, 1/2018 - 3/2019
- IFS Advisory, LLC, Registered Representative, 9/2017 - 3/2019

## 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. Dr. Joseph Webb III has no required disclosures under this item.

## Item 4 Other Business Activities

Joseph Webb III has an ownership interest in Profit Planners MGA LLC, a licensed insurance agency, and is also separately licensed as an independent insurance agent. In this capacity, Mr. Webb III 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 Profit Planners MGA LLC and/or Mr. Webb III for insurance related activities. This presents a conflict of interest because Mr. Webb III 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.

Joseph Webb III is an Investment Adviser Representative of Envoy Advisory Inc., a registered investment adviser. When appropriate, Mr. Webb III may recommend that you use the investment advisory services of Envoy Advisory Inc. If you utilize the advisory services of Mr. Webb III 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. Webb III'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

Scott A. Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Joseph Webb III. Scott A. Bradtmiller 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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Wendy West. Scott Bradtmiller 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  
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Walnut Creek CA 94596

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## **Harvest Investment Services, LLC**

1 Transam Plaza Drive  
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Oakbrook Terrace, IL 60181

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**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 prerequisite 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**

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Kenneth J. Wilkinson. Scott Bradtmiller 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

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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

Scott Bradtmiller, Chief Compliance Officer, is responsible for supervising the advisory activities of Kristine J. Witherow. Scott Bradtmiller 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.