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**September 16, 2013**

**FORM ADV PART 2A.  
BROCHURE**

**This brochure provides information about the qualifications and business practices of Wienken Advisors, Ltd. If you have any questions about the contents of this brochure, please contact us at 717-791-3300. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.**

**Additional information about Wienken Advisors, Ltd. is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for Wienken Advisors, Ltd. is 148335.**

**Wienken Advisors, Ltd. is a Registered Investment Adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training.**

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## **Advisory Business**

Form ADV Part 2A, Item 4

Wienken Advisors, Ltd.'s registration was granted by the U.S. Securities and Exchange Commission on September 19, 2008. Christopher Jon Lenz is President and Chief Compliance Officer of the firm. Mr. Lenz owns one hundred (100%) percent of the equity of the firm. The firm is not publicly owned or traded. There are no indirect owners of the firm or intermediaries, which have any ownership interest in the firm. The firm does not sponsor any wrap programs.

Wienken Advisors, LTD provides financial advice on securities and non-securities matters through seminars. Wienken Advisors, LTD does not issue publications relating to securities on a subscription basis; does not prepare or issue client statements or analyses relating to securities; and does not provide investment advice not described herein.

### Seminars

Financial Planning Seminars cover a range of topics delivered through educational institutions, as well as employer and or Wienken Advisors, LTD sponsored seminars.

### Fee Schedule

Financial Planning Seminar attendance (negotiable) fees range from \$10 to \$500 per person for materials and registration, due by the start of the seminar. A \$500 maximum retainer / or one-half of the fee payable is due upon signing this agreement. The balance is due upon delivery of the selected advisory service. Fees are not directly debited from client accounts. Your check should be made payable to: "Wienken Advisors, LTD".

A client agreement may be cancelled at any time, by either party, for any reason upon receipt of 30 days written notice. Upon termination of any agreement, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable. The client has the right to terminate an agreement without penalty within five business days after entering into the agreement.

All fees paid to Wienken Advisors, LTD for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds and brokerage providers. Associates provide general investment advice about the merits and risks of several investment alternatives.

### ***Fees and Compensation***

Form ADV Part 2A, Item 5

See Item 4, above.

### ***Performance-Based Fees and Side-By-Side Management***

Form ADV Part 2A, Item 6

None.

### ***Types of Clients***

Form ADV Part 2A, Item 7

Wienken Advisors, LTD clients consist of the general public and business entities in addition to individuals qualified to participate in 403(b), IRA, Keogh, pension plans, profit sharing plans, as well as Federal Government entities, trusts, estates, and charitable organizations. Clients are free to seek independent advice about the suitability of any investment.

Wienken Advisors, LTD limits its advisory services to Seminars. Associates of Wienken Advisors, LTD cannot hold custody of client securities or funds, cannot have discretionary authority, or make final investment decisions

### ***Methods of Analysis, Investment Strategies and Risk of Loss***

Form ADV Part 2A, Item 8

Our seminars are designed to empower clients to protect family and estate, diversify assets with an appropriate asset allocation, and use all assets as efficiently as possible. Wienken Advisors, LTD uses various sources of information including research prepared by independent sources such as Morningstar, Emerald Publishing, FMT Solutions, Inc. Kettley, CDA Wiesenberger, S&P, Value Line, and other financial publications.

### ***Disciplinary Information***

Form ADV Part 2A, Item 9

None.

### ***Other Financial Industry Activities and Affiliations***

Form ADV Part 2A, Item 10

The officers and associated persons of Wienken Advisors, LTD provide investment brokerage services and insurance services through the common name Wienken & Associates Financial Services a division of uFinancial. Wienken & Associates Financial Services a division of uFinancial is not a business entity, but rather a marketing name for the full range of services offered by the professionals associated with Matthew J. Dobbie.

The professionals who make up Wienken & Associates Financial Services a division of uFinancial are registered representatives of MMLIS, LLC. and insurance agents who may do business through MML Insurance Agency, Inc. (MMLIAI) or other insurance agencies. MMLIS, LLC. is a FINRA registered broker/dealer. MMLIAI (insurance) is a wholly owned subsidiary of MMLIS, LLC. and offers life, health and variable annuity products. MMLIS, LLC. is not affiliated with the investment advisory activities of Wienken Advisors, LTD and assume no responsibility for Wienken Advisors, LTD investment advisory activities.

In their separate capacities as registered representatives of MMLIS, LLC. and insurance agents, the persons affiliated with the advisory services of Wienken Advisors, LTD will be able to effect securities transactions and purchase insurance products for clients and will receive separate, yet customary compensation for effecting any transactions. No advisory client is obligated to use these separate services. All securities transactions are reviewed by a supervising principal affiliated with MMLIS, LLC. prior to completion to ensure the suitability of the purchase to the client's needs.

Several advisory personnel of Wienken Advisors, LTD are also investment advisory representatives of MMLIS, LLC., which is an SEC registered investment adviser, for the exclusive purpose of providing certain advisory services offered through MMLIS, LLC.. Those advisory services are described in MMLIS, LLC.'s form ADV and are separate and distinct from the advisory services provided by Wienken Advisors, LTD.

The officers and associated persons of Wienken Advisors, LTD spend approximately 10 to 20 percent of their business time on investment advisory activities. A copy of the Wienken Advisors, LTD Code of Ethics is available upon request.

***Code of Ethics, Participation or Interest in Client Transactions and Personal Trading***

Form ADV Part 2A, Item 11

The firm has adopted a written code of ethics in compliance with SEC Rule 204A-1. The COE addresses various elements concerning ethical treatment of clients as well as personal securities transactions. The COE is available upon request by clients and prospective clients. A copy of Wienken Advisors, LTD Code of Ethics is available upon request.

Associates may receive commissions when they act as broker or agent effecting securities transactions. Wienken Advisors, LTD does not own, buy or sell either directly or indirectly in securities, mutual funds or limited partnerships. Advisors or any related person(s) may buy or sell securities for their personal accounts identical to those of its customers.

It is the expressed policy of Wienken Advisors, LTD that no person employed by Wienken Advisors, LTD may purchase or sell any security prior to a transaction(s) for a client being implemented in their separate capacity as Registered Representative of MML Investors Services, Inc. or as Insurance Agents.

As these situations represent a conflict of interest, Wienken Advisors, LTD has established the following restrictions in order to safeguard from conflicts of interest:

- A) A Director, officer or employee of Wienken Advisors, LTD shall not buy or sell securities for their personal portfolios(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on a reasonable inquiry. No person of Wienken Advisors, LTD shall prefer his or her own interest to that of the client.
- B) Wienken Advisors, LTD receives statements of all securities holdings for any associates with this advisory practice. These statements are reviewed on a regular monthly basis by an appropriate officer or supervising principal of Wienken Advisors, LTD.
- C) All clients are fully informed that certain individuals may receive separate compensation when effecting transactions. Wienken Advisors, LTD emphasizes the unrestricted right of the client to decline to implement any advice rendered.
- D) All associates must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.
- E) Any associated person not in observance of the above may be subject to termination.

### ***Brokerage Practices***

Form ADV Part 2A, Item 12

A client may choose any broker-dealer to execute his/her securities transactions. If a Wienken Advisors, LTD Associate is selected to assist any client's transactions, said Associate can only utilize MMLIS, LLC. as the broker-dealer and usually receive commissions in connection with such transactions. If a client chooses to use a broker-dealer with which said Associate is not registered, the Associate may not participate or assist, in any manner, in any purchase, sale or other transaction effected through the other broker-dealer. Our Associates cannot affect commission rates. Mutual fund fees are according to the applicable prospectus. Brokerage fees are according to the published schedule.

### ***Review of Accounts***

Form ADV Part 2A, Item 13

Not applicable as professional activities are limited to seminars. Wienken Advisors, LTD limits its advisory services to Seminars. Clients receive monthly account activity statements, quarterly performance statements, and / or annual tax reports from the brokerage or fund vendors.

### ***Client Referrals and Other Compensation***

Form ADV Part 2A, Item 14

There are no referral arrangements. In addition to any seminar fee charged to the client, Associates may receive mutual fund or brokerage commissions from the providing vendor in their separate capacities as insurance agents and registered representatives of MMLIS, LLC.

### ***Custody***

Form ADV Part 2A, Item 15

Wienken Advisors, LTD limits its advisory services to Seminars. Associates of Wienken Advisors, LTD cannot hold custody of client securities or funds, cannot have discretionary authority, or make final investment decisions

***Investment Discretion***

Form ADV Part 2A, Item 16

Wienken Advisors, LTD limits its advisory services to Seminars. Associates of Wienken Advisors, LTD cannot hold custody of client securities or funds, cannot have discretionary authority, or make final investment decisions

***Voting Client Securities***

Form ADV Part 2A, Item 17

Not applicable.

***Financial Information***

Form ADV Part 2A, Item 18

Not applicable.

***Requirements for State-Registered Advisers***

Form ADV Part 2A, Item 19

Not applicable.

***Additional Information***

None.