

*This brochure supplement provides information about Wendy P. Simmons that supplements the ELE Advisory Services, Inc. brochure. You should have received a copy of that brochure. Please contact Ellis N. Liddell, Managing Member, if you did not receive ELE Advisory Services, Inc.'s brochure or if you have any questions about the contents of this supplement.*

*Additional information about Wendy P. Simmons is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **ELE Advisory Services, Inc.**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Wendy P. Simmons**

Personal CRD Number: 5041493

Investment Adviser Representative

ELE Advisory Services, Inc.  
18700 W. 10 Mile Road, Suite 100  
Southfield, Michigan, 48075  
(248) 356-6555  
[www.elewealth.com](http://www.elewealth.com)  
[wsimmons@elewealth.com](mailto:wsimmons@elewealth.com)

UPDATED: 10/07/2019

*Registration does not imply a certain level of skill or training*

## Item 2: Educational Background and Business Experience

**Name:** Wendy P. Simmons **Born:** 1972

### **Education Background and Professional Designations:**

#### **Education:**

Bachelor of Arts Marketing and Management, Northwood University – 1994

#### **Business Background:**

02/2018 – Present	Registered Representative ELE Wealth Advisors, Inc.
02/2018 – Present	Investment Advisor Representative ELE Advisory Services, Inc.
02/2018 – Present	Vice President of Securities ELE Wealth Management
07/2017 – Present	Substitute Teacher Edustaff, LLC
02/2016 – 04/2017	Registered Representative Plan Member Securities Corporation
12/2015 – 04/2017	Presenter Michigan Association of Retired School Personnel
12/2015 – 04/2017	Insurance Agent Williams and Company Financial Services
10/2012 – 12/2015	Registered Representative Legend Equities Corporation
10/2015 – 02/2016	Marketing Lake Osceola State Bank
03/2014 – 09/2015	Registered Representative ELE Wealth Advisors, Inc.
06/2014 – 05/2015	Investment Advisor Representative ELE Advisory Services, Inc.
03/2010 – 05/2012	Financial Advisor Merrill Lynch, Pierce, Fenner & Smith, Inc.
01/2009 – 03/2010	Registered Assistant Securities America, Inc
09/2008 – 12/2008	Registered Assistant J.W. Cole Financial, Inc
09/2005 – 09/2008	Registered Representative Investors Capital Corp.

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events, criminal, regulatory, or disciplinary history that is material to a client's or prospective client's evaluation of Wendy P. Simmons.

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

Wendy P. Simmons is a licensed insurance agent and a registered representative of ELE Wealth Advisors, Inc. From time to time, she will offer clients advice or products from those activities. Clients should be aware that some of these services pay a commission that may be deemed a conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. ELE Advisory Services, Inc. always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of ELE Advisory Services, Inc. in such individual's outside capacities.

### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, or compensations received in her role as a registered representative and insurance agent, Wendy P. Simmons does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through ELE Advisory Services, Inc..

### **Item 6: Supervision**

As a representative of ELE Advisory Services, Inc., Wendy P. Simmons is supervised by Marcelle Gordon, Chief Compliance Officer. This supervisor, or Principle Designee, reviews and approves applicable client business submissions. Marcelle Gordon can be reached at (248) 356-6555. Wendy P. Simmons adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements. Wendy P. Simmons is registered in the following states: MI. Her contact information is on the cover page of this disclosure document.

## Item 7: Requirements for State Registered Advisers

*This disclosure is required by Michigan securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Wendy P. Simmons has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Wendy P. Simmons has NOT been the subject of a bankruptcy petition at any time.