

Item 1
Cover Page

INVESTMENT ADVISOR BROCHURE

Keeler & Nadler Financial Planning and Wealth Management, LLC

5100 Bradenton Avenue, Suite B

Dublin, Ohio 43017

Tele: 614-791-4123

Fax: 614-791-4122

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This brochure provides information about the qualifications and business practices of Keeler & Nadler Financial Planning and Wealth Management, LLC (the “Company”). If you have any questions about the contents of this brochure, please contact the Company by calling 614-791-4123, or you may send an email to the following address info@keelernadler.com. The information contained in this brochure has not been approved or verified by the United States Securities and Exchange Commission (“SEC”) or by any state securities authority.

Additional information about Keeler & Nadler Financial Planning and Wealth Management, LLC is also available on the SEC’s website located at www.adviserinfo.sec.gov. You may search the site for registered investment advisors by an identifying number known as a CRD Number. The CRD Number for Keeler & Nadler Financial Planning and Wealth Management, LLC is CRD No. 173079.

Please recognize that the language stated in this document as “registered investment advisor” or “registered” does not imply or guarantee that a registered advisor has achieved a certain level of skill, competency, sophistication, expertise, or training in providing advisory services to clients.

Item 2
Material Changes

This is the Annual updating Amendment to the Company’s brochure (Form ADV, Part 2A) filed on November 14, 2014, and prepared by Keeler & Nadler Financial Planning and Wealth Management, LLC. Any and all changes made herein that are not identified below are either typographical or grammatical in nature. The following Items have been amended: Item 4 – Investment Advisory Business – The Company no longer uses Cambridge Investment Research, Inc. as its broker-dealer and Custodian but now uses Purshe Kaplan Sterling Investments, Inc. (“PKS”); Item 10 – Other Financial Industry Activities and Affiliations – Disclosure that the law firm Resch and Root, LLC’s law firm is located in the same location as the Company, and William Root, an Investment Advisor Representative of the Company, is also an attorney and owner of Resch and Root, LLC. The Company’s Investment Advisor Representatives are now licensed as Registered Representatives of the unaffiliated broker-dealer, Purshe Kaplan Sterling

Investments, Inc. As Registered Representatives of PKS, conflicts of interest may arise in selling general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuities and variable life products to the Company's advisory clients. Clients are under no obligation to purchase these products from the IARs in their capacity as RRs of PKS.

In addition to the above identified Items, the Company's Form ADV, Part 2Bs for the Investment Advisor Representatives have been amended and are a part of this brochure. This information is being provided in a narrative format.

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Item 4

Advisory Business

A. Description of the Advisory Firm

Keeler & Nadler Financial Planning and Wealth Management, LLC (the “Company”) is an Ohio Limited Liability Company (“LLC”) and was formed as a Registered Investment Advisor in September 2014. The principal owners of the Company are Andrew Keeler, Richard Nadler and William Root. Keeler & Nadler Financial Planning and Wealth Management, LLC does not have a parent company or intermediate subsidiaries. The Company’s principal business is to provide investment advice and services to its clients who are typically individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations, endowments and other business entities.

B. Types of Advisory Services

Keeler & Nadler Financial Planning and Wealth Management, LLC provides Financial Planning and Portfolio Management Services to its clients on a Discretionary and Non-Discretionary basis. The Company’s Investment Advisor Representatives (“IARs”) are also Registered Representatives (“RRs”) of Purshe Kaplan Sterling Investments, Inc. (“PKS”), an unaffiliated broker-dealer, and provides clearing and custodial services for the Company. As RRs of PKS, they may sell general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients and earn a commission on these sales from PKS. Some of Keeler & Nadler Financial Planning and Wealth Management’s Investment Advisor Representatives are also licensed to offer insurance products, and may do so to its advisory clients.

C. Client Tailored Services and Client Imposed Restrictions

Keeler & Nadler Financial Planning and Wealth Management, LLC analyzes, constructs, and manages customized investment portfolios based on the particular goals and needs of each client in a manner which takes into consideration facts and information such as: income needs, liquidity requirements, investment time horizons, rate of return objectives, tax considerations, risk tolerance and existing investments. The Company utilizes an array of investment vehicles including, but not limited to: equity securities, warrants, debt securities, certificates of deposit, municipal securities, investment company securities, United States government securities, options contracts, partnerships, private placements, insurance contracts, endowments and separately managed accounts.

Depending on the particular investment portfolio and/or investment strategy, Keeler & Nadler Financial Planning and Wealth Management, LLC employs a variety of security analysis methods including charting, fundamental, technical, and cyclical analysis. We also consult a wide range of information to analyze and execute investment strategies, such as: financial newspapers and magazines, various internet services, inspection of corporate activities, third-party research materials, corporate rating services, timing services, annual reports, prospectuses, regulatory filings, and press releases.

Financial Planning Services

Keeler & Nadler Financial Planning and Wealth Management, LLC provides financial planning services to its clients. If a client decides to engage us to provide financial planning services, the client will be required to execute an agreement setting forth deliverables and fees. Upon execution of the agreement, the Investment Advisor Representative will provide investment advisory services to the client in the form of written financial planning and/or consulting services.

In providing Financial Planning Services, the Investment Advisor Representative will take into consideration information such as the client's investment objectives, overall financial situation and circumstances, personal and financial goals, risk tolerance and objectives, risks that the client is willing to undertake, investment knowledge of the client, net worth, income, age, projected retirement, unusual or material funding requirements, inheritance possibilities, pensions, social security, children/relative funding issues, estate issues, and living expenses expressed in today's dollars requested for retirement.

When a client elects to have Financial Planning Services provided, the Investment Advisor Representative will schedule additional time at the initial meeting to discuss the creation of the plan, how involved and complex the plan will be, and any particular issues or circumstances not included during the typical information gathering session discussed above. During the Client and Investment Advisor's conversation regarding how extensive of a plan they need, the Client may choose for the Company to consult on an individual security, a specific topic or obtain a comprehensive written plan containing their goals and objectives on an hourly or flat-fee basis. Hourly rates range from \$100 per hour to \$500 per hour and flat fees range from \$1,500 to \$25,000. Fees for financial plans will be billed and are due upon receipt of the invoice. A formal plan will better enable us to understand the complete financial picture of the client.

Should a client choose to have the Company prepare a comprehensive financial plan, a meeting will be scheduled to review all aspects of the client's financial objectives, goals, priorities, risk tolerance, and finances. During the meeting, topics such as retirement, college education, gifting, purchases, paying down debt, travel, minimizing risk, lowering tax exposure, estate planning, personal goals, and time horizons may be discussed, and an inventory of current and future finances will be obtained. Upon completion of this process, the Investment Advisor Representative will review the client's strengths and weaknesses, as well as the financial opportunities available to the client, and prepare a written plan containing recommendations to the client.

If face-to-face appointments are not possible due to location or other circumstances, we can hold meetings by video chat (such as GoToMeeting™, Skype™ or FaceTime™), or by telephone.

During the second meeting, the Company's written plan, recommendations and strategy to accomplish the client's goals will be discussed, as well as making sure the client understands the necessary steps to accomplish their goals successfully.

Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representatives are Registered Representatives of Purshe Kaplan Sterling Investments, Inc. ("PKS"), and may sell general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to Company's advisory clients and earn a commission on these sales from PKS. As such, Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representatives may suggest that advisory clients implement investment advice by purchasing securities products through a commission-based PKS account in addition to an advisory account. In the event that the advisory clients of Keeler & Nadler elect to purchase these products through PKS by an Investment Advisor Representative of Keeler & Nadler, in the capacity as a PKS Registered Representative, the Investment Advisor will receive the normal and customary commission compensation in connection with the specific product purchased. This may present a conflict of interest, as it may give the PKS Registered Representative an incentive to recommend investment products based on the compensation received, rather than on the clients' needs. Keeler & Nadler Financial Planning and Wealth Management, LLC does not require its clients to implement investment advice through PKS. Clients of Keeler & Nadler Financial Planning and Wealth Management, LLC are free to implement investment advice through any broker-dealer or product sponsor they choose. However, clients should understand that due to certain regulatory constraints Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representatives, in the capacity as a dually Registered Representative, must place purchases and sales of securities products in commission-based brokerage accounts through approved broker-dealers or other institutions.

Portfolio Management Services

Keeler & Nadler Financial Planning and Wealth Management, LLC provides "portfolio management services", defined as giving continuous advice to the client about the investment of funds on the basis of the client's individual needs and objectives. The asset allocation of the client's assets will be structured to follow the recommended asset allocation model within their financial plan. In the case when a financial plan has not been constructed, the recommended asset allocation will be determined from an in-depth profile and conversation with the client regarding goals, current financial condition, timeline, and risk appetite. A single investment may be enough to fulfill a client's goals and objectives, provided that the investment is suitable and all factors that the client has disclosed to us have been taken into consideration.

Depending on the particular investment portfolio and/or investment strategy, Keeler & Nadler Financial Planning and Wealth Management, LLC will employ a variety of security analysis methods including charting, fundamental, technical, and cyclical analysis. The Company plans to also consult on a wide range of information to analyze and execute investment strategies, such as: financial newspapers and magazines, various internet services, inspection of corporate activities, third-party research materials, corporate rating services, timing services, annual reports, prospectuses, regulatory filings, and press releases.

Termination of Advisory Contract

The Client Advisory Agreement for Portfolio Management Services may be terminated by the client without penalty within the first five (5) business days of its execution. Keeler &

Nadler Financial Planning and Wealth Management, LLC will not impose start-up, closing, or penalty fees in connection with an account; however, the custodian may charge some or all of these fees. Keeler & Nadler Financial Planning and Wealth Management, LLC's fees do not include variable life and annuity contracts. Some other types of assets would also be subject to additional advisory and other fees/expenses, which are described in the prospectuses of those investments and paid by the investments, but ultimately borne by the investor.

Retirement Plan Advisory and Pension Consulting Services

Keeler & Nadler Financial Planning and Wealth Management, LLC may provide investment advisory and consulting services to retirement and pension plans, which may consist of services offered through registered broker-dealers, through registered investment advisors or through appropriate general consulting services. The Investment Advisor Representative and plan Sponsor will outline the services provided through the Keeler & Nadler Financial Planning and Wealth Management, LLC in the Retirement Plan Consulting Agreement. The services that may be provided as outlined specifically in the agreement are summarized below.

A. Description of Non-Discretionary Investment Advisory Services

- a) Recommendations to establish or revise the Plan's Investment Policy Statement ("IPS"):

The Investment Advisor Representative will review with the Plan Fiduciary the investment objectives, risk tolerance and goals of the Plan. If the Plan does not have an IPS, the Investment Advisor Representative will make recommendations to assist the Plan Fiduciary in establishing an appropriate IPS. If the Plan has an existing IPS, the Investment Advisor Representative will review it for consistency with the Plan's objectives. If the IPS does not represent the objectives of the Plan, the Investment Advisor Representative will recommend to the Plan Fiduciary revisions that will establish investment policies that are congruent with the Plan's objectives.

- b) Recommendations to select and monitor the Designated Investment Alternatives ("DIAs"):

Based on the Plan's IPS or other guidelines established by the Plan, the Investment Advisor Representative will review the investment options available to the Plan and may make recommendations to assist the Plan Fiduciary in selecting the Designated Investment Alternatives to be offered to Plan participants. Once the Plan Fiduciary selects the Designated Investment Alternatives, the Investment Advisor Representative will assist the Plan Fiduciary by providing reports, information and recommendations to monitor the Designated Investment Alternatives on a quarterly basis. Should an investment need to be removed because it no longer meets the IPS criteria, the Investment Advisor Representative will evaluate the Designated Alternative Investments and provide information, analysis and recommendations to the Plan Fiduciary.

- c) Recommendations to select and monitor Qualified Default Investment Alternatives (“QDIAs”):

Based on the Plan’s IPS or other guidelines established by the Plan, the Investment Advisor Representative will review the investment options available to the Plan and will make recommendations to assist the Plan Fiduciary to select the Plan’s QDIAs for Plan participants that fail to direct the investment of their accounts. Once the Plan Fiduciary selects the QDIAs, the Investment Advisor Representative will provide reports, information and recommendations, on a quarterly or upon reasonably requested basis, to assist the Plan Fiduciary to monitor the investments. If the IPS criteria require an investment to be removed, the Investment Advisor Representative will provide information and analysis to assist the Plan Fiduciary to evaluate replacement investment alternatives.

- d) Recommendations to allocate and rebalance model asset allocation portfolios:

Based on the Plan’s IPS or other investment guidelines established by the Plan, the Investment Advisor Representative will review the investment options available to the Plan and will make recommendations to assist the Plan Fiduciary to create and maintain Model Portfolios. Once the Plan Fiduciary approves the Model Portfolios, the Investment Advisor Representative will provide reports information and recommendations, on a periodic basis, designed to assist the Plan Fiduciary to monitor the Plan’s investments. If the IPS criteria require an investment to be removed, the Investment Advisor Representative will provide information and analysis to assist the Plan Fiduciary to evaluate replacement investment alternatives to be included in the Model Portfolios. Upon reasonable request, the Investment Advisor Representative will make recommendations to the Plan Fiduciary to rebalance the Model Portfolio to maintain their desired allocations.

- e) Recommendation to select and monitor investment managers:

Based on the Plan’s IPS or other guidelines established by the Plan, the Investment Advisor Representative will review the potential investment managers available to the Plan and will make recommendations to assist the Plan Fiduciary to select one or more investment manager. Once the Plan Fiduciary approves the investment manager, the Investment Advisor Representative will provide, on a periodic basis, reports, information and recommendations to assist the Plan Fiduciary to monitor the Plan’s investment managers. If the IPS criteria require an investment manager to be removed, the Investment Advisor Representative will provide information and analysis to assist the Plan Fiduciary to evaluate replacement investment managers.

B. Description of Non-Fiduciary Services

The following investment education services may be provided by Keeler & Nadler Financial Planning and Wealth Management, LLC acting in a non-fiduciary capacity:

- a) Assistance with Plan Fiduciaries' governance and committee review, including:
 - 1. Determining plan objectives and plan design options.
 - 2. Reviewing Retirement Plan Committee structure and requirements.
 - 3. Reviewing participant education and communication strategy, including ERISA 404(c) requirements.
 - 4. Coordinating and reconciling participant disclosures under ERISA Rule 404(a)(5) and developing requirements for responding to participant requests for additional information.
 - 5. Developing and maintaining a fiduciary audit file.
 - 6. Attending Periodic Meetings with Plan Fiduciary (Upon Request by Plan Fiduciary).

- b) Assistance with Plan Fiduciaries' vendor management (service provider selection/review), including:
 - 1. Reviewing fees and services and identifying procedures to track the receipt and evaluation of ERISA 408(b)(2) disclosures.
 - 2. Providing periodic benchmarking of fees and services to assist review for reasonableness.
 - 3. Reviewing ERISA spending accounts or Plan Expense Recapture Accounts (PERAs).
 - 4. Generating and evaluating service provider Requests for Proposals (RFPs) and or Requests for Information and/or Requests for Information (RFIs).
 - 5. Support with contract negotiations.
 - 6. Service provider transition and/or plan conversion.

- c) Investment Education for Plan Fiduciaries Concerning:
 - 1. Investment Policy Statements.
 - 2. Assessment of overall investment structure of the Plan (i.e., types and number of asset classes, model portfolios, etc.)
 - 3. Review of the Plan's investment options.
 - 4. Review of Qualified Designated Investment Alternatives (QDIAs).
 - 5. Search and review of investment managers.

C. Description of Plan Participant Non-Fiduciary Services

The following investment education services may be provided by Keeler & Nadler Financial Planning and Wealth Management, LLC acting in a non-fiduciary capacity to plan participants:

- a) Providing group enrollment and investment education meetings.
- b) Providing fee specific education and communicate the plan's requirements for requesting additional information about plan fees and expenses.
- c) Supporting individual participant questions.

- d) Providing periodic updates, upon request or through newsletter.
- e) Assisting participants with retirement readiness.

D. Description of Discretionary Investment Management Services

In certain circumstances, services may be provided by Keeler & Nadler Financial Planning and Wealth Management, LLC acting as a fiduciary within the meaning of section 3(38) of ERISA, if the Plan is subject to ERISA.

- a) Initial selection and ongoing monitoring of the Plan's Designated Investments;
- b) Review the plan's investment objectives, risk tolerance and goals with the plan committee. If the Plan does not have an IPS, the Investment Advisor Representative will recommend investment policies to assist the plan committee with establishing investment objectives. If the Plan has an existing IPS, the Investment Advisor Representative will review it for consistence with the Plan's objectives and recommend revisions to the plan committee to establish investment policies that are congruent with the Plan's objectives.
- c) Review the investment options available to the Plan and will utilize qualitative and quantitative analysis to provide the Plan Sponsor with recommendations regarding the Plan's Designated Investments that meet the criteria set forth in the stated investment objectives.
- d) Once the Investment Advisor Representative's initial recommendations have been implemented, monitor the Designated Investments and instruct the Platform Provider directly to remove and replace investments that no longer meet the IPS criteria or investment objective criteria. The Investment Advisor Representative will communicate any changes to the Plan sponsor reasonably in advance of the proposed change. The Plan Sponsor understands that declining any of the Investment Advisor Representative's recommendations may cause the services under the Keeler & Nadler Financial Planning and Wealth Management, LLC Retirement Plan Consulting Agreement to terminate.
- e) The Investment Advisor Representative will not be responsible for selection or monitoring, and will not make any recommendations to retain or remove, employer stock or investment options beyond the Designated Investments (i.e., stable value funds, target date portfolios, mutual fund or brokerage windows, guaranteed investment contracts, unallocated accounts, etc.). For plans that have existing unallocated accounts, those accounts will be mapped to the Plan's money market fund.
- f) Qualified Default Investment Alternative Management:
 - 1. If the Plan has an existing QDIA, the Investment Advisor Representative will map those participant accounts to the Investment Advisor Representative's Moderate Model Portfolio and will serve as the Plan's QDIA Manager with respect to participant accounts that are

automatically defaulted into the Model Portfolios pursuant to ERISA Section 404(c)(5). For new plans or those that did not previously designate a QDIA, the Plan Sponsor authorizes the Investment Advisor Representative to designate its Moderate Model Portfolio as the Plan's QDIA, and any participant who fails to direct the investment of their accounts will automatically be invested in the Moderate Model Portfolio. The Plan Sponsor, however, retains the sole responsibility to provide all notices to participants as required under ERISA Section 404(c), including 404(c)(5).

g) Creation and Maintenance of Model Asset Allocation portfolios ("Model Portfolios")

1. Keeler & Nadler Financial Planning and Wealth Management, LLC will create risk-based Model Portfolios to be offered to the Plan participants through the Provider's platform.
2. The Model Portfolios will be constructed so as to achieve varying degrees of long-term appreciation and capital preservation through a mix of equity and fixed income exposures offered through investment alternatives available through the Plan. The Investment Advisor Representative will diversify, reallocate and rebalance the Model Portfolios and associated risk levels over time in accordance with generally accepted investment theories and in compliance with the Plan's IPS. The Investment Advisor Representative may make changes to the underlying investments and/or the asset allocation percentages of the Model Portfolios and will communicate such instructions directly to the Platform Provider. The Investment Advisor Representative will communicate any changes to the Plan Sponsor reasonably in advance of the proposed change.

From time to time Keeler & Nadler Financial Planning and Wealth Management, LLC and/or the Investment Advisor Representative may make the Plan or the Plan participants aware of and may offer services available from Keeler & Nadler Financial Planning and Wealth Management, LLC and/or the Investment Advisor Representative that are separate and apart from the retirement plan advisory and consulting services described above. In offering any such services, neither Keeler & Nadler Financial Planning and Wealth Management, LLC nor its Investment Advisor Representatives providing the services are acting as a fiduciary under ERISA with respect to such offering of services. If any such separate services are offered to a client, the client will make an independent assessment of such services without reliance on the advice or judgment of Keeler & Nadler Financial Planning and Wealth Management, LLC or the Investment Advisor Representative.

General Disclosure Regarding ERISA and Qualified Accounts

The following disclosure is directed for clients of Keeler & Nadler Financial Planning and Wealth Management, LLC that are (i) a pension or other qualified employee benefit plan (including a 401(k) plan) governed by the Employee Retirement Income Security Act of 1974, as amended (“ERISA”); (ii) a tax-qualified retirement plan under Section 401(a) of the Internal Revenue Code of 1986, as amended (the “Code”), and not covered by ERISA; or (iii) an individual retirement account (“IRA”) under Section 408 of the Code.

It is the client’s responsibility to ensure that Keeler & Nadler Financial Planning and Wealth Management, LLC, as well as the client’s Investment Advisor Representative are furnished with complete copies of all documents that establish and govern the Plan and provide evidence of the client’s authority to retain Keeler & Nadler Financial Planning and Wealth Management, LLC as an Investment Adviser. Clients must promptly furnish to the Company any amendments to the Plan, and if any amendment affects the rights or obligations of Keeler & Nadler Financial Planning and Wealth Management, LLC, such amendment shall be binding on Keeler & Nadler Financial Planning and Wealth Management, LLC and the Company’s Investment Advisor Representative only when agreed to in writing by both Keeler & Nadler Financial Planning and Wealth Management, LLC and its Investment Advisor Representative.

Clients must maintain appropriate ERISA bonding coverage for their managed account(s) and must include within the coverage of the bond Keeler & Nadler Financial Planning and Wealth Management, LLC, Keeler & Nadler Financial Planning and Wealth Management, LLC Investment Advisor Representatives, and the Company’s personnel as may be required by law.

Keeler & Nadler Financial Planning and Wealth Management’s Investment Advisor Representatives, and in their separate capacity as Registered Representatives of Purshe Kaplan Sterling Investments, Inc., and acting in full compliance with the PKS and Keeler & Nadler Financial Planning and Wealth Management’s compliance policies and procedures, may retain a portion of the commissions charged to the client as registered representatives of PKS. These commissions may include mutual fund sales loads, 12b-1 fees and surrender charges, variable annuity fees and surrender charges and IRA and qualified retirement plan fees. When managing ERISA and qualified accounts, the Keeler & Nadler Financial Planning and Wealth Management’s Investment Advisor Representative must lower or offset the management fee by the amount of the 12b-1 fees and other commissions received in the event such types of compensation are received by the Keeler & Nadler Financial Planning and Wealth Management, LLC Advisor Representative in his/her individual capacity and upon approved registration as a Registered Representative of PKS.

Keeler & Nadler Financial Planning and Wealth Management’s Investment Advisor Representatives are licensed to sell securities in the capacity as Registered Representatives or Registered Principals with Purshe Kaplan Sterling Investments, Inc., and upon doing so, may sell general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients and earn commissions on these sales. The Keeler & Nadler Financial Planning and Wealth Management’s Investment Advisor Representatives are also Registered Representatives of PKS. As such, they may suggest that the advisory clients implement investment advice by purchasing securities products through a

commission-based PKS account in addition to an advisory account. In the event investment advisory clients elect to purchase these products through PKS, PKS and the client's Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representative, in the capacity as a PKS Registered Representative, will receive the normal and customary commission compensation in connection with the specific product purchased. This may present a conflict of interest, as it may give the PKS Registered Representative an incentive to recommend investment products on the compensation received, rather than on the clients' needs. Keeler & Nadler Financial Planning and Wealth Management, LLC does not require its Investment Advisor Representatives to encourage clients to implement investment advice through PKS. Clients of Keeler & Nadler Financial Planning and Wealth Management, LLC are free to implement investment advice through any broker-dealer or product sponsor they may select. However, clients should understand that, due to certain regulatory constraints, Keeler & Nadler Financial Planning and Wealth Management, LLC Advisor Representatives, in the capacity as a dually Registered Representatives, must place all purchases and sales of securities products in commission-based brokerage accounts through PKS or other approved institutions.

Other Products and Services

Keeler & Nadler Financial Planning and Wealth Management, LLC engages in activities as an Investment Advisor registered with the Securities and Exchange Commission, as well as various State Divisions of Securities Departments. Purshe Kaplan Investments ("PKS") is a non-affiliated broker-dealer that the Company uses to provide its securities clearing and custody services for Keeler & Nadler Financial Planning and Wealth Management, LLC. Keeler & Nadler Financial Planning and Wealth Management, LLC has principal executive officers, and investment advisor representatives that plan to become Registered Representatives of PKS in the future. These same individuals in their individual capacities are also licensed agents for various insurance companies. As such, these individuals will be able to receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of advisory clients. Clients are under no obligation to engage these individuals in their capacity as a registered representative or insurance agents while executing their advisory recommendation. The implementation of any or all recommendations is solely at the discretion of the client. Keeler & Nadler Financial Planning and Wealth Management, LLC does not offer insurance products as part of its activities as a Registered Investment Adviser.

Keeler & Nadler Financial Planning and Wealth Management, LLC's business does not include acting as an investment company as defined by the Investment Company Act of 1940.

Keeler & Nadler Financial Planning and Wealth Management, LLC may refer its clients to the law firm of Resch and Root, LLC for legal services and as a consultant in establishing and evaluating estate planning services. The owner and principal officer of Resch and Root, LLC is William K. Root. Mr. Root is an attorney that provides legal services to clients including those that may be a client of Keeler & Nadler Financial Planning and Wealth Management, LLC. He is also the Secretary of the Company. We do not see this as a conflict of interest as these are completely separate businesses. Resch and Root, LLC is located at the same address as Keeler & Nadler Financial Planning and Wealth Management, LLC, but the companies have separate

entrances, and they do not share the same employees. However, they do share some of the same common areas.

While these individuals endeavor at all times to put the interest of the clients first as part of Keeler & Nadler Financial Planning and Wealth Management, LLC's fiduciary duty, clients should be aware that the receipt of compensation itself creates a conflict of interest, and may affect the judgment of these individuals when making recommendations.

D. Wrap Fee Programs

Keeler & Nadler Financial Planning and Wealth Management, LLC does not engage in a wrap fee program. By definition, a wrap-fee program bundles or wraps investment advice, custody and execution services under one contract for a single fee. Generally, these programs involve one or more investment advisors and a broker-dealer that provides the client with portfolio management and asset-allocation services, maintains custody of the client's funds and securities and executes the client's securities transactions. The fee is a flat annual sum based on the amount of assets under management (in contrast to separate fees for each transaction), and the price includes brokerage commissions based on the amount or type of securities transactions executed for a given account.

E. Amount of Assets Under Management

Keeler & Nadler Financial Planning and Wealth Management, LLC manages its client's assets on either a discretionary basis or a non-discretionary basis. This is the Company's first Annual updating Amendment, and as of March 1, 2015, the Company managed \$38,000,000.00 of client's assets on a discretionary basis and \$146,000,000.00 of client's assets on a non-discretionary basis.

Item 5 **Fees and Compensation**

Keeler & Nadler Financial Planning and Wealth Management, LLC charges a management fee on each account for the above outlined management services, which may be charged as a percentage of the assets under management, as a flat fee, or as an hourly rate. Fees charged on new accounts will be pro-rated based on the initial value and the number of days remaining in the quarter. Thereafter, the fee will be based on the account value on the last business day of the preceding calendar quarter, and will cover that calendar quarter. During the calendar quarter, Keeler & Nadler Financial Planning and Wealth Management, LLC shall not be compensated on the basis of a share of capital gains, capital appreciation of the funds or any portion of the funds of the client. No fee adjustment will be made for additional contributions or for account appreciation or depreciation within a billing period.

A. Fee Schedule for Portfolio Management Services

Management fees will be calculated for each calendar quarter in accordance with the following schedule and paid in advance.

The maximum allowable fee that can be charged may not exceed 2.25% of client assets under management on an annual basis.

B. Payment of Fees

The Company obtains authorization from the client for Keeler & Nadler Financial Planning and Wealth Management, LLC to bill the custodian the fees described above, as well as obtain authorization from the client for the custodian to pay the Company directly. All fees will be paid as directed in the agreed upon fee schedule.

The client shall sign a Client Advisory Agreement, and by signing this agreement, the client hereby provides written authorization to Keeler & Nadler Financial Planning and Wealth Management, LLC to send an invoice to the custodian at the same time that a copy is provided to the client for its advisory fees for the management of the client's account(s). It is the client's responsibility to verify the accuracy of fee calculations and the qualified custodian will not determine whether the fee has been properly calculated. Upon approval from Keeler & Nadler Financial Planning and Wealth Management, LLC, clients may pay fees via direct invoice. For clients paying via direct invoice, the fees shall be due upon the client's receipt of the invoice. Fees are paid *quarterly in advance*. The client also authorizes the custodian to pay the invoiced fees described above to Keeler & Nadler Financial Planning and Wealth Management, LLC directly from the client's account(s) held by the custodian. The Client agrees that the custodian will send, at least quarterly, an account statement showing all disbursements from the client's account(s), including the amount of fees paid directly to Keeler & Nadler Financial Planning and Wealth Management, LLC.

C. Other Types of Fees

Clients are responsible for Third-Party Fees, including but not limited to those listed below. Some custodians of broker-dealers for the accounts of clients in Keeler & Nadler Financial Planning and Wealth Management, LLC may charge maintenance, or transaction fees that are separate from the advisory fees charged by Keeler & Nadler Financial Planning and Wealth Management, LLC for its advisory services. The custodian of the client's account, which may be a mutual fund or insurance company, may provide confirmations with each transaction and statements either monthly or quarterly. Any transfer fees, transaction fees, redemption fees, sales loads, wiring fees, etc. charged against an account are separate from the Keeler & Nadler Financial Planning and Wealth Management, LLC's management fees, and will be deducted from the client's account by the custodian.

D. Prepayment of Fees

Fees are paid quarterly in advance. Keeler & Nadler Financial Planning and Wealth Management, LLC does not require the prepayment of more than \$1,200 in fees per client, six months or more in advance.

E. Outside Compensation for the Sale of Securities to Clients

All income Keeler & Nadler Financial Planning and Wealth Management, LLC receives is based on the fee schedule. Keeler & Nadler Financial Planning and Wealth Management, LLC does not accept or receive additional fees or commissions for buying or selling securities or other products on behalf of clients. Keeler & Nadler Financial Planning and Wealth Management, LLC's Investment Advisor Representatives are also Registered Representatives of Purshe Kaplan Sterling Investments, Inc. ("PKS") and licensed to sell general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products and receives commissions from PKS on these securities transactions.

Fees may be discounted at the discretion of Keeler & Nadler Financial Planning and Wealth Management, LLC.

F. Fees for Financial Planning Services

Fees for Financial Planning Services

<u>Financial Planning Service</u>	<u>Fee Amount</u>
Comprehensive Financial Plan:	\$1,500 - \$25,000 Flat fee <input type="checkbox"/>
Hourly Rate:	\$100 to \$500 Per Hour <input type="checkbox"/>

The Company charges its fee amount for Comprehensive Financial Plans based on the complexity of the client's financial plan. Typically, the standard financial plan takes over six (6) hours to gather data, prepare the plan and present the plan. Those plans that take significantly less time may negotiate a lower fee while those financial plans that take significantly longer may be charged a slightly higher fee. These fees may be at a flat rate or an hourly rate and determined by the Company and the client based upon the plan. If the client chooses an hourly rate, the rate is \$100 - \$500 per hour and due upon the completion of the plan. The final amount will be specified in the Client Advisory Agreement.

Item 6

Performance-Based Fees and Side-by-Side Management

Keeler & Nadler Financial Planning and Wealth Management, LLC does not accept nor charge performance-based fees, which are fees based on a share of capital gains or capital appreciation of the assets in a client's account or any portion thereof. All fees charged by the Keeler & Nadler Financial Planning and Wealth Management, LLC are asset-based, flat or hourly.

Item 7

Types of Clients

Keeler & Nadler Financial Planning and Wealth Management, LLC will provide investment management and financial planning services to individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations, endowments and other business entities.

Item 8

Methods of Analysis, Investment Strategies and Risk of Loss

Item 8(A) – Methods of Analysis and Investment Strategies

Depending on the particular investment portfolio and/or investment strategy, Keeler & Nadler Financial Planning and Wealth Management, LLC employs a variety of security analysis methods including charting, fundamental, technical, and cyclical analysis. The Company also consults on a wide range of information to analyze and execute investment strategies, such as: financial newspapers and magazines, various internet services, inspection of corporate activities, third-party research materials, corporate rating services, timing services, annual reports, prospectuses, regulatory filings, and press releases.

Investing in securities involves risk of loss that clients should be prepared to bear. Keeler & Nadler Financial Planning and Wealth Management, LLC uses the following security analysis methods:

Chart Analysis – Chart Analysis is a technical analysis that reviews the overall trend, previous lows below the current price, previous highs above the current price, momentum, buying and selling pressure, and relative strength.

Fundamental Analysis – Fundamental Analysis involves the analysis of financial statements, the financial stability of companies, and/or the analysis of management or competitive advantages.

Technical Analysis – Technical Analysis is the forecasting of future financial price movements based on an examination of past price movements. This does not result in absolute predictions about the future, but it can help anticipate what is “likely” to happen to prices over time.

Cyclical Analysis – Cyclical Analysis is the evaluation of an equity security whose price is affected by ups and downs in the overall economy. Cyclical stocks rise and fall with the business cycle.

Item 8(B) – Material Risks Involved

Investment Strategies and Risk of Loss

Keeler & Nadler Financial Planning and Wealth Management, LLC employs the following approach:

- **Tactical Asset Allocation Strategy** – Keeler & Nadler Financial Planning and Wealth Management, LLC employs a discretionary tactical asset allocation portfolio which utilizes Modern Portfolio theory. The strategy of this asset management service is to construct a diversified portfolio of high quality investments from a wide range of different asset classes based on the clients liquidity needs, risk tolerance and objectives. The portfolio's custom asset allocation model takes into account expected rate of return, standard deviation and correlation of the various asset classes utilized as well as over-weighting specific asset classes that are expected to out-perform the general market and/or their asset classes and the under-weighting specific asset classes that are expected to under-perform the general market and/or their asset class. Tactical asset allocation portfolio management may be utilized in a wide variety of investment vehicles including, but not limited to: brokerage accounts, qualified accounts, insurance products such as variable life and variable annuity contracts, self-held investments or any combination of these.

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- Interest-Rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- Currency Risk:** Companies typically have substantial foreign investments which are subject to fluctuations in the value of the dollar against the currency of the investment's originating country causing exchange rate risk.

Reinvestment Risk: This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.

Business Risk: These risks are associated with a particular industry or a particular company within an industry. For example, oil drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.

Liquidity Risk: Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.

Financial Risk: Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Item 8(C) – Risks of Specific Securities Utilized

Keeler & Nadler Financial and Wealth Management, LLC generally seeks investment strategies that do not involve significant or unusual risk beyond that of the general domestic and/or international equity markets. As with most products, there are risks associated with investing.

1) Pooled Investment Funds

Pooled investment funds (also known as hedge funds) are privately managed portfolios of securities. Although these funds tend to invest in a range of individual securities, if the securities are all in a similar asset class or market sector, there is a systemic risk that all of the securities could be affected by adverse market conditions. These types of funds usually lack liquidity. Additionally, although the investor can choose the type of fund to invest in, they have no control over the type of individual holdings that make up the fund.

2) Real Estate Pooled Instruments

Any real estate or real property purchased and owned by a pooled investment vehicle is subject to certain market forces in the local, regional and macro areas where such properties are located. Many of these properties are located in western U.S. states which continue to experience depressed valuations. While there has been a generally positive trend since 2009, continued price stabilization and appreciation could easily be reversed. The financial and demand metrics could easily be interrupted or reversed by such events as a national or international financial crisis such as that which began in 2007 – 2008, runaway inflation or other unforeseen economic circumstances. If any of these were to occur, the value of the

properties may be significantly diminished, with negative results for us and the Debenture Holders.

3) Equity Securities

The price of an equity security may drop in reaction to tangible and intangible events and conditions. This type of risk can be caused by external factors independent of a security's particular underlying circumstances.

4) Debt Securities

Debt Securities are subject to a number of risks including the credit worthiness of the issuer, the interest rate which can fluctuate in the market place, the price of the security which is impacted by interest rate fluctuations and liquidity risk which could occur when the security cannot be resold without incurring a loss.

5) Certificates of Deposit

Certificates of Deposit are guaranteed by the issuing bank and in the case of federally chartered banks, they are protected up to \$250,000 by the FDIC.

6) Investment Company Securities

Investment company securities are commonly referred to as Mutual funds are **not** guaranteed or insured by the FDIC or any other government agency. You can lose money investing in mutual funds because they fluctuate with the general market. All mutual funds have internal costs that lower your investment returns. Investment companies are subject to the same risks as equity and debt investments since investment companies invest in those types of securities.

7) U.S. Government Securities

U.S. Government Securities are considered to have very low credit risk, they are affected by other types of risk, mainly interest-rate risk and inflation risk. While investors are effectively guaranteed to receive interest and principal payments as promised, the underlying value of the bond itself may change depending on the direction of interest rates.

Item 9

Disciplinary Information

A. Criminal or Civil Actions

There are no criminal actions, or civil actions against Keeler & Nadler Financial Planning and Wealth Management, LLC, its management or any of the Company's employees or investment adviser representatives to report.

B. Administrative Proceedings

There are no administrative proceedings against Keeler & Nadler Financial Planning and Wealth Management, LLC, its management, or any of the Company's employees or investment adviser representatives to report.

C. Self-Regulatory Organization (SRO) Proceedings

There are no self-regulatory organization proceedings against Keeler & Nadler Financial Planning and Wealth Management, LLC, its management or any of the Company's employees or investment adviser representatives to report.

Item 10

Other Financial Industry Activities and Affiliations

A. Registration as a Broker-Dealer or Broker-Dealer Representative

Keeler & Nadler Financial Planning and Wealth Management, LLC is not a registered Broker-Dealer nor does it have a pending application to become a broker-dealer. Neither the Company's management, its investment advisor representatives nor its employees are registered as a broker-dealer nor do they have a pending application to become a broker-dealer.

Keeler & Nadler Financial Planning and Wealth Management, LLC does have management personnel and investment advisor representatives that are registered as Registered Representatives of the unaffiliated Broker-Dealer, Purshe Kaplan Sterling Investments.

B. Registration as a Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor

Neither Keeler & Nadler Financial Planning and Wealth Management, LLC, its management, employees nor its investment advisor representatives are registered as or have pending applications to become a Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor.

C. Registration Relationships Material to this Advisory Business and Possible Conflicts of Interest

Neither Keeler & Nadler Financial Planning and Wealth Management, LLC nor its management personnel have any material relationships or arrangements with any related person listed below:

- An investment company or other pooled investment vehicle (including a mutual fund, closed-end investment company, unit investment trust, private investment company or "hedge fund," and offshore fund);
- Futures commission merchant, commodity pool operator, or commodity trading advisor;
- Banking or thrift institution;
- Accountant or accounting firm;
- Insurance company or agency;
- Pension consultant;

- Real estate broker or dealer;
- Sponsor or syndicate of limited partnerships;
- Securities exchange, securities association, or alternative trading system;
- Broker-dealer, municipal securities dealer, or government securities dealer or broker, and
- Investment adviser or financial planner.

Keeler & Nadler Financial Planning and Wealth Management, LLC, and its management personnel do have a material relationship with the related persons listed below:

- Lawyer or law firm.

Resch and Root, LLC is a law firm located in the same building as Keeler & Nadler Financial Planning and Wealth Management, LLC. This law firm specializes in Estate Planning and Tax Minimization. William Root is an attorney and owner of Resch and Root, and is also an Investment Advisor Representative for Keeler Nadler Financial Planning and Wealth Management, LLC. There may be times when a client of the law firm or a client from the Company is referred to the other depending upon the client's needs. While these individuals endeavor at all times to put the interests of the clients first, clients should be aware that the receipt of compensation itself creates a conflict of interest, and may affect the judgment of these individuals when making recommendations.

Purshe Kaplan Sterling Investments, Inc. ("PKS"), an unaffiliated broker-dealer, provides securities clearing and custodial services to Keeler & Nadler Financial Planning and Wealth Management, LLC's advisory clients.

As of November 2014, the following individuals became Registered Representative of the unaffiliated Broker-Dealer, Purshe Kaplan Sterling Investments: (1) Andrew P. Keeler, the Company's President, Chief Compliance Officer, and Investment Advisor Representative; (2) William K. Root, an Investment Advisor Representative; (3) Richard D. Nadler, the Company's Treasurer and Investment Advisor Representative; and (4) Mark D. Beaver, an Investment Advisor Representative of the Company.

As Registered Representatives of PKS, conflicts of interest may arise in selling general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuities and variable life products to the Company's advisory clients. Keeler & Nadler Financial Planning and Wealth Management, LLC does not intend to pay brokerage commissions higher than those obtainable from other broker-dealers in return for research and brokerage products or services. Clients of Keeler & Nadler Financial Planning and Wealth Management, LLC are free to implement investment advice through PKS. However, clients should understand that, due to certain regulatory constraints, Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representatives, in the capacity as a dually Registered Representatives of PKS, must place all purchases and sales of securities products in commission-based brokerage accounts through PKS or other approved institutions.

Keeler & Nadler Financial Planning and Wealth Management, LLC has principal executive officers, and Investment Advisor Representatives that are also in their individual capacities licensed as insurance agents for various insurance companies. As such, these individuals will receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of the Company's advisory clients.

D. Selection of Other Advisers or Managers and How This Adviser is Compensated for those Selections.

Keeler & Nadler Financial Planning and Wealth Management, LLC does not utilize nor select other advisers or third-party managers. All assets are managed by the Company's personnel.

Item 11
Code of Ethics, Participation or Interest in
Client Transactions and Personal Trading

A. Code of Ethics

Keeler & Nadler Financial Planning and Wealth Management, LLC has adopted a Code of Ethics, a copy of which is provided to all clients or prospective clients upon request. Keeler & Nadler Financial Planning and Wealth Management, LLC has a duty to exercise its authority and responsibility for the benefit of its clients, to place the interest of its clients first, and to refrain from having outside interests that conflict with the interests of its clients and to disclose any conflicts that may exist. Keeler & Nadler Financial Planning and Wealth Management, LLC will disclose to each client any material conflict of interest regarding the Company, any representative or employees of the Company in writing before entering or renewing a Client Advisory Agreement either Discretionary or Non-Discretionary with the client.

Keeler & Nadler Financial Planning and Wealth Management, LLC may maintain its own accounts and may buy and sell securities for its own account or the accounts of its principals. The advice given and the actions taken with respect to a client and the Company's own account may differ from advice given or the timing and nature of actions taken with respect to other client accounts.

B. Recommendations Involving Material Financial Interests

An Investment Advisor Representative or management of Keeler & Nadler Financial Planning and Wealth Management, LLC may have a financial interest in those recommended transactions that involve the purchase of securities. The Company, its management and representatives may personally invest in the same securities recommended to advisory clients. These transactions may involve a conflict of interest.

To address this conflict of interest, Investment Advisor Representatives, and Management, will adhere to the following procedures regarding their personal trading:

1. The Company will maintain a list of its Access/Related Persons;
2. Access persons are required to submit Initial and Annual holdings reports to the Chief Compliance Officer;
3. Access persons are required to submit quarterly transaction reports;
4. Personnel must receive approval from the Chief Compliance Officer regarding the purchase of IPO's and Limited Offerings;
5. Clients' orders will always take precedence over orders placed for the Company, its Investment Advisor Representatives or the Company's Management, and
6. Neither Advisory clients nor Investment Advisor Representatives or Keeler & Nadler Financial Planning and Wealth Management, LLC's management will have enough funds invested in any given security to move the market in that particular security.

C. Investing Personal Money in the Same Securities as Clients

From time to time, Keeler & Nadler Financial Planning and Wealth Management, LLC may invest in the same security as those that are recommended to the client. This may cause a conflict of interest. To address this issue, the Company has established the above-referenced procedure. Additionally, Keeler & Nadler Financial Planning and Wealth Management, LLC will always process the client's transactions before their own when similar or the same securities are being bought or sold, and no transactions by Keeler & Nadler Financial Planning and Wealth Management, LLC will be permitted to disadvantage clients.

D. Trading Securities At or Around the Same Time as Clients' Securities

Our supervised persons are not permitted to recommend securities to clients at or about the same time that the Investment Advisor Representative (or another supervised person associated with the Investment Advisor Representative) buys or sells the same securities for their own account(s). In addition, Investment Advisor Representatives are not permitted to use discretionary trading authority on behalf of clients to buy or sell securities at or about the same time that the Investment Advisor Representative (or another supervised person associated with the Investment Advisor Representative) buys or sells the same securities for their own account(s).

E. Trades with Clients

In the event Keeler & Nadler Financial Planning and Wealth Management, LLC engages in agency cross or principal transactions with its clients, it will only do so with a written confirmation at or before the completion of each such transaction containing:

1. A statement and/or document describing the nature of the transaction and the conflict of interest;
2. The date and time of the transaction;
3. The source and amount of remuneration received by or to be received by the Company; and
4. That the client's authorization may be revoked at any time prior to completion of the transaction.

Keeler & Nadler Financial Planning and Wealth Management, LLC may maintain its own accounts and may buy and sell securities for its own account or the accounts of its principals. The advice given and the actions taken with respect to a client and to Keeler & Nadler Financial Planning and Wealth Management, LLC's own accounts may differ from advice given or the timing and nature of actions taken with respect to other client accounts.

Item 12

Brokerage Practices

A. Factors Used to Select Custodians and/or Broker-Dealers

Keeler & Nadler Financial Planning and Wealth Management, LLC has established a relationship with PKS for brokerage transactions, and will execute the majority of its trades with Charles Schwab. On occasion Keeler & Nadler Financial Planning and Wealth Management, LLC may execute a trade with another broker-dealer for better execution.

Keeler & Nadler Financial Planning and Wealth Management, LLC may select or recommend broker-dealers for client transactions based in part on the research or other services made available by those broker-dealers. We do not intend to pay brokerage commissions higher than those obtainable from other broker-dealers in return for research and brokerage products or services. Keeler & Nadler Financial Planning and Wealth Management, LLC does not have any fixed soft dollar relationships with any broker-dealers, vendors of research information, or vendors of equipment or other services.

1. Research and other Soft-Dollar Benefits

Keeler & Nadler Financial Planning and Wealth Management, LLC does not have any fixed soft dollar relationships with any broker-dealers, vendors of research information, or vendors of equipment or other services. Keeler & Nadler Financial Planning and Wealth Management, LLC receives no research or soft-dollar benefits.

2. Brokerage for Client Referrals

Keeler & Nadler Financial Planning and Wealth Management, LLC receives no referrals from broker-dealers or third-parties in exchange for using that broker-dealer or third-party.

3. Clients Directing Which Broker-Dealer or Custodian to Use

In circumstances where a client directs Keeler & Nadler Financial Planning and Wealth Management, LLC to use a certain broker-dealer, the Company will request the client put their direction and instructions in writing, and the Company will make each of the following disclosures that may apply:

1. Our inability under those circumstances to negotiate commissions or obtain best execution;
2. Our inability to obtain volume discounts;
3. That there may be a disparity in commission charges; and
4. Any conflicts of interest arising from brokerage firm referrals.

B. Aggregating (Block) Trading for Multiple Client Accounts

Keeler & Nadler Financial Planning and Wealth Management, LLC maintains the ability to block trade purchases across accounts. Block trading may benefit a large group of clients by providing the Company the ability to purchase larger blocks resulting in smaller transaction costs to the client. Declining to block trade can cause more expensive trades for clients.

Item 13 **Review of Accounts**

A. Frequency and Nature of Periodic Reviews and Who Makes those Reviews

Keeler & Nadler Financial Planning and Wealth Management, LLC reviews client accounts periodically throughout the calendar year, upon request of the client, in response to a material change in the client's investment situation and/or when specific investment recommendations change for a given asset class. These reviews are completed by one or more of the Investment Advisor Representatives familiar with the client's situation.

B. Factors That Will Trigger a Non-Periodic Review of Client Accounts

Factors that will trigger a non-periodic review of a client's account would be a material market, economic or political event, or if there is a change in the client's financial circumstances.

C. Content and Frequency of Regular Reports Provided to Clients

Keeler & Nadler Financial Planning and Wealth Management, LLC does not currently, but may at its discretion, issue regular reports to clients. The Custodian issues periodic statements and reports of accounts activity directly to clients.

Item 14

Client Referrals and Other Compensation

A. Economic Benefits Provided by Third-Parties for Advice Rendered to Clients

Keeler & Nadler Financial Planning and Wealth Management, LLC does not receive or accept any economic benefit directly or indirectly from any third-party for advice rendered to the Company's clients.

B. Compensation to Non-Advisory Personnel for Client Referrals

Keeler & Nadler Financial Planning and Wealth Management, LLC may offer remuneration to individuals or organizations that make referrals of potential clients under the following circumstances:

1. Keeler & Nadler Financial Planning and Wealth Management, LLC has a written agreement with the person making the referral;
2. A separate written disclosure document is furnished to the referral client disclosing the relationship between the person making the referral and Keeler & Nadler Financial Planning and Wealth Management, LLC, the terms of the compensation arrangement between the person making the referral and Keeler & Nadler Financial Planning and Wealth Management, LLC and any additional charges the client will incur as a result of the referral.

Item 15

Custody

Each client appoints, or will appoint, a separate custodian (the "Custodian") to take possession of the cash, securities, and other assets in the client's account. As a result, Keeler & Nadler Financial Planning and Wealth Management, LLC does not have access to the assets in the account or to the income produced and will not be responsible for any acts or omissions of the custodian. The custodian sends to the client, at least quarterly, a statement indicating all amounts disbursed from the account (including the amount of any fees paid to Keeler & Nadler Financial Planning and Wealth Management, LLC pursuant to the client's authorization), all transactions occurring in the account during the period covered by the statement, and a summary of the account positions and portfolio values at the end of the period. The custodian will be directed to send copies of the account statements to Keeler & Nadler Financial Planning and Wealth Management, LLC along with an indication that the statements have been sent to the client.

In the event that the client directs Keeler & Nadler Financial Planning and Wealth Management, LLC to use a particular custodian or broker-dealer, the client will be responsible for all costs associated with this relationship. Keeler & Nadler Financial Planning and Wealth

Management, LLC may not be authorized under those circumstances to negotiate commission and may not be able to obtain volume discounts or best execution. In addition, under these circumstances a disparity in commission charges may exist between the commission charged to clients who direct Keeler & Nadler Financial Planning and Wealth Management, LLC to use a particular broker-dealer and other clients who do not direct Keeler & Nadler Financial Planning and Wealth Management, LLC to use a particular broker-dealer.

Item 16

Investment Discretion

By signing the “Client Advisory Agreement – Discretionary”, the client grants Keeler & Nadler Financial Planning and Wealth Management, LLC the authority to invest/reinvest the assets under Keeler & Nadler Financial Planning and Wealth Management, LLC’s management on the client’s behalf without prior consultation from the client (discretionary basis), subject to the client’s stated investment objectives and any other client instructions. Keeler & Nadler Financial Planning and Wealth Management, LLC will invest in the investment types listed in this brochure which include, but are not limited to: cash, cash equivalents, U.S. Government securities, equities, options, mutual funds and alternative investments, which include, but are not limited to direct participation programs. See Item 8(C) regarding risks associated with these investments.

The client also authorizes Keeler & Nadler Financial Planning and Wealth Management, LLC to take any other necessary action in connection with the opening and maintenance of the client’s account, as well as for the completion and payment of transactions for the account. Keeler & Nadler Financial Planning and Wealth Management, LLC will make investment decisions for the client’s account according to the client’s investment objectives and financial circumstances as described by the client. The client agrees to promptly inform Keeler & Nadler Financial Planning and Wealth Management, LLC if the information provided in the client information and investor profile becomes materially inaccurate and to consult with Keeler & Nadler Financial Planning and Wealth Management, LLC to provide updated information on an annual basis.

Item 17

Voting Client Securities (Proxy Voting)

Unless the parties have otherwise agreed in writing (and such writing, in the case of an account subject to the provisions of ERISA, is consistent with plan documents), Keeler & Nadler Financial Planning and Wealth Management, LLC shall have no authority or obligation to take any action or render any advice with respect to, issuers of securities in which assets of the client’s account may be invested from time to time. The client (or the plan fiduciary in the case of an account subject to the provisions of ERISA) expressly retains the authority and responsibility for the voting of such proxies.

Item 18

Financial Information

A. Balance Sheet

No disclosure of financial information (a balance sheet) is required because Keeler & Nadler Financial Planning and Wealth Management, LLC does not have custody of client funds and does not require prepayment of more than \$1,200 in fees per client, six months or more in advance. Therefore, no balance sheet is included with this brochure.

B. Financial Conditions Reasonably Likely to Impair Ability to Meet Contractual Commitments to Clients.

Neither Keeler & Nadler Financial Planning and Wealth Management, LLC nor its management have any financial conditions that is likely to reasonably impair the ability to meet contractual commitments to clients.

C. Bankruptcy Petitions in Previous Ten Years

Neither Keeler & Nadler Financial Planning and Wealth Management, LLC, its management, nor its personnel have been the subject of a bankruptcy petition at any time during the past ten (10) years.

ITEM 1: Cover Page

This brochure supplement provides information about Andrew P. Keeler that supplements the Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure. You should have received a copy of that brochure. Please contact Andrew P. Keeler, Chief Compliance Officer, if you did not receive Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure or if you have any questions about the content of this supplement. Additional information about Andrew P. Keeler is also available on the Securities and Exchange Commission's website at www.adviserinfo.sec.gov. You may also call 614-791-4123 or send an email to Mr. Keeler, Chief Compliance Officer, at the following email address: Andrew.Keeler@Keelernadler.com.

Keeler & Nadler Financial Planning and Wealth Management, LLC

Form ADV, Part 2B – Individual Disclosure Brochure

for

Andrew P. Keeler, CFP®

President, Chief Compliance Officer and

Investment Advisor Representative

CRD No. 2519150

Main Office:

Keeler & Nadler Financial Planning and Wealth Management, LLC

5100 Bradenton Avenue, Suite B

Dublin, Ohio 43017

Tele: 614-791-4123

Fax: 614-791-4122

Date: 03/20/2015

ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

NAME: Andrew P. Keeler

BORN: 07/1971

TITLE: President, Chief Compliance Officer and Investment Advisor
Representative of Keeler & Nadler Financial Planning and Wealth
Management, LLC

EDUCATION: Bachelor of Science – June 1994
The Ohio State University - Columbus, Ohio

EXAMINATIONS / LICENSES: Series 7 – General Securities Representative Examination
Series 6 – Investment Company Products/Variable contracts
Representative Examination
Series 63 – Uniform Securities Agent State Law Examination

CERTIFIED FINANCIAL PLANNER™
Certified Financial Planner Board of Standards – Denver, CO

CFP® Designation:

To become certified as a CFP® Professional, one must meet the following requirements in the areas of education, examination, experience, and ethics.

Education Requirements:

The education requirement for attaining CFP® certification includes two main parts:

1. Complete college or university-level coursework through a program registered with the CFP® Board, addressing the major personal financial planning areas identified by the CFP® Board's most recent Job Analysis Study; and
2. Verify that you hold a regionally accredited college or university bachelor's degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).

Examination Requirement:

Pass the CFP® Certification Examination. This is a ten (10) hour examination covering Knowledge, Comprehension/Application, Analysis/Synthesis, and Evaluation.

Experience Requirement:

A total of three (3) years full-time qualifying Experience, or the equivalent of six thousand (6,000) hours, is required to satisfy the three (3) year Experience Requirement.

Ethics Requirement:

CFP® professionals agree to adhere to the high standards of ethics and practice outlined in the CFP® Board's *Standards of Professional Conduct* ("Standards") and to acknowledge the CFP® Board's right to enforce them through its *Disciplinary Rules and Procedures* ("Disciplinary Rules").

BUSINESS BACKGROUND

Employer	Title	Dates
Purshe Kaplan Sterling Investments Albany, NY	Registered Representative	11/2014 – PRESENT
Keeler & Nadler Financial Planning and Wealth Management, LLC Dublin, OH	President, Chief Compliance Officer and Investment Advisor Representative	09/2014 – PRESENT
Cambridge Investment Research Fairfield, IA	Registered Representative	01/2001 – 11/2014
Cambridge Investment Research Advisors, Inc. Fairfield, IA	Investment Advisor Representative	10/2009 – 11/2014
EFG, Inc. Columbus, OH	Partner, Investment Advisor Representative	01/1995 – 09/2009
Alles Financial, Inc. Dublin, OH	Registered Representative	08/1994 – 06/1995

ITEM 3: DISCIPLINARY INFORMATION

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

ITEM 4: OTHER BUSINESS ACTIVITIES

Andrew P. Keeler is also a licensed insurance agent with various insurance companies. He became a Registered Representative of Purshe Kaplan Sterling Investments, Inc. (“PKS”) an unaffiliated broker-dealer in November 2014.

ITEM 5: ADDITIONAL COMPENSATION

Andrew P. Keeler does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Keeler & Nadler Financial Planning and Wealth Management, LLC other than his compensation paid by the Company, i.e., salary and/or bonuses.

Mr. Keeler receives compensation as a licensed insurance agent. As a Registered Representative of Purshe Kaplan Sterling Investments, Inc. (“PKS”), an unaffiliated broker-dealer, he receives commissions based on the sale of securities or other investment products.

ITEM 6: SUPERVISION

Andrew P. Keeler is supervised by William K. Root. Mr. Root supervises all duties and activities of Mr. Keeler. Mr. Keeler’s contact information is on the cover page of this disclosure document. Mr. Keeler adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the Company’s policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

ITEM 7: REQUIREMENTS FOR STATE REGISTERED ADVISERS

This disclosure is being made to fulfill any state requirement by any Division of Securities and for your use in evaluating this investment advisor representative’s suitability.

1. Andrew P. Keeler has **not** been involved in any of the events listed below.
 - A. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Bribery, forgery, counterfeiting, or extortion; or
 - (5) Dishonest, unfair, or unethical practices.

- B. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Dishonest, unfair, or unethical practices.
- 2. Andrew P. Keeler has **NOT** been the subject of a bankruptcy petition at any time.

ITEM 1: Cover Page

This brochure supplement provides information about Richard D. Nadler that supplements the Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure. You should have received a copy of that brochure. Please contact Andrew P. Keeler, Chief Compliance Officer, if you did not receive Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure or if you have any questions about the content of this supplement. Additional information about Richard Nadler is also available on the Securities and Exchange Commission's website at www.adviserinfo.sec.gov. You may also call 614-791-4123 or send an email to Mr. Keeler, Chief Compliance Officer, at the following email address: Andrew.Keeler@Keelernadler.com.

Keeler & Nadler Financial Planning and Wealth Management, LLC

Form ADV, Part 2B – Individual Disclosure Brochure

for

Richard D. Nadler, CFP®

Treasurer and

Investment Advisor Representative

CRD No. 4453072

Main Office:

Keeler & Nadler Financial Planning and Wealth Management, LLC

5100 Bradenton Avenue, Suite B

Dublin, Ohio 43017

Tele: 614-791-4123

Fax: 614-791-4122

Date: 03/20/2015

ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

NAME: Richard D. Nadler

BORN: 10/1955

TITLE: Partner and Investment Advisor Representative of Keeler & Nadler Financial Planning and Wealth Management, LLC

EDUCATION: Bachelor of Science Business Administration – May 1978
Southeast Missouri State University, Cape Girardeau, MO

Master of Business Administration – August 1989
Washington University – St. Louis, MO

EXAMINATIONS / LICENSES: Series 7 – General Securities Representative
Series 63 – Uniform Securities Agent State Law Examination

CERTIFIED PUBLIC ACCOUNTANT
American Institute of Certified Public Accountants

CERTIFIED FINANCIAL PLANNER™
Certified Financial Planner Board of Standards – Denver, CO

CFP® Designation:

To become certified as a CFP® Professional, one must meet the following requirements in the areas of education, examination, experience, and ethics.

Education Requirements:

The education requirement for attaining CFP® certification includes two main parts:

1. Complete college or university-level coursework through a program registered with the CFP® Board, addressing the major personal financial planning areas identified by the CFP® Board's most recent Job Analysis Study; and
2. Verify that you hold a regionally accredited college or university bachelor's degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).

Examination Requirement:

Pass the CFP® Certification Examination. This is a ten (10) hour examination covering Knowledge, Comprehension/Application, Analysis/Synthesis, and Evaluation.

Experience Requirement:

A total of three (3) years full-time qualifying Experience, or the equivalent of six thousand (6,000) hours, is required to satisfy the three (3) year Experience Requirement.

Ethics Requirement:

CFP® professionals agree to adhere to the high standards of ethics and practice outlined in the CFP® Board's *Standards of Professional Conduct* ("Standards") and to acknowledge the CFP® Board's right to enforce them through its *Disciplinary Rules and Procedures* ("Disciplinary Rules").

BUSINESS BACKGROUND

Employer	Title	Dates
Purshe Kaplan Sterling Investments, Inc. Albany, NY	Registered Representative	11/2014 – PRESENT
Keeler & Nadler Financial Planning and Wealth Management, LLC Dublin, OH	Treasurer and Investment Advisor Representative	09/2014 – PRESENT
Cambridge Investment Research Fairfield, IA	Registered Representative	09/2005 – 11/2014
Cambridge Investment Research Advisors, Inc. Fairfield, IA	Investment Advisor Representative	08/2009 – 11/2014
EFG, Inc. Columbus, OH	Investment Advisor Representative	09/2005 – 09/2009
Royal Alliance Associates, Inc. Columbus, OH	Administrative Registered Representative	09/2001 – 08/2005
Chornyak & Associates, Inc. Columbus, OH	Financial Planner/CPA	08/1999 – 08/2005

ITEM 3: DISCIPLINARY INFORMATION

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

ITEM 4: OTHER BUSINESS ACTIVITIES

Richard D. Nadler is a licensed insurance agent with various insurance companies. He became a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS") an unaffiliated broker-dealer in November 2014.

ITEM 5: ADDITIONAL COMPENSATION

Richard D. Nadler does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Keeler & Nadler Financial Planning and Wealth Management, LLC other than his compensation paid by the firm, i.e., salary and/or bonuses.

Mr. Nadler receives compensation as a licensed insurance agent. As a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), an unaffiliated broker-dealer, he receives commissions based on the sale of securities or other investment products.

ITEM 6: SUPERVISION

Richard D. Nadler is supervised by Andrew P. Keeler, President and Chief Compliance Officer of the Company. Mr. Keeler supervises all duties and activities of the Company's employees and Investment Advisor Representatives. Mr. Nadler's contact information is on the cover page of this disclosure document. Mr. Nadler adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the Company's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

ITEM 7: REQUIREMENTS FOR STATE REGISTERED ADVISERS

This disclosure is being made to fulfill any state requirement by any Division of Securities and for your use in evaluating this investment advisor representative's suitability.

1. Richard D. Nadler has **not** been involved in any of the events listed below.
 - A. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;

- (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Bribery, forgery, counterfeiting, or extortion; or
 - (5) Dishonest, unfair, or unethical practices.
 - B. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Dishonest, unfair, or unethical practices.
2. Richard D. Nadler has **NOT** been the subject of a bankruptcy petition at any time.

ITEM 1: Cover Page

This brochure supplement provides information about William K. Root that supplements the Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure. You should have received a copy of that brochure. Please contact Andrew P. Keeler, Chief Compliance Officer, if you did not receive Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure or if you have any questions about the content of this supplement. Additional information about Andrew P. Keeler is also available on the Securities and Exchange Commission's website at www.adviserinfo.sec.gov. You may also call 614-791-4123 or send an email to Mr. Keeler, Chief Compliance Officer, at the following email address: Andrew.Keeler@Keelernadler.com.

Keeler & Nadler Financial Planning and Wealth Management, LLC

Form ADV, Part 2B – Individual Disclosure Brochure

for

William K. Root
Investment Advisor Representative
(CRD No. 3133207)

Main Office:

Keeler & Nadler Financial Planning and Wealth Management, LLC
5100 Bradenton Avenue, Suite B
Dublin, Ohio 43017
Tele: 614-791-4123
Fax: 614-791-4122

Date: 03/20/2015

ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

NAME: William K. Root

BORN: 10/1948

TITLE: Investment Advisor Representative of Keeler & Nadler
Financial Planning and Wealth Management, LLC

EDUCATION: The Ohio State University – BS - December 1971
The Ohio State University – MBA – March 1972
Capital University Law School – JD – May 1978

EXAMINATIONS / LICENSES: Series 24 – General Securities Principal Examination
Series 6 – Investment Company Products/Variable Contracts
Representative Examination
Series 7 – General Securities Representative Examination
Series 66 – Uniform Combined State Law Examination

BUSINESS BACKGROUND

Employer	Title	Dates
Purshe Kaplan Sterling, Inc. Albany, NY	Registered Representative	11/2014 – PRESENT
Keeler & Nadler Financial Planning and Wealth Management, LLC Dublin, OH	Investment Advisor Representative	09/2014 – PRESENT
Resch and Root, LLC Dublin, OH	Attorney	12/1978 – PRESENT
Cambridge Investment Research, Inc. Fairfield, IA	Registered Representative	06/2003 – 11/2014
Cambridge Investment Research, Advisors, Inc. Fairfield, IA	Investment Advisor Representative	10/2009 – 11/2014

Employer	Title	Dates
EFG, Inc. Dublin, OH	Investment Advisor Representative	06/2003 – 09/2009
Valmark Securities, Inc. Akron, OH	Registered Representative	09/1998 – 01/2001

ITEM 3: DISCIPLINARY INFORMATION

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

ITEM 4: OTHER BUSINESS ACTIVITIES

William K. Root is a licensed insurance agent with various insurance companies. He became a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS") an unaffiliated broker-dealer in November 2014.

Mr. Root is also the owner of the law firm Resch and Root, LLC where he provides legal services, as well as estate planning services.

ITEM 5: ADDITIONAL COMPENSATION

William K. Root does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Keeler & Nadler Financial Planning and Wealth Management, LLC other than his compensation paid by the firm, i.e., salary and/or bonuses.

As a Registered Representative with Purshe Kaplan Sterling Investments, Inc. ("PKS") an unaffiliated broker-dealer, Mr. Root receives commissions based on the sale of securities or other investment products.

Mr. Root receives compensation as a licensed insurance agent, as well as compensation from his law practice.

ITEM 6: SUPERVISION

William K. Root is supervised by Andrew P. Keeler, President and Chief Compliance Officer of the Company. Mr. Keeler supervises all duties and activities of the Company's employees and investment advisor representatives. Mr. Root's contact information is on the cover page of this disclosure document. Mr. Root adheres to all required regulations regarding the activities of an Investment Advisor Representative and follows all policies and procedures outlined in the

Company's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

ITEM 7: REQUIREMENTS FOR STATE REGISTERED ADVISERS

This disclosure is being made to fulfill any state requirement by any Division of Securities and for your use in evaluating this investment advisor representative's suitability.

1. William K. Root has **not** been involved in any of the events listed below.
 - A. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Bribery, forgery, counterfeiting, or extortion; or
 - (5) Dishonest, unfair, or unethical practices.
 - B. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Dishonest, unfair, or unethical practices.
2. William K. Root has **NOT** been the subject of a bankruptcy petition at any time.

ITEM 1: Cover Page

This brochure supplement provides information about Mark D. Beaver that supplements the Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure. You should have received a copy of that brochure. Please contact Andrew P. Keeler, Chief Compliance Officer, if you did not receive Keeler & Nadler Financial Planning and Wealth Management, LLC's Company Brochure or if you have any questions about the content of this supplement. Additional information about Mark D. Beaver is also available on the Securities and Exchange Commission's website at www.adviserinfo.sec.gov. You may also call 614-791-4123 or send an email to Mr. Keeler, Chief Compliance Officer, at the following email address: Andrew.Keeler@Keelernadler.com.

Keeler & Nadler Financial Planning and Wealth Management, LLC

Form ADV, Part 2B – Individual Disclosure Brochure

for

Mark D. Beaver, CFP[®]

Investment Advisor Representative

CRD No. 5828596

Main Office:

Keeler & Nadler Financial Planning and Wealth Management, LLC

5100 Bradenton Avenue, Suite B

Dublin, Ohio 43017

Tele: 614-791-4123

Fax: 614-791-4122

Date: 03/20/2015

ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

NAME: Mark D. Beaver

BORN: 01/1987

TITLE: Investment Advisor Representative of Keeler & Nadler
Financial Planning and Wealth Management, LLC

EDUCATION: Bachelor of Science – March 2010
The Ohio State University – Columbus, Ohio

EXAMINATIONS / LICENSES: Series 7 – General Securities Representative Examination
Series 66 – Uniform Combined State Law Examination

CERTIFIED FINANCIAL PLANNER™
Certified Financial Planner Board of Standards – Denver, CO

CFP® Designation:

To become certified as a CFP® Professional, one must meet the following requirements in the areas of education, examination, experience, and ethics.

Education Requirements:

The education requirement for attaining CFP® certification includes two main parts:

1. Complete college or university-level coursework through a program registered with the CFP® Board, addressing the major personal financial planning areas identified by the CFP® Board's most recent Job Analysis Study; and
2. Verify that you hold a regionally accredited college or university bachelor's degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).

Examination Requirement:

Pass the CFP® Certification Examination. This is a ten (10) hour examination covering Knowledge, Comprehension/Application, Analysis/Synthesis, and Evaluation.

Experience Requirement:

A total of three (3) years full-time qualifying Experience, or the equivalent of six thousand (6,000) hours, is required to satisfy the three (3) year Experience Requirement.

Ethics Requirement:

CFP® professionals agree to adhere to the high standards of ethics and practice outlined in the CFP® Board's *Standards of Professional Conduct* ("Standards") and to acknowledge the CFP® Board's right to enforce them through its *Disciplinary Rules and Procedures* ("Disciplinary Rules").

BUSINESS BACKGROUND

Employer	Title	Dates
Purshe Kaplan Sterling Investments, Inc. Dublin, OH	Registered Representative	11/2014 – PRESENT
Keeler & Nadler Financial Planning and Wealth Management, LLC Dublin, OH	Investment Advisor Representative	09/2014 – PRESENT
Cambridge Investment Research, Inc. Fairfield, IA	Registered Representative	11/2010 – 11/2014
Cambridge Investment Research Advisors, Inc. Fairfield, IA	Investment Advisor Representative	04/2012 – 11/2014
The Ohio State University Columbus, OH	Student	09/2005 – 03/2010
Ameriprise Financial Services Columbus, OH	Intern	09/2009 – 01/2010
Aero-Mark, Inc. Streetsboro, OH	Laborer	06/2005 – 09/2009

ITEM 3: DISCIPLINARY INFORMATION

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

ITEM 4: OTHER BUSINESS ACTIVITIES

Mark D. Beaver is a licensed insurance agent with various insurance companies. He became licensed as a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS") an unaffiliated broker-dealer in November 2014.

ITEM 5: ADDITIONAL COMPENSATION

Mark D. Beaver does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Keeler & Nadler Financial Planning and Wealth Management, LLC other than his compensation paid by the firm, i.e., salary and/or bonuses.

Mr. Beaver also receives compensation as a licensed insurance agent. Mr. Beaver as a Registered Representative with Purshe Kaplan Sterling Investments, Inc. ("PKS") an unaffiliated broker-dealer also receives commissions based on the sale of securities or other investment products.

ITEM 6: SUPERVISION

Mark D. Beaver is supervised by Andrew P. Keeler, President and Chief Compliance Officer of the Company. Mr. Keeler supervises all duties and activities of the Company's employees and investment advisor representatives. Mr. Beaver's contact information is on the cover page of this disclosure document. Mr. Beaver adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the Company's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

ITEM 7: REQUIREMENTS FOR STATE REGISTERED ADVISERS

This disclosure is being made to fulfill any state requirement by any Division of Securities and for your use in evaluating this investment advisor representative's suitability.

1. Mark D. Beaver has **not** been involved in any of the events listed below.
 - A. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;

- (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Bribery, forgery, counterfeiting, or extortion; or
 - (5) Dishonest, unfair, or unethical practices.
 - B. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (1) An investment or an investment-related business or activity;
 - (2) Fraud, false statement(s), or omissions;
 - (3) Theft, embezzlement, or other wrongful taking of property;
 - (4) Dishonest, unfair, or unethical practices.
2. Mark D. Beaver has **NOT** been the subject of a bankruptcy petition at any time.