

*Item 1 - Cover Page*

**JOHN F. SUBY WEALTH MANAGEMENT, LLC**

FORM ADV – PART 2A INFORMATION

January 1, 2012

John F. Suby Wealth Management, LLC  
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Madison, WI 53713  
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**This brochure provides information about the qualifications and business practices of John F. Suby Wealth Management, LLC (“Wealth Management”). If you have any questions about the contents of this brochure, please contact us at (608) 273-3100. The information 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 Wealth Management (CRD No. 150824), including a copy of its Form ADV Part 1, is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

***Item 2 - Material Changes To This Brochure Since Its Last Annual Update***

9/27/2011 - Item 4, Item 5 and Item 10 were updated to disclose the relationship and fees charged with Greenrock Research, Inc.

**Item 3**

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#### ***Item 4 - Advisory Business***

John F. Suby Wealth Management, LLC (“Wealth Management”) is an investment adviser registered with the U.S. Securities and Exchange Commission (“SEC”). Wealth Management provides Discretionary Asset Management Services and Consulting Services to a wide variety of clients. Wealth Management became registered as an investment adviser in August 2009. Wealth Management is wholly owned by John F. Suby & Associates, S.C. which is owned by several shareholders, none which own more than 25% individually. Wealth Management does not control any other firm. Wealth Management's advisory services are described in detail below.

Wealth Management is not engaged in any other business.

##### **Asset Management Services**

Wealth Management can provide investment management services which involve supervision of the account on a regular basis. In establishing an Asset Management Account, Wealth Management's Investment Adviser Representative (“IAR”) gathers information from each new client to determine the investment objectives and risk tolerance of the client. Once the investment objectives and risk tolerance have been determined, Wealth Management will provide the client with investment advice, which includes an analysis of current investments and recommendations of other appropriate investments, or a recommendation to use the services of a third-party manager.

Clients should be aware that in most cases Wealth Management will use the management services of a third-party manager, thus will not manage the account itself. Asset Management services are provided on a discretionary basis as authorized by the client through the execution of the Investment Management Agreement. With discretionary services, Wealth Management and its IARs may buy, sell or exchange securities, hire and terminate third-party investment managers, and open and terminate custodial accounts without obtaining specific consent from the client prior to each transaction. Third-party managers also have discretionary authority to buy and sell at will. Wealth Management will typically only use one third-party manager, thus will not perform a manager search before recommending third-party managers.

For Wealth Management and third-party managers to make appropriate investment decisions, it is important that the client provide accurate and complete responses to the questions asked by the IARs, as well as inform the IARs of changes to the client's investment objectives, personal circumstances and other factors that may impact management decisions for the account. IARs of Wealth Management will, on at least an annual basis, contact each client to determine whether there have been objective changes or new restrictions on the management of the Asset Management portfolio. However, it remains the responsibility of each client to inform Wealth Management of any material change. Wealth Management does not guarantee the results of investment management advice it gives or the advice given and actions taken by third-party portfolio managers such as Provident Trust Company (“Provident”) and Greenrock Research, Inc. (“Greenrock”). Thus, losses can occur by using Wealth Management's services.

Investment options for Management accounts include common and preferred stocks, bonds, municipal securities, government securities, exchange listed limited partnerships, mutual funds, exchange traded funds, unit investment trusts, and other investment options.

As part of the Asset Management program, Wealth Management will arrange for execution of trades, custody of assets, and performance reporting.

Clients may choose to have an advisory affiliate, John F. Suby & Associates, S.C. an accounting firm, provide accounting services to the client as part of their Asset Management agreement with Wealth

Management. This is determined at the time of contract execution and a description of the fees can be found below.

As of December 31, 2011, Wealth Management had assets under discretionary management of a third-party manager of \$157,798,937, and none under non-discretionary management.

#### Investment Consulting Services

Wealth Management also provides Investment Consulting Services on an hourly or flat fee basis to those clients seeking financial advice involving particular investment or financial situations. Wealth Management provides counseling services designed to meet the client's specific financial objectives and needs. The counseling services generally result in a financial plan, but may also involve more general consulting. Services may also include sector-planning arrangements in areas such as retirement planning, estate planning, college planning, cash flow analysis, or analysis with regard to investment of lump sum distributions from employer pension and profit sharing plans.

In preparing a financial plan for a client, information is gathered relevant to the particular service through personal interviews conducted by the IAR and through documents and other information supplied by the client. Service may include an analysis of the client's information such as their current assets and investments, liabilities, short and long-term capital and liquidity needs, risk tolerance and short and long-term financial goals and objectives.

Should a client choose to implement the recommendations contained in the financial plan, Wealth Management suggests that the client work closely with his or her attorney, accountant, insurance agent and/or securities broker. Wealth Management IARs generally make recommendations with respect to products or services offered by Wealth Management and its affiliates. The decision to implement any such recommendation rests exclusively with the client, and the client has no obligation to implement any such recommendation.

All investment programs involve risk and there is no guarantee that using the Investment Consulting Services will produce favorable results, or that losses will not occur.

All advice is based on information provided by the client. It is the client's responsibility to be certain that Wealth Management has current and accurate information.

#### ***Item 5 - Fees and Compensation***

Fees paid to Wealth Management are for Wealth Management advisory services only. The fees do not include, for example, the fees charged by third parties, such as accountants and attorneys, assisting with providing the client with accounting and legal advice. The fees also do not include administrative and account maintenance fees charged by the accounts custodian.

Prospective clients should be aware that in addition to Wealth Management's management fees, each mutual fund in which a client's assets are invested also pays its own advisory fees and other internal expenses which already have been deducted from the fund's reported performance. Depending on the fund, a client may be able to invest directly in the shares issued by the fund with or without incurring any sales or third-party management fees.

In addition, there are tax effects pertaining to fund share redemptions made by Wealth Management on behalf of clients. Redemptions are taxable events which may accelerate the recognition of capital gains,

and losses, and frequent redemptions may result in short-term, rather than long-term, capital gains and losses.

#### Asset Management Service Fees

Fees for Asset Management Services are negotiable, thus vary from client to client, and calculated as a percentage of the total value of investments under Wealth Management's management at the rates set forth in the Fee Schedule below. In addition to this advisory fee, as indicated above, there will be transaction, commission, administrative, servicing fees and other servicing fees charged by the account's custodian.

<b>Assets Under Management</b>	<b>Annual Fee (Paid Quarterly)</b>
\$0 to \$1,000,000	1.00%
\$1,000,001 to \$2,000,000	0.80%
\$2,000,001 to \$3,000,000	0.60%
\$3,000,001 to \$5,000,000	0.50%
\$5,000,001 to \$10,000,000	0.40%
Over \$10,000,000	0.30%

For services provided under Wealth Management's program, clients are charged a fee calculated by applying the annual fee schedule percentage to the account's value each quarter or as negotiated between the client and Wealth Management. The market value, which may be determined on an account by account basis or household on an aggregated basis (including interest paid or accrued), is calculated as of the last business day of the previous calendar quarter. The account custodian will determine fair market value for fee calculation purposes. Client acknowledges and agrees that it is client's responsibility to verify the accuracy of such fee calculation and that the custodian will not determine whether fees are properly calculated.

For clients having their accounts managed with Provident the fee will be debited from the client's account in arrears quarterly. Fees are due for assets withdrawn from the account. If the account is established any day other than the first day of a calendar quarter, the fee due for the first billing period is paid on a prorated basis based on the days services were provided.

For clients having their accounts managed with Greenrock the fee will be debited from the client's account quarterly in advance. If the account is established any day other than the first day of a calendar quarter, the fee due for the first billing period is paid on a prorated basis based on the days left in the quarter.

Clients may terminate the agreement at any time in its entirety by giving Wealth Management written notice of termination. Wealth Management may also terminate by notice to the client. The client is responsible for paying all fees earned by Wealth Management to date of termination if there are any unearned prepaid fees those will be prorated and returned to the client upon termination.

Wealth Management's fees may be more or less than those charged by Wealth Management to another client for similar services and other advisers for similar services.

For those clients choosing to receive affiliate services, such as accounting and/or trustee services, as determined in the Management Agreement, Wealth Management will pay for such services in an amount equal to but no more than 50% of the advisory fee collected during the first year the affiliate services

were provided. Fees for services provided by the affiliate that are not specified in the Management Agreement are the responsibility of the client.

#### Investment Consulting Service Fees

Wealth Management may charge fees for Investment Consulting Services based on an hourly or flat fee, as explained below.

Hourly fee. Wealth Management's hourly fee varies from \$100 to \$500 per hour and depends upon the nature and scope of the advice requested by the client, the amount and nature of the research required to complete the project and the nature and number of reports required by the client. The hourly fee may be calculated based upon each professional staff member's time spent on a project. Prior to engagement, each client signs an agreement which provides an estimate of the total fee for services. One-half of the fee is due upon contract signing. The balance is due after services are provided.

Flat fee. Wealth Management's flat fee is quoted in advance and usually ranges from \$500 to \$25,000 depending upon the nature and scope of the advice requested by the client, the nature and number of investments in a client's portfolio, amount and nature of research required to complete the project and scope and number of reports requested by a client. Flat fees are negotiated based on the nature of the work, not by the type of client. Prior to engagement, each client signs an Agreement which provides an estimate of the total fee for services. One-half of the estimated fee is due upon signing of the advisory agreement with the balance due after services are provided.

The agreement between Wealth Management and a client for Investment Consulting may be terminated by either party providing 10 days advance written notice to the other. Any fee due, but not yet paid by a client, is due promptly after termination of the Agreement. Any unearned portion of a prepaid fee is returned to the client.

#### ***Item 6 - Performance Based Fees and Side-by-Side Management***

Wealth Management does not charge any performance-based fees. All fees are disclosed above.

#### ***Item 7 - Types of Clients/Minimum Account Size***

Wealth Management makes its advisory services available to a wide variety of clients including, but not limited to, individuals, banks or thrift institutions, investment companies, pension and profit sharing plans, trusts, estates, charitable organizations, corporations and other business entities.

Wealth Management does not require a minimum account size or minimum fee to receive its advisory services.

Again, for Asset Management Services, Wealth Management typically recommends the services of the third-party manager.

#### ***Item 8 - Methods of Analysis, Investment Strategies and Risk of Loss***

Wealth Management's security analysis method includes, but is not limited to, charting (using charts to track individual security or market movements over time); fundamental analysis (evaluating securities based upon its historical and projected financial performance); technical analysis (examining technical moves in the price of an issue based upon peer securities or comparisons to an investment sector or

index); and cyclical analysis (determining the desirability of an issue based upon the status of an issue within the price cycle the security or similar securities have followed historically).

Wealth Management's main sources of information include, but are not limited to, financial newspapers and magazines, inspections of corporate activities, research materials prepared by others, corporate rating services, annual reports, prospectuses, public filings and company press releases.

Neither Wealth Management nor the third-party managers it uses, guarantee the results of the advice given. Thus, significant losses can occur by investing in any security, or by following any strategy, including conservative investment strategies recommended or applied by Wealth Management or a third-party manager.

### ***Item 9 - Disciplinary Information***

Wealth Management does not have any disciplinary information to report regarding itself or any of its counselors or other related persons.

### ***Item 10 - Other Financial Industry Activities and Affiliations***

Wealth Management is a single member limited liability company owned by John F. Suby & Associates, S.C. a full-service accounting firm offering auditing, accounting and tax services. Both firms' expect that they will refer clients to each other, for no fee, if either believes the other will benefit their clients. These referrals create a conflict of interest since the affiliated entity providing the service will be compensated for doing so. For clients receiving accounting services, the fee for those services may, as negotiated between the client and Wealth Management, be covered under the advisory fee being paid to Wealth Management.

Wealth Management has entered into an agreement with Greenrock Research, Inc. ("Greenrock") to provide research, recommendations and monitoring of third party managers, mutual fund and ETF recommendations, and other administrative services for Wealth Management. Greenrock also provides discretionary management services for certain client accounts, monitoring, purchasing and selling client portfolio assets to remain consistent with each client's investment objectives. Greenrock will not take possession or custody of client funds or securities.

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

Wealth Management does not maintain an inventory of investments for resale, and does not buy or sell securities for itself that it recommends to (or purchases and sells for) clients. However, Wealth Management's employees and IAR's may purchase or sell for their own accounts securities or other investment products that are also recommended to clients. When purchasing or selling securities, priority is given to client transactions. Wealth Management employees and IARs are subject to the provisions of Wealth Management's policies regarding personal securities transactions. These policies are designed to prevent detriment to the client or any benefit to Wealth Management employees or IARs resulting from investment activities.

Wealth Management has established a Code of Ethics applicable to all persons who have access to confidential client records or to recommendations being made for client accounts. Designed to prevent conflicts of interest between the financial interests of clients and the interests of the firm's staff, the Code requires such "access persons" to obtain pre-approval of certain securities transactions, to report transactions quarterly and to report all securities positions in which they have a beneficial interest at least



annually. These reporting requirements allow supervisors at the firm to determine whether to allow or prohibit certain employee securities purchases and sales based on transactions made, or anticipated to be made, in the same securities for client accounts. The Code also establishes certain bookkeeping requirements relating to federal reporting rules. The Code is required to be reviewed annually and updated as necessary. A complete copy of the firm's Code is available upon request by writing, mailed to 2901 West Beltline Highway, Suite 201, Madison, WI 53713.

An affiliate of Wealth Management, John F Suby & Associates, S.C., is available to provide accounting and trustee services. To the extent that IARs of Wealth Management recommend the accounting and trust services of its affiliate, a conflict of interest exists since the affiliate and the IAR will receive additional compensation from the provision of these services.

Clients and prospects should be aware of the fact that one individual client of Wealth Management has loaned funds to John F. Suby. Although this loan creates an inducement for Wealth Management to favor this client over others, and therefore a potential conflict of interest, it is Wealth Management's intent not to treat this client any differently than others while providing management services.

### ***Item 12 - Brokerage Practices***

Wealth Management generally does not exercise discretion to select brokerage firms. Wealth Management and third-party managers used by Wealth Management seek to obtain the best combination of net price and execution when effecting brokerage transactions for client accounts.

Wealth Management and third-party managers consider certain factors in analyzing overall execution quality. Such factors may include, but are not necessarily limited to: current transaction costs, the nature of the securities being purchased or sold and access to market participants, which may be limited due to thin trading activity for a particular security or unavailability of such securities; the size of the transaction; the desired timing of the transaction; the activity existing and anticipated in the market for the particular security; the execution, clearance, and settlement capabilities of the broker/dealer; and the research products, and other services provided for the benefit of Wealth Management and its clients.

When providing Investment Consulting services, Wealth Management and its IARs are not granted discretion to select brokerage firms or to purchase and sell securities. The client selects the brokerage firm and also decides upon the investments to purchase or sell.

### ***Item 13 - Review of Accounts and Reports***

Asset Management accounts receive a report of account transactions and positions at least quarterly from the account custodian.

Reports to clients receiving Investment Counseling services are provided as frequently as agreed upon in advance between Wealth Management and the client.

Wealth Management IAR's continuously monitor Asset Management portfolios to identify situations that may warrant either a more detailed review or specific action on behalf of a portfolio or client. Such reviews include, but are not necessarily limited to, suitability, inactivity and high concentrations in individual securities. In addition, Wealth Management IARs providing continuous and regular investment advice or investment supervisory services to clients, either alone or through a third-party manager, review client portfolios and communicate with clients regularly, as agreed upon by the client, for conformity with respective portfolios, specific investment objectives, changes in the client's financial condition, any reasonable restrictions to be imposed as to specific assets or types of assets to be included

or excluded from client portfolios, and all applicable rules and regulations. Wealth Management also examines investment results on a regular basis.

Wealth Management does not verify performance data provided to it by third parties, except to the extent of calculation methods and the related account holdings shown. Where appropriate, Wealth Management may change or recommend a change of the Wealth Management IAR for the client's portfolio.

Accounts are reviewed as frequently as set forth in the services agreement or as Wealth Management IARs deem appropriate. Reviews are often triggered by changes in client financial circumstances or objectives, client requests, market or sector trends, news about a security, or account review intervals established by Wealth Management.

Clients may contact Wealth Management or their account's third-party manager any time they wish.

#### ***Item 14 - Client Referrals and Other Compensation***

An affiliate of Wealth Management, John F Suby & Associates, S.C., is available to provide accounting and trustee services. To the extent that IARs of Wealth Management recommend the accounting and trust services of its affiliate, a conflict of interest exists since the affiliate and the IAR will receive additional compensation from the provision of these services.

#### ***Item 15 - Custody***

Wealth Management does not take custody of client funds or securities. These safekeeping services are typically provided to managed accounts by the brokerage firm processing the securities transactions ordered by Wealth Management.

To the extent a client receives any account or other investment ownership statement from Wealth Management or third-party managers, Wealth Management recommends the client carefully compare the report to the custodian's statements.

#### ***Item 16 - Investment Discretion***

Wealth Management and third-party managers provide investment advice to certain of its clients on a discretionary basis, pursuant to written authorization granted by those clients in the services agreement. Wealth Management also has discretion to hire and terminate third-party money managers, however the firm usually recommends the services of one manager which also acts as custodian.

Client account transactions are typically completed independently for each account. Wealth Management may, however, purchase or sell the same securities or instruments for a number of clients simultaneously. When appropriate, orders for the same security may be combined or "batched" to facilitate best execution and reduce brokerage commissions or other costs. Wealth Management affects batched transaction in a manner designed to ensure that no participating client is favored over any other client. Specifically, each client that participates in a batched order transaction will participate at the average price for all of Wealth Management's transactions effected to fulfill the batched order. Securities purchased or sold in batched transactions are typically allocated pro-rata to the participating client accounts in proportion to the size of the order placed for each account. Wealth Management may increase or decrease the amount of securities allocated to each account if necessary to avoid holding odd lot or small numbers of shares for particular clients, in situations where it maintains discretion. Additionally, if the clearing firm is unable to fully

execute a batched transaction and Wealth Management determines that it would be impractical to allocate a small number of securities among the accounts participating in the transaction on a pro-rata basis, Wealth Management may allocate such securities in a manner determined in good faith to be fair and equitable.

In those instances where an order error occurs, it is Wealth Management's and each third-party manager's policy to reverse the order to make the client's account whole.

#### ***Item 17 - Voting Proxies on Client Securities***

Wealth Management and its IARs do not vote proxies on behalf of clients who will receive such notices from their account's custodian. However, Wealth Management will assist clients by answering questions they may have regarding the nature of a proxy and voting procedures.

Wealth Management also does not take any action on legal notices it or a client may receive from issuers of securities held in a client's managed account. However, it is available to answer questions regarding such notices.

#### ***Item 18 - Financial Information***

Wealth Management does not receive fees of more than \$1,200 six months or more in advance, thus no financial statement for Wealth Management is attached. Wealth Management does not have any financial condition that is reasonably likely to impair its ability to meet its contracted commitment to any client.

## **POLICY REGARDING TREATMENT OF CONFIDENTIAL INFORMATION**

John F. Suby Wealth Management LLC (“Wealth Management”) strongly believes in protecting the confidentiality and security of information it collects about you. This notice describes the firm's privacy policy and describes how we treat the information we receive about you.

### Why We Collect And How We Use Information

When we evaluate your request for our services, provide investment advice to you and process transactions for your account, you typically provide us with certain personal information necessary to provide advice and process transactions. We may also use that information to offer you other services we provide which may meet your investment needs.

### What Information We Collect

The personal information we collect may include:

- Name and address;
- Social security or taxpayer identification number;
- Assets;
- Liabilities;
- Age;
- Occupation;
- Income;
- Account balances and positions;
- Investment objective and risk tolerance;
- Investment activity;
- Accounts at other institutions; and
- Other financial and personal information.

### How We Protect Information

We do not sell your personal information to anyone.

We treat information about current and former clients and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction at your request or providing our other services to you.

At your request, we may disclose information to attorneys, accountants, lawyers, securities professionals, and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

### We Limit How, and With Whom We Share Your Information

We do not sell your personal information to anyone. We may disclose information about you with your consent to our employees, affiliates, representatives and their affiliated businesses. We may disclose

information to nonaffiliated third parties when providing services to you. Nonaffiliated third parties may include retirement plan sponsors or third-party administrators, mutual fund companies, insurance companies and agencies, third-party advisory firms, banks, broker-dealers, transaction clearing firms, accountants, lawyers, securities professionals, companies that assist us with the maintenance of required records, and others to assist us, or them, in providing services to you.

We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may also make additional disclosures as permitted by law.

We will also share the information we received from you as required by laws and rules applicable to you, client account service providers, Wealth Management or Wealth Management's representatives.

If you close your account, in the process of transferring your accounts we may share your information with the new broker/dealer, investment adviser or custodian that you or your Wealth Management representative selects. Your Wealth Management representative may use the personal information about you in his or her files to provide you with information regarding the new firm, account transfer procedures and documents.

If you prefer that we not share your nonpublic personal information (except in those circumstances described above that are permitted or required by law), you may opt out at any time by notifying us not to share information. To notify us, please call us at (608) 273-3100. You will be asked to provide identifying client information at that time, including your Social Security Number.

For accounts that are held jointly by more than one client, any of the account holders may opt out on behalf of the other account holders. Any opt out instructions received from one owner of a joint account will apply also to individual accounts in that person's name, as well as other accounts held jointly by that person, based on the account information we have.

#### Access To And Correction Of Information

Generally, upon your written request, we will make available information for your review. Information collected in connection with, or in anticipation of, any claim or legal proceeding will not be made available.

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records.

#### Further Information

For additional information regarding our privacy policy, please contact Wealth Management at our office at 2901 West Beltline Highway, Suite 201, Madison, Wisconsin, 53713 or by calling (608) 273-3100.

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**SCHEDULE 2B - BROCHURE SUPPLEMENT**

**John F. Suby, CPA**  
June 27, 2012

**JOHN F. SUBY WEALTH MANAGEMENT, LLC**  
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Madison, WI 53713  
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**This brochure supplement provides information about John Suby that supplements the John F. Suby Wealth Management LLC (“Wealth Management”) brochure. You should have received a copy of that brochure. Please contact Ann Krumholz if you did not receive Wealth Management's brochure or if you have any questions about the contents of this supplement.**

**Additional information about John F. Suby (CRD No. 4335141) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Item 2 - Educational Background and Business Experience***

Mr. Suby received his Bachelor of Business Administration degree in Accounting in 1961 from the Spencerian College in Milwaukee, Wisconsin. In 1972 he received his Certified Public Accountant credential. He was employed by Suby, Von Haden & Associates, S.C. from 1974 until June 2009. He was also an investment adviser representative with SVA Wealth Management, Inc. from 1986 until June 2009. He formed John F. Suby & Associates, S.C. as well as John F Suby Wealth Management LLC in June 2009. John is a member of both the Wisconsin Institute of Certified Public Accountants and the American Institute of Certified Public Accountants. He is Vice Chairman of the Lutheran Social Services Foundation and is on the Finance Committee of the Lions Pride Campaign.

He has successfully passed the NASAA Series 65, Uniform Investment Adviser State Law Exam.

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include a minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

## ***Item 3 - Disciplinary Information***

Mr. Suby does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## ***Item 4 - Other Business Activities***

Mr. Suby is a shareholder and CPA for John F. Suby & Associates S.C. an accounting firm. He also acts as Trustee for various client accounts. He spends approximately 50% of his time on these activities.

## ***Item 5 - Additional Compensation***

Mr. Suby may receive compensation for his work with the accounting firm and as trustee as noted above, but he does not receive any additional economic benefit from third parties for providing advisory services through Wealth Management.

***Item 6 - Supervision***

Mr. Suby is supervised by Ann Krumholz, Wealth Management's Chief Compliance Officer. Her contact information can be found on the cover page of this Schedule 2B supplemental brochure.

Ms. Krumholz and other individuals as she may designate, will regularly review investment adviser activities to verify compliance with regulatory and internal procedures.



***Item 1 - Cover Page***

**SCHEDULE 2B - BROCHURE SUPPLEMENT**

**Ann L. Krumholz, CTFA**  
June 27, 2012

**JOHN F. SUBY WEALTH MANAGEMENT, LLC**  
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Phone (608) 273-3100 Fax (608) 273-3101  
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**This brochure supplement provides information about Ann Krumholz that supplements the John F. Suby Wealth Management LLC (“Wealth Management”) brochure. You should have received a copy of that brochure. Please contact Ann Krumholz if you did not receive Wealth Management's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Ann L. Krumholz (CRD No. 2428297) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Item 2 - Educational Background and Business Experience***

Ms. Krumholz graduated from Upper Iowa University with a BS degree in Accounting and Management. She has worked in trusts and investments for over 15 years. She received her Certified Trust and Financial Advisor (CTFA) designation in October 2001. Prior to Wealth Management, she was employed by Suby Von Haden & Associates, S.C. from 2003 through 2008 and by SVA Trust Company from 2008 to 2009. In July of 2009 she joined Wealth Management where she is the Manager and Chief Compliance Officer.

Ms. Krumholz has successfully passed the NASAA Series 65 Uniform Investment Adviser State Law Exam.

The CTFA designation signifies that an individual has attained comprehensive training in the following professional knowledge areas: Fiduciary & Trust Activities, Financial Planning, Tax Law & Planning, Investment Management and Ethics. The individual must pass a 200 question multiple choice exam covering the above topics. Have a minimum of 3 years experience in wealth management, provide a letter of recommendation from a manager; sign the ICB's Professional Code of Ethics statement and every 3 years complete continuing education credits.

## ***Item 3 - Disciplinary Information***

Ms. Krumholz does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## ***Item 4 - Other Business Activities***

Ms. Krumholz is not actively engaged in any other business activities.

## ***Item 5 - Additional Compensation***

Ms. Krumholz does not receive any additional economic benefit from third parties for providing advisory services.

## ***Item 6 - Supervision***

Ms. Krumholz is the Chief Compliance Officer for Wealth Management, therefore, she is responsible for her own supervision and that of the other investment adviser representatives of Wealth Management. Her contact information is available on the cover page of this brochure supplement.

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SCHEDULE 2B - BROCHURE SUPPLEMENT

**John F. Stoehr, CPA**

June 27, 2012

JOHN F. SUBY WEALTH MANAGEMENT, LLC

2901 West Beltline Highway, Suite 201

Madison, WI 53713

Phone (608) 273-3100 Fax (608) 273-3101

[www.thesubgroup.com](http://www.thesubgroup.com)

**This brochure supplement provides information about John Stoehr that supplements the John F. Suby Wealth Management LLC (“Wealth Management”) brochure. You should have received a copy of that brochure. Please contact Ann Krumholz if you did not receive Wealth Management's brochure or if you have any questions about the contents of this supplement.**

**Additional information about John F. Stoehr (CRD No. 4537861) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Item 2 - Educational Background and Business Experience***

Mr. Stoehr received his Bachelors Degree from the University of Wisconsin-Madison in 1974. He received his Master of Accounting from the University of Wisconsin-Madison in 1975 and his Certified Public Accountant credential in 1979. He was employed with Suby, Von Haden & Associates, S.C. from 1976 until June 2009, he was also an investment adviser representative with SVA Wealth Management, LLC from 1986 until June of 2009 when he joined both John F. Suby and Associates, S.C. and John F. Suby Wealth Management LLC.

Mr. Stoehr has successfully passed the NASAA Series 65, Uniform Investment Adviser State Law Exam.

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

## ***Item 3 - Disciplinary Information***

Mr. Stoehr does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## ***Item 4 - Other Business Activities***

Mr. Stoehr is a shareholder of and a CPA for John F. Suby & Associates S.C. an accounting firm. He spends approximately 95% of his time on these activities.

## ***Item 5 - Additional Compensation***

Mr. Stoehr may receive compensation for his work with the accounting firm as noted above, but he does not receive any additional economic benefit from third parties for providing advisory services through Wealth Management.

***Item 6 - Supervision***

Mr. Stoehr is supervised by Ann Krumholz, Wealth Management's Chief Compliance Officer. Her contact information can be found on the cover page of this Schedule 2B supplemental brochure.

Ms. Krumholz and other individuals as she may designate, will regularly review investment adviser activities to verify compliance with regulatory and internal procedures.

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**SCHEDULE 2B - BROCHURE SUPPLEMENT**

**Matthew J. Suby, CPA**  
June 27, 2012

**JOHN F. SUBY WEALTH MANAGEMENT, LLC**  
2901 West Beltline Highway, Suite 201  
Madison, WI 53713  
Phone (608) 273-3100 Fax (608) 273-3101  
[www.thesubygroup.com](http://www.thesubygroup.com)

**This brochure supplement provides information about Matt Suby that supplements the John F. Suby Wealth Management LLC (“Wealth Management”) brochure. You should have received a copy of that brochure. Please contact Ann Krumholz if you did not receive Wealth Management's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Matthew J. Suby (CRD No. 4537862) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Item 2 - Educational Background and Business Experience***

Mr. Suby received his Bachelor of Arts in Accounting from the College of St. Thomas in 1988. He received his Master of Taxation from the George Washington University School of Government and Business Administration in 1990. He was employed with Suby, Von Haden & Associates, S.C. from 1990 until June of 2009. He was also an investment adviser representative with SVA Wealth Management LLC from 1998 until June 2009, when he joined both John F. Suby and Associates, S.C. and John F Suby Wealth Management LLC.

Mr. Suby has successfully passed the NASAA Series 65, Uniform Investment Adviser State Law Exam.

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

## ***Item 3 - Disciplinary Information***

Mr. Suby does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## ***Item 4 - Other Business Activities***

Mr. Suby is a shareholder of and accountant for John F. Suby & Associates S.C. an accounting firm. He spends approximately 95% of his time on these activities.

## ***Item 5 - Additional Compensation***

Mr. Suby may receive compensation for his work with the accounting firm as noted above, but he does not receive any additional economic benefit from third parties for providing advisory services through Wealth Management.

***Item 6 - Supervision***

Mr. Suby is supervised by Ann Krumholz, Wealth Management's Chief Compliance Officer. Her contact information can be found on the cover page of this Schedule 2B supplemental brochure.

Ms. Krumholz and other individuals as she may designate, will regularly review investment adviser activities to verify compliance with regulatory and internal procedures.



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SCHEDULE 2B - BROCHURE SUPPLEMENT

**Amy E. Butrymowicz, CPA**  
June 27, 2012

JOHN F. SUBY WEALTH MANAGEMENT, LLC  
2901 West Beltline Highway, Suite 201  
Madison, WI 53713  
Phone (608) 273-3100 Fax (608) 273-3101  
[www.thesubygroup.com](http://www.thesubygroup.com)

**This brochure supplement provides information about Amy Butrymowicz that supplements the John F. Suby Wealth Management LLC (“Wealth Management”) brochure. You should have received a copy of that brochure. Please contact Ann Krumholz if you did not receive Wealth Management's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Amy E. Butrymowicz (CRD No. 6021651) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Item 2 - Educational Background and Business Experience***

Ms. Butrymowicz received her Bachelor of Science degree in Accounting from DePaul University where she was Beta Alpha Psi and a participant in the Strobel Honors program. She earned her CPA in 2002 and is a member of the American Institute of Certified Public Accountants and the Wisconsin Institute of Certified Public Accountants. She has spent the last decade working with restaurant owners and small businesses in bookkeeping, accounting and tax matters. She was a CPA with SVA Certified Public Accountants from November 2000 until June 2009 when she joined John F. Suby Associates S.C. as a shareholder and CPA. She became an Investment Adviser Representative with Wealth Management in January 2012.

Ms. Butrymowicz has successfully passed the NASAA Series 65, Uniform Investment Adviser State Law Exam.

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

## ***Item 3 - Disciplinary Information***

Ms. Butrymowicz does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## ***Item 4 - Other Business Activities***

Ms. Butrymowicz is also an owner of AJ Restaurant Accounting LLC which provides bookkeeping and payroll services to restaurant owners. She devotes 50% of her time to this activity. She is also a CPA with John F. Suby Associates, S.C.

## ***Item 5 - Additional Compensation***

Ms. Butrymowicz may receive compensation for her work with the accounting firms as noted above, but she does not receive any additional economic benefit from third parties for providing advisory services through Wealth Management.

***Item 6 - Supervision***

Ms. Butrymowicz is supervised by Ann Krumholz, Wealth Management's Chief Compliance Officer. Her contact information can be found on the cover page of this Schedule 2B supplemental brochure.

Ms. Krumholz and other individuals as she may designate, will regularly review investment adviser activities to verify compliance with regulatory and internal procedures.