



## Advisor Brochure Supplement

(Part 2B of Form ADV)

**This brochure provides information about the qualifications and business practices of THOMAS A SHANKLAND, CEP ChFC. If you have any questions about the contents of this brochure, please contact us at (815) 725-6618. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.**

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**Additional information about THOMAS A SHANKLAND, CEP ChFC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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Harvest Investment Services, LLC  
1 Trans Am Plaza Dr Ste 230  
Oakbrook Terrace IL 60181

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## Item 2 Educational Background and Business Experience

I was born in 1959.

### FORMAL EDUCATION

I have the following educational background:

Institution Name: University of Illinois  
Date Attended: 08/1984 to 12/1988  
Degree Obtained: Bachelor of Business  
Administration Major: Business Administration

### RECENT WORK EXPERIENCE

I have the following business background:

Employment Dates: 02/1990 to 07/1997  
Business Name: MARINER FINANCIAL SERVICES, INC.  
Investment Related: Y  
City: Shorewood  
State: IL  
Position Held: Registered Representative

Employment Dates: 05/1997-Present  
Business Name: PROEQUITIES, INC.  
Investment Related: Y  
City: Shorewood  
State: IL  
Position Held: Registered Representative / Investment Advisor  
SECURITIES AND INSURANCE LICENSES

I currently hold the following securities license(s): 6; 7; 63; 65.

I am registered with ProEquities, Inc, a broker/dealer. My Series 6 license allows me to assist you with investing in mutual funds, variable annuities and variable life insurance, 529 plans and other similar investments.

I am registered with ProEquities, Inc., a broker/dealer. My Series 7 license allows me to assist you with any general securities investment (stocks, bonds, mutual funds, variable annuities, 529 plans and other investment of this kind).

I hold a Series 63 License which is required by some states before I can sell securities in that state. A Series 63 License indicates I am familiar with state regulations.

I hold a Series 65 License which qualifies me as an Investment Advisor Representative ("IAR"), to engage in the business of advising others regarding the advisability of investing in securities. I can receive management fees in lieu of commissions. RIAs receive fees, stockbrokers receive commissions.

I hold the following insurance licenses: Life; Variable Annuity; Health. They are held in the following states: Illinois; Michigan; Florida.

## PROFESSIONAL DESIGNATIONS

The **CERTIFIED ESTATE PLANNER**™, **CEP**® is granted by the National Institute of Certified Estate Planners ("NICEP") and is awarded after:

- the application is completed
- the corresponding educational component has been satisfied, and
- the qualifying examination has been successfully passed.

The educational component 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. Candidates spend an average of 5 - 6 months of combined study and preparation between the live online sessions and self-study materials, before sitting for the proctored exam.

Successful completion of the CEP® Certification program requires that each candidate score a minimum of 70% on at least 100 multiple choice questions taken from a bank of 280 qualifying exam questions. To assure that each examination takes place without the aid of study notes, materials, or assistance, the exams must be administered by an independent proctor who must be another licensed professional who is neither related to or under the employ or influence of the candidate.

To use the CEP® Certification ongoing, certificants must by complete the NICEP continuing education requirement of a minimum of eight (8) hours every two (2) years in the area of estate planning, and 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.

## **ChFC - Chartered Financial Consultant**

Issued by the American College. Representatives holding this designation have been exposed to key financial planning disciplines including insurance, income taxation, retirement planning, investments and estate planning.

### **Item 3 Disciplinary Information**

I have not been involved in any legal or disciplinary proceeding material to a client's determination of my integrity or my financial advice.

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

- I am engaged in the following investment-related OBA in addition to serving acting as an investment adviser representative. I recognize that these activities may raise conflicts of interests. I have described how I address them and any compensation I receive from these activities:
  - ◆ I am a Registered Representative of ProEquities, Inc., which is a registered broker/dealer and a member of FINRA and SIPC.
  - ◆ My other affiliation creates limited potential material conflicts of interest for advisory clients because my commissions are customary and competitive for the marketplace. However, brokerage services may be available elsewhere at a lower cost. At no time is any client obligated to purchase securities through ProEquities, Inc.
  - ◆ I receive no additional economic benefits that could create a material conflict of interest that I have not included below.

### **NON-INVESTMENT-RELATED OBAs**

I am not involved in non-investment-related OBAs that provide a substantial source of my income or involve a substantial amount of my time.

### **Item 5 Additional Compensation**

No one provides me any additional economic benefit for providing advisory services.

## Item 6 Supervision

I supervise the quality of the advice given to my clients. I have access to your custodial account statements and your quarterly performance reports, which I review. I also meet with you at least annually to confirm your accounts' investments and that your asset allocation remains appropriate for your investment objectives.

I am supervised by ProEquities, Inc. and Harvest Investment Services, LLC at several levels.

Annually, I attest that I understand the policies and procedures related to my offering of advisory services and must complete various Continuing Education requirements. To monitor the advice I give, a Supervising Principal reviews all account opening paperwork before an account is opened, and a surveillance program monitors the investment management of my existing accounts for any red flags. Finally, my branch office is subject to a periodic audit which includes a review of client files to ensure that I am servicing clients in accordance with firm policies.

My supervisors are:

Tim J. Newell  
as ProEquities, Office of Supervisory Jurisdiction  
(630) 613-9230

Frederick A. Newell, CCO  
Harvest Investment Services, LLC  
(630) 613-9230