

FORM ADV**Uniform Application for Investment Adviser Registration****Part II - Page 1****OMB APPROVAL**

OMB Number: 3235-0049
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Name of Investment Adviser:

Wienken Advisors, Ltd.

Address: (Number and Street)

100 Corporate Center Drive, Suite 201

(City)

Camp Hill

(State)

PA

(Zip Code)

17011

Area Code: Telephone Number:

(717) 763-7365

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any governmental authority.**

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

**Potential persons who are to respond to the collection of information contained in this form
are not required to respond unless the form displays a currently valid OMB control number.**

FORM ADV
Part II - Page 2

Applicant:

Wienken Advisors, Ltd.

SEC File Number:

69575

Date:

10/29/2008
1. A. Advisory Services and Fees. (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service.
(See instruction below.)

Applicant:

- | | | | |
|-------------------------------------|-----|---|------------|
| <input type="checkbox"/> | (1) | Provides investment supervisory services | _____ % |
| <input type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services | _____ % |
| <input type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above | _____ % |
| <input type="checkbox"/> | (4) | Issues periodicals about securities by subscription | _____ % |
| <input type="checkbox"/> | (5) | Issues special reports about securities not included in any service described above | _____ % |
| <input type="checkbox"/> | (6) | Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities | _____ % |
| <input checked="" type="checkbox"/> | (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities | 10% |
| <input type="checkbox"/> | (8) | Provides a timing service | _____ % |
| <input checked="" type="checkbox"/> | (9) | Furnishes advice about securities in any manner not described above | 90% |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B.	Does applicant call any of the services it checked above financial planning or some similar term?	Yes	No
		X	<input type="checkbox"/>

C. Applicant offers investment advisory services for: (check all that apply)

- | | | | | | |
|-------------------------------------|-----|--|--------------------------|-----|-------------------|
| <input type="checkbox"/> | (1) | A percentage of assets under management | <input type="checkbox"/> | (4) | Subscription fees |
| <input type="checkbox"/> | (2) | Hourly charges | <input type="checkbox"/> | (5) | Commissions |
| <input checked="" type="checkbox"/> | (3) | Fixed fees (not including subscription fees) | <input type="checkbox"/> | (6) | Other |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. Types of clients - Applicant generally provides investment advice to: (check those that apply)

- | | | | | | |
|-------------------------------------|-----------|----------------------------------|-------------------------------------|-----------|---|
| <input checked="" type="checkbox"/> | A. | Individuals | <input checked="" type="checkbox"/> | E. | Trusts, estates, or charitable organizations |
| <input type="checkbox"/> | B. | Banks or thrift institutions | <input checked="" type="checkbox"/> | F. | Corporations or business entities other than those listed above |
| <input type="checkbox"/> | C. | Investment companies | <input checked="" type="checkbox"/> | G. | Other (describe on Schedule F) |
| <input type="checkbox"/> | D. | Pension and profit sharing plans | | | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

FORM ADV**Part II - Page 3**

Applicant:

Wienken Advisors, Ltd.

SEC File Number:

69575

Date:

10/29/2008**3. Types of Investments.** Applicant offers advice on the following: (check those that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> I. Options contracts on: |
| <input type="checkbox"/> (3) foreign issues | <input type="checkbox"/> (1) securities |
| | <input type="checkbox"/> (2) commodities |
| <input type="checkbox"/> B. Warrants | <input type="checkbox"/> J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities | <input type="checkbox"/> (1) tangibles |
| (other than commercial paper) | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input checked="" type="checkbox"/> (1) real estate |
| <input checked="" type="checkbox"/> F. Municipal securities | <input checked="" type="checkbox"/> (2) oil and gas interests |
| | <input checked="" type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> G. Investment company securities: | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (1) variable life insurance | |
| <input checked="" type="checkbox"/> (2) variable annuities | |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|--|---|
| (1) <input type="checkbox"/> Charting | (4) <input type="checkbox"/> Cyclical |
| (2) <input type="checkbox"/> Fundamental | (5) <input checked="" type="checkbox"/> Other (explain on Schedule F) |
| (3) <input type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input type="checkbox"/> Timing services |
| (2) <input type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (8) <input checked="" type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|---|---|
| (1) <input type="checkbox"/> Long term purchases
(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions |
| (2) <input type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input type="checkbox"/> Option writing, including covered options, uncovered options or spreading strategies |
| (3) <input type="checkbox"/> Trading (securities sold within 30 days) | (7) <input checked="" type="checkbox"/> Other (explain on Schedule F) |
| (4) <input type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

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Applicant:

Wienken Advisors, Ltd.

SEC File Number:

69575

Date:

10/29/2008**5. Education and Business Standards.**

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?

Yes No
X ☐

(If yes, describe these standards on Schedule F.)

6. Education and Business Background.

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- | | |
|-----------------|--|
| • name | • formal education after high school |
| • year of birth | • business background for the preceding five years |

7. Other Business Activities. (check those that apply)

- ☐ A. Applicant is actively engaged in a business other than giving investment advice.
- ☐ B. Applicant sells products or services other than investment advice to clients.
- X C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- | | |
|--|--|
| X (1) broker-dealer | <input type="checkbox"/> (7) accounting firm |
| <input type="checkbox"/> (2) investment company | <input type="checkbox"/> (8) law firm |
| X (3) other investment adviser | X (9) insurance company or agency |
| X (4) financial planning firm | <input type="checkbox"/> (10) pension consultant |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer |
| <input type="checkbox"/> (6) banking or thrift institution | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?.....

Yes No
☐ X

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

Applicant:

Wienken Advisors, Ltd.

SEC File Number:

69575

Date:

10/29/2008

9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☒ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 10. Conditions for Managing Accounts.** Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account? Yes No
☐ ☒

(If yes, describe on Schedule F.)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Registrant limits its advisory services to seminars.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Registrant limits its advisory services to seminars.

Applicant:

Wienken Advisors, Ltd.

SEC File Number:

69575

Date:

10/29/2008

12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

(1) securities to be bought or sold?

Yes No

☐ X

(2) amount of the securities to be bought or sold ?

Yes No

☐ X

(3) broker or dealer to be used ?

Yes No

☐ X

(4) commission rates paid?

Yes No

☐ X

B. Does applicant or a related person suggest brokers to clients?

Yes No

X ☐

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients?

Yes No

X ☐

B. directly or indirectly compensates any person for client referrals?

Yes No

☐ X

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities unless applicant is registered or registering only with the Securities and Exchange Commission; or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet?

Yes No

☐ X

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:	SEC File Number:	Date:
Wienken Advisors, Ltd.	801- 69575	10/29/2008

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

IRS Empl. Ident.No.:

Item of Form (identify)	Answer
1.D.	<p><i>Advisory Services and Fees</i></p> <p>Wienken Advisors, LTD provides financial advice on securities and non-securities matters through seminars. Wienken Advisors, LTD does not issue publications relating to securities on a subscription basis; does not prepare or issue client statements or analyses relating to securities; and does not provide investment advice not described in item: I. "Advisory Services and Fees."</p> <p><u>Seminars</u> Financial Planning Seminars cover a range of topics delivered through educational institutions, as well as employer and or Wienken Advisors, LTD sponsored seminars.</p> <p><u>Fee Schedule</u> Financial Planning Seminar attendance (negotiable) fees range from \$10 to \$500 per person for materials and registration, due by the start of the seminar. A \$500 maximum retainer / or one-half of the fee payable is due upon signing this agreement. The balance is due upon delivery of the selected advisory service. Fees are not directly debited from client accounts. Your check should be made payable to: "Wienken Advisors, LTD".</p> <p>A client agreement may be cancelled at any time, by either party, for any reason upon receipt of 30 days written notice. Upon termination of any agreement, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable. The client has the right to terminate an agreement without penalty within five business days after entering into the agreement.</p> <p>All fees paid to Wienken Advisors, LTD for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds and brokerage providers. Associates provide general investment advice about the merits and risks of several investment alternatives.</p>
2.	<p><u>Types of clients</u></p> <p>Wienken Advisors, LTD clients consist of the general public and business entities in addition to individuals qualified to participate in 403(b), IRA, Keogh, pension plans, profit sharing plans, as well as Federal Government entities, trusts, estates, and charitable organizations. Clients are free to seek independent advice about the suitability of any investment.</p>
3.K. (3)	<p><u>Types of Investments</u></p> <p>Wienken Advisors, LTD can provide advice through various Seminars on: variable life insurance and annuities; mutual funds, securities options, OTC and listed stocks; certificates of deposit, corporate, municipal and U.S. bonds or notes of obligation; as well as limited partnerships such as real estate, equipment leasing, and/or oil and gas interests. Associates do not advise on: warrants, foreign issuers, commodities or futures contracts.</p>
4.	<p><u>Methods of Analysis, Sources of Information, and Investment Strategies</u></p> <p>Our seminars are designed to empower clients to protect family and estate, diversify assets with an appropriate asset allocation, and use all assets as efficiently as possible. Wienken Advisors, LTD uses various sources of information including research prepared by independent sources such as Morningstar, Emerald Publishing, FMT Solutions, Inc. Kettley, CDA Wiesenberger, S&P, Value Line, and other financial publications.</p>
5.	<p><u>Education and Business Standards</u></p> <p>All investment advisory associates are FINRA registered and have passed series 63, series 65, 66, or equivalent, and series 6, 62 or 7 FINRA exams. A supervisor must recommend an associate only after they demonstrate a professional level of experience as qualified securities representatives. They must also be appointed and in good standing with their broker-dealer, MML Investors Services, Inc. (MMLISI). Wienken Advisors, LTD is registered with the U.S. Securities Exchange Commission.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:	SEC File Number:	Date:
Wienken Advisors, Ltd.	801- 69575	10/29/2008

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident.No.:
Item of Form (identify)	Answer	
6.	<p>Wienken Advisors, LTD encourages successful completion of CFP, CLU, ChFC, and ChFEBC professional designations granted by such institutions as the American College.</p> <p><u>Education and Business Background of Investment Advisors & Supervisors</u></p> <p><u>Matthew J. Dobbie</u>: Born 1967; graduate of Washington & Jefferson University 1989; General Agent MassMutual Life Insurance Co. 1/2006 – Present; Sales Associate and Managing Partner for New England Financial 10/1994 – 1/2006.</p> <p><u>William H. Martin, CFP, CLU, ChFC</u>: Born 1955; graduate of Penn State University; District Manager MassMutual Life Insurance Co. 1991 to Present. CLU (Chartered Life Underwriter), CFP (Certified Financial Planner), ChFC (Chartered Financial Consultant).</p> <p><u>Brian R. Logan, MBA</u>: Born 1963; graduate of James Madison University, MBA University of North Carolina Chapel Hill; Investment Specialist MassMutual / MMLISI 2003 to Present.</p> <p><u>Christopher J. Lenz, ChFEBC</u>: Born 1965; graduate of Moravian College; Sales Associate / Manager with MassMutual Life Insurance Co., 4/2004 – Present; Sales Manager New England Financial 12/2002 – 4/2004; Sales Manager 1/1999 – 12/2002, Sales Associate 02/1989 – 12/1998 New York Life Insurance Co. ChFEBC (Chartered Federal Employee Benefit Consultant)</p> <p><u>George A. Snook, ChFEBC</u>: Born 1965; Sales Associate for MassMutual Life Insurance Co. 4/2004 – Present; Sales Associate for New England Financial 12/2003 – 4/2004; District Agent for New York Life Insurance Co. 6/1997 – 12/2003. ChFEBC (Chartered Federal Employee Benefit Consultant)</p> <p><u>Other Business Activities & Other Financial Industry Affiliations</u></p> <p>The officers and associated persons of Wienken Advisors, LTD provide investment brokerage services and insurance services through the common name Wienken & Associates Financial Services. Wienken & Associates Financial Services is not a business entity, but rather a marketing name for the full range of services offered by the professionals associated with Matthew J. Dobbie.</p> <p>The professionals who make up Wienken & Associates Financial Services are registered representatives of MMLISI, and insurance agents who may do business through MML Insurance Agency, Inc. (MMLIAI) or other insurance agencies. MMLISI is a FINRA registered broker/dealer. MMLIAI (insurance) is a wholly owned subsidiary of MMLISI and offers life, health and variable annuity products. MMLISI is not affiliated with the investment advisory activities of Wienken Advisors, LTD and assume no responsibility for Wienken Advisors, LTD investment advisory activities.</p> <p>In their separate capacities as registered representatives of MMLISI and insurance agents, the persons affiliated with the advisory services of Wienken Advisors, LTD will be able to effect securities transactions and purchase insurance products for clients and will receive separate, yet customary compensation for effecting any transactions. No advisory client is obligated to use these separate services. All securities transactions are reviewed by a supervising principal affiliated with MMLISI prior to completion to ensure the suitability of the purchase to the client's needs.</p> <p>Several advisory personnel of Wienken Advisors, LTD are also investment advisory representatives of MMLISI, which is an SEC registered investment adviser, for the exclusive purpose of providing certain advisory services offered through MMLISI. Those advisory services are described in MMLISI's form ADV and are separate and distinct from the advisory services provided by Wienken Advisors, LTD.</p> <p>The officers and associated persons of Wienken Advisors, LTD spend approximately 10 to 20 percent of their business time on investment advisory activities.</p> <p><u>Participation or Interest in Client Transactions</u></p> <p>9. A copy of Wienken Advisors, LTD Code of Ethics is available upon request.</p> <p>Associates may receive commissions when they act as broker or agent effecting securities transactions. Wienken Advisors,</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:	SEC File Number:	Date:
Wienken Advisors, Ltd.	801- 69575	10/29/2008

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident.No.:
Item of Form (identify)	Answer	
	<p>LTD does not own, buy or sell either directly or indirectly in securities, mutual funds or limited partnerships. Advisors or any related person(s) may buy or sell securities for their personal accounts identical to those of its customers.</p> <p>It is the expressed policy of Wienken Advisors, LTD that no person employed by Wienken Advisors, LTD may purchase or sell any security prior to a transaction(s) for a client being implemented in their separate capacity as Registered Representative of MML Investors Services, Inc. or as Insurance Agents.</p> <p>As these situations represent a conflict of interest, Wienken Advisors, LTD has established the following restrictions in order to safeguard from conflicts of interest:</p> <ul style="list-style-type: none"> A) A Director, officer or employee of Wienken Advisors, LTD shall not buy or sell securities for their personal portfolios(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on a reasonable inquiry. No person of Wienken Advisors, LTD shall prefer his or her own interest to that of the client. B) Wienken Advisors, LTD receives statements of all securities holdings for any associates with this advisory practice. These statements are reviewed on a regular monthly basis by an appropriate officer or supervising principal of Wienken Advisors, LTD. C) All clients are fully informed that certain individuals may receive separate compensation when effecting transactions. Wienken Advisors, LTD emphasizes the unrestricted right of the client to decline to implement any advice rendered. D) All associates must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices. E) Any associated person not in observance of the above may be subject to termination. <p>A copy of the Wienken Advisors, LTD Code of Ethics is available upon request.</p>	
12.	<p><u>Investment or Brokerage Discretion</u></p> <p>A client may choose any broker-dealer to execute his/her securities transactions. If a Wienken Advisors, LTD Associate is selected to assist any client's transactions, said Associate can only utilize MMLISI as the broker-dealer and usually receive commissions in connection with such transactions. If a client chooses to use a broker-dealer with which said Associate is not registered, the Associate may not participate or assist, in any manner, in any purchase, sale or other transaction effected through the other broker-dealer. Our Associates cannot affect commission rates. Mutual fund fees are according to the applicable prospectus. Brokerage fees are according to the published schedule.</p>	
13.	<p><u>Additional Compensation</u></p> <p>In addition to any seminar fee charged to the client, Associates may receive mutual fund or brokerage commissions from the providing vendor in their separate capacities as insurance agents and registered representatives of MMLISI.</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1).