

# Brochure Supplement (03/16/2016)

## Advisor Representative:

John Y. Kim, J.D., LL.M.

4100 Embassy Parkway, Ste. 100

Akron, OH 44333

330-434-2000

CRD # 2660519

## Company:

Symphony Financial Services, Inc.

4100 Embassy Parkway, Ste. 100

Akron, OH 44333

330-434-2000

This “Brochure Supplement” provides information about John Y. Kim, J.D., LL.M. that supplements the information found in the Symphony Client Services Agreement. You should have already received a copy of that brochure. Please contact John Y. Kim, C.C.O. if you did not receive Symphony Financial Service’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about John Y. Kim is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Educational Background and Business Experience

John Y. Kim has successfully completed a Bachelors of Arts from Bowling Green State University, a law degree from the University of Akron School of Law and a Masters of Law in taxation from Case Western Reserve University School of Law.

Name: John Y. Kim

Date of Birth: January April 21, 1968

Education: Bachelor of Arts – Bowling Green State University, J.D. from the University of Akron School of law and L.L.M. from Case Western Reserve University School of Law.

## Five Year Business Background:

2001 to Present – Symphony Financial Services, Inc.

John Y. Kim also has extensive business experience gained while working in the insurance industry. John Y. Kim is a licensed insurance agent offering Life Insurance and Variable Insurance Products.

## Disciplinary Information

A. John Y. Kim has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.

B. John Y. Kim has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.

C. John Y. Kim has never been the subject of a self-regulatory organization (SRO) proceeding.

D. John Y. Kim has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

## Other Business Activities

A. John Y. Kim is not actively engaged in any other investment-related business or occupation.

B. John Y. Kim is actively involved as an insurance agent and offers insurance products that could produce commissions with regard to sales of insurance products.

**Additional Compensation**

John Y. Kim receives no economic benefit from any non-client individuals for providing advisory services. However, commissions could be received by the sale of securities and insurance related products. If a commission will be made, the client will be informed through prospectus documents of the product as well as other disclosure forms that will evidence the compensation.

**Supervision**

John Y. Kim is the Chief Compliance Officer for Symphony Financial Services, Inc. If you have any questions regarding John or his activities, please feel free to contact at the Symphony Financial Services Home Office.

**Requirements for State-Registered Advisors**

- A. John Y. Kim was attached to a settlement agreement from a prior broker/dealer who settled with a client for \$100,000.00 after receive alleged damages of \$300,000.00 John was not party to the settlement agreement negotiations and did not contribute any amount of money toward the settlement. There is more information available about this disclosure that can be found at [www.brokercheck.com](http://www.brokercheck.com). (CRD # 2660519) (FINRA Docket Case # 12-04274) The settlement date was 01/09/2014.
- B. John Y. Kim has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. John Y. Kim has never been the subject of any bankruptcy proceedings.

# Brochure Supplement (03/16/2016)

## Advisor Representative:

Paul Sansonette  
4100 Embassy Parkway, Ste. 100  
Akron, Ohio 44333  
330-434-2000  
CRD # 2057894

## Company:

Symphony Financial Services, Inc.  
4100 Embassy Parkway, Ste. 100  
Akron, OH 44333  
330-434-2000

This “Brochure Supplement” provides information about Paul Sansonette (Business advisor representative) that supplements the information found in the Business Investor Services Brochure. You should have already received a copy of that brochure. Please contact Paul Sansonette if you did not receive Business’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about Paul Sansonette is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Educational Background and Business Experience

University Of Akron – 1979-1983 Completed 4 years of study

The International Foundation For Retirement Education - Certified Retirement Counselor - 2000

Name: Paul Sansonette

Date of Birth: February 26, 1961

Education: University of Akron 1979-1983

## Five Year Business Background:

2010 to Present – Symphony Financial Services, Inc

2006 to Present – Symphony Financial Services, Inc

Paul Sansonette also has extensive business experience gained while working in the insurance industry. Paul Sansonette is licensed insurance agent offering Life Insurance and Variable Insurance Products.

## Disciplinary Information

- A. Paul Sansonette has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.
- B. Paul Sansonette has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Paul Sansonette has never been the subject of a self-regulatory organization (SRO) proceeding.
- D. Paul Sansonette has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

## Other Business Activities

- A. Paul Sansonette is not actively engaged in any other investment-related business or occupation.
- B. Paul Sansonette is actively involved as an insurance agent and offers insurance products that could produce commissions with regard to sales of insurance products.

**Additional Compensation**

Paul Sansonette receives no economic benefit from any non-client individuals for providing advisory services. However, commissions could be received by the sale of securities and insurance related products. If a commission will be made, the client will be informed through prospectus documents of the product as well as other disclosure forms that will evidence the compensation.

**Supervision**

Paul Sansonette is supervised by John Y. Kim, the Chief Compliance Officer for Symphony Financial Services, Inc. If you have any questions regarding Paul or his activities, please feel free to contact John at the Symphony Financial Services Home Office.

**Requirements for State-Registered Advisors**

- A. Paul Sansonette has never been involved in any arbitration claims
- B. Paul Sansonette has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Paul Sansonette has never been the subject of any bankruptcy proceedings.

## **Brochure Supplement (03/16/2016)**

### **Advisor Representative:**

Scott Spears  
4100 Embassy Parkway, Ste. 100  
Akron, Ohio 44333  
330-434-2000  
CRD # 4683260

### **Company:**

Symphony Financial Services  
4100 Embassy Parkway, Ste. 100  
Akron, Ohio 44333  
330-434-2000

This “Brochure Supplement” provides information about Scott Spears (Business advisor representative) that supplements the information found in the Business Investor Services Brochure. You should have already received a copy of that brochure. Please contact Scott Spears if you did not receive Business’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about Scott Spears is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Educational Background and Business Experience**

Scott Spears has successfully completed a Bachelors degree program at Purdue University. Additional details follow:

Name: Scott Spears

Date of Birth: May 31, 1972

Education: BAS – Purdue University – 1995

### **Five Year Business Background:**

2010 to Present – Symphony Financial Services

2006 to Present – Symphony Financial Services

Person also has extensive business experience gained while working in the insurance industry. Person is licensed insurance agent offering Life Insurance and Variable Insurance Products.

### **Disciplinary Information**

- A. Scott Spears has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.
- B. Scott Spears has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Scott Spears has never been the subject of a self-regulatory organization (SRO) proceeding.
- D. Scott Spears has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

### **Other Business Activities**

- A. Scott Spears is not actively engaged in any other investment-related business or occupation.

B. Scott Spears is actively involved as an insurance agent and offers insurance products that could produce commissions with regard to sales of insurance products.

### **Additional Compensation**

Scott Spears receives no economic benefit from any non-client individuals for providing advisory services. However, commissions could be received by the sale of securities and insurance related products. If a commission will be made, the client will be informed through prospectus documents of the product as well as other disclosure forms that will evidence the compensation.

### **Supervision**

Scott Spears is supervised by John Y. Kim, the Chief Compliance Officer for Symphony Financial Services, Inc. If you have any questions regarding Scott or his activities, please feel free to contact John at the Symphony Financial Services Home Office.

### **Requirements for State-Registered Advisors**

- A. Scott Spears has never been involved in any arbitration claims
- B. Scott Spears has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Scott Spears has never been the subject of any bankruptcy proceedings.

# Brochure Supplement (03/16/2016)

## Advisor Representative:

Spencer L. Gabriel  
4100 Embassy Parkway, Ste. 100  
Akron, Ohio 44333  
330-434-2000  
CRD # 1987809

## Company:

Symphony Financial Services  
4100 Embassy Parkway, Ste. 100  
Akron, Ohio 44333  
330-434-2000

This “Brochure Supplement” provides information about Spencer L. Gabriel (Business advisor representative) that supplements the information found in the Business Investor Services Brochure. You should have already received a copy of that brochure. Please contact Spencer L. Gabriel if you did not receive the Business’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about Spencer L. Gabriel is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Educational Background and Business Experience

Name: Spencer L. Gabriel

Date of Birth: July 12, 1965

Education: Graduated from Bowling Green University in 1989.

## Five Year Business Background:

2009 to Present – Symphony Financial Services

2000 to 2009 – Citigroup Global Markets, Inc. / Morgan Stanley Smith Barney

Spencer L. Gabriel also has extensive business experience gained while working in the financial services industry. Spencer L. Gabriel is a licensed insurance agent offering Life Insurance and Variable Insurance Products.

## Disciplinary Information

- A. Spencer L. Gabriel has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.
- B. Spencer L. Gabriel has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Spencer L. Gabriel has never been the subject of a self-regulatory organization (SRO) proceeding.
- D. Spencer L. Gabriel has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

## Other Business Activities

- A. Spencer L. Gabriel is not actively engaged in any other investment-related business or occupation.
- B. Spencer L. Gabriel is actively involved as an insurance agent and offers insurance products that could produce commissions with regard to sales of insurance products.

**Additional Compensation**

Spencer L. Gabriel receives no economic benefit from any non-client individuals for providing advisory services. However, commissions could be received by the sale of securities and insurance related products. If a commission will be made, the client will be informed through prospectus documents of the product as well as other disclosure forms that will evidence the compensation.

**Supervision**

Spencer L. Gabriel is supervised by John Y. Kim, the Chief Compliance Officer for Symphony Financial Services, Inc. If you have any questions regarding Spencer or his activities, please feel free to contact John at the Symphony Financial Services Home Office.

**Requirements for State-Registered Advisors**

- A. Spencer L. Gabriel has never been involved in any arbitration claims
- B. Spencer L. Gabriel has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Spencer L. Gabriel has never been the subject of any bankruptcy proceedings.