

# Brochure Supplement

**John J. Brendel, Jr.**

64 Lyme Road, Hanover, NH 03755

*-and-*

58 North Main Street, Wolfeboro, NH 03894

(603) 643-4441

This brochure supplement provides information about John J. Brendel, Jr. that supplements the brochure of Brendel & Fisher Wealth Management, LLC (herein after "BFWM"), a copy of which you should have received. Please contact our Chief Compliance Officer if you did not receive Brendel & Fisher Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about John J. Brendel, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Brendel & Fisher Wealth Management, LLC, a Registered Investment Adviser**

69 Lyme Road, Hanover, NH 03755 | (603) 643-4441

## Item 2. Educational Background and Business Experience

Born 1960

### ***Post-Secondary Education:***

St. John's University – 1983, Bachelor Degree, Marketing

### ***Recent Business Background:***

Brendel & Fisher Wealth Management, LLC, Investment Adviser Representative, April 2011 – Present

Purshe Kaplan Sterling Investments, Inc., Registered Representative, April 2011 – Present

Morgan Stanley Smith Barney, Mass Transfer, June 2009 – April 2011

Citigroup Global Markets, Inc., Financial Advisor, December 2005 – April 2011

Advest, Inc., Investment Adviser Representative, June 1996 – December 2005

### ***Professional Designations:***

John J. Brendel, Jr. is an Accredited Asset Management Specialist<sup>SM</sup>.

The AAMS<sup>®</sup> designation is a credential awarded by the College for Financial Planning to individuals who complete the 12-module AAMS<sup>®</sup> Professional Education Program and successfully pass an examination. AAMS<sup>®</sup> designees must agree to abide by the College of Financial Planning's Standards of Professional Conduct and complete 16 hours of continuing education on a biannual basis.

For additional information about the designation(s) discussed above, please refer directly to the website of the organization that issues the designation.

## Item 3. Disciplinary Information

BFWM is required to disclose the facts of any legal or disciplinary events that are material to a client's evaluation of John J. Brendel, Jr. BFWM does not have any required disclosures to this Item.

## Item 4. Other Business Activities

BFWM is required to disclose if John J. Brendel, Jr. is engaged in any investment-related business or occupation, including whether the relationship creates a material conflict of interest or if John J. Brendel, Jr. receives compensation from the sale of securities products. BFWM is also required to disclose if John J. Brendel, Jr. is actively engaged in any other business that provides a substantial source of John J.

## Brendel & Fisher Wealth Management, LLC Disclosure Brochure

Brendel, Jr.'s income or involves a substantial amount of his time. Information in response to this Item is as follows:

### *Registered Representative of Broker Dealer*

In the event the client desires, the client can engage John J. Brendel, Jr. to render securities brokerage services under a commission arrangement. Under this arrangement, the client may implement securities transactions through John J. Brendel, Jr., in his individual capacity as a registered representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), an SEC registered broker-dealer and member of the FINRA. Brokerage commissions may be charged by *PKS* to effect these securities transactions and thereafter, a portion of these commissions may be paid by *PKS* to such John J. Brendel, Jr. Prior to effecting any transactions, the client is required to enter into a new account agreement with *PKS*. The brokerage commissions charged by *PKS* may be higher or lower than those charged by other broker-dealers. In addition, John J. Brendel, Jr., may also receive additional ongoing 12b-1 fees for mutual fund purchases from the mutual fund company during the period that the client maintains the mutual fund investment.

A conflict of interest exists to the extent that John J. Brendel, Jr. recommends the purchase of securities where he receives commissions or other additional compensation as a result of any recommendation. BFWM has procedures in place to ensure that any recommendations made by John J. Brendel, Jr. are in the best interest of clients regardless of any additional compensation earned.

For accounts covered by ERISA (and such others that BFWM, in its sole discretion deems appropriate), BFWM provides its investment advisory services on a fee-offset basis. In this scenario, BFWM may offset its fees by an amount equal to the aggregate commissions and 12b-1 fees earned by John J. Brendel, Jr. in his individual capacity as a registered representative of *PKS*.

### *Insurance Commission*

John J. Brendel, Jr. is also a licensed insurance agent with *PKS*, and in such capacity, may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that BFWM recommends the purchase of insurance products where John J. Brendel, Jr. receives insurance commissions or other additional compensation.

## **Item 5. Additional Compensation**

BFWM is required to disclose if John J. Brendel, Jr. receives an economic benefit outside of his regular compensation (i.e., salary plus regular bonus) for providing advisory services (e.g. additional bonus for referrals). BFWM has no disclosures related to this Item.

### Item 6. Supervision

Timothy F. Fisher is responsible for supervising John J. Brendel, Jr.'s advisory activities on behalf of BFWM. Timothy Fisher's phone number is (603) 643-4441.

BFWM supervises its personnel and the investments made in client accounts. BFWM monitors the investments recommended by John J. Brendel, Jr. to ensure those investments are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance as well as any restrictions requested by the client.

BFWM periodically reviews the advisory activities of John J. Brendel, Jr., which may include reviewing individual client accounts and correspondence (including emails) sent to and received by John J. Brendel, Jr.