

Shawn Fleming

Professional Wealth Management Services, LLC

211 South Center Street, Suite 205B
Statesville, NC 28677

Phone: 704-872-0022

Fax: 704-872-0121

Website: www.prowealthmgt.com

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FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about Shawn Fleming that supplements the Professional Wealth Management Services, LLC brochure. You should have received a copy of that brochure. Please contact Shawn Fleming at the address or number listed above if you did not receive Professional Wealth Management Services, LLC brochure or if you have any questions about the contents of this supplement.

Additional information about Shawn Fleming is available on the SEC's website at www.adviserinfo.sec.gov.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

Name: Shawn M. Fleming

Year of Birth: 1970

Formal Education after High School:

- The American College, ChFC Advanced Financial Planning Curriculum, 2007-2011
- Eastern Michigan University, MS, Engineering Management, 2005-2009
- NC State University, BS, Computer Engineering, Eta Kappa Nu, 1998-2001
- Forsyth Technical Community College, AAS, Respiratory Care Technology, 1990-1993

Business Background for the Previous Five Years:

- Professional Wealth Management Services, LLC, Member/Manager, 02/2009-Present
- Professional Advisory Services, LLC, Investment Advisor Representative, 03/2007-02/2009

Disciplinary Information

Form ADV Part 2B, Item 3

Shawn Fleming has never been the subject of any legal or disciplinary event such as:

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person

1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. was found to have been involved in a violation of an investment-related statute or regulation; or
4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

N/A

B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or
2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority

- (a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
- (b) barring or suspending the supervised person's association with an investment-related business;
- (c) otherwise significantly limiting the supervised person's investment-related activities; or
- (d) imposing a civil money penalty of more than \$2,500 on the supervised person.

N/A

C. A self-regulatory organization (SRO) proceeding in which the supervised person

- 1. was found to have caused an investment-related business to lose its authorization to do business; or
- 2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

N/A

D. Any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct. If the supervised person resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a proceeding (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

N/A

Other Business Activities

Form ADV Part 2B, Item 4

While PWMS is not associated with any other financial industry activities or affiliations, members or employees of PWMS may be licensed and/or appointed independently with insurance companies or insurance brokers as an outside business activity under a separate business or employment. Currently, Shawn Fleming is independently licensed in Life, Accident, and Health insurances. In the course of providing comprehensive financial planning, Shawn may identify gaps in a client's insurance coverage and recommend that the client consider various types of insurance coverage as part of the client's personal risk management and contingency planning. If the client wants additional insurance coverage but does not have a personal insurance agent, Shawn will make himself available to help the client as an independent insurance agent. In doing so, Shawn will encourage the client to make personal risk evaluations and cost-benefit analyses with regard to potential insurance companies, insurance products, and insurance providers within the marketplace before committing to an insurance purchase. Shawn provides written disclosures to the client that stress the importance of such comparisons by the client as a consumer in addition to explaining his representation and compensation as an agent of specific insurance companies. These disclosures emphasize that (1) PWMS clients are under no obligation to work with any specific insurance provider, including Shawn (2) working with Shawn separately for insurance purposes does not impact and is in no way required to maintain a financial planning, wealth management, pension consulting, or wrap program relationship with PWMS (3) there are no conflicts of interest with regard to PWMS and its advisory services as PWMS does not receive compensation of any kind based on a client purchasing insurance, and (4) as an independent agent, Shawn may separately receive a commission or other compensation from insurance companies or their distributors as part of any outside insurance business that is transacted.

Additional Compensation

Form ADV Part 2B, Item 5

Shawn Fleming does not receive any economic benefits for providing investment advice or other advisory services from anyone who is not a client.

Supervision

Form ADV Part 2B, Item 6

PWMS is currently a two advisor firm. The advisory activities of each advisor are discussed with and monitored by the other advisor. Therefore, an inherent system of supervision and checks and balances exist for all advisory activities within the firm. The contact information for the supervisor is:

John Stevenson
Principal and Director
(704) 872-0022

Requirements for State-Registered Advisers

Form ADV Part 2B, Item 7

A. In addition to the events listed in Item 3 of Part 2B, if the supervised person has been involved in one of the events listed below, disclose all material facts regarding the event.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

N/A

B. If the supervised person has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

N/A