

**Item 1: Cover Page for Part 2B of Form ADV:
Brochure Supplement
November 2016**

Dewey D. Steffen



GREAT LAKES

 **WEALTH** 

**22260 Haggerty Road, Suite 160
Northville, MI 48167**

**Firm Contact:
Michael Hartman
Chief Operating Officer & Chief Compliance Officer**

This brochure supplement provides information about Dewey D. Steffen that supplements our brochure. You should have received a copy of that brochure. Please contact Michael Hartman, Chief Compliance Officer, if you did not receive Great Lakes Wealth, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Dewey D. Steffen is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2: Educational Background & Business Experience

Dewey D. Steffen

Year of Birth: 1971

Educational Background:

- 1995: University of Michigan; Bachelor of Arts in Economics
- 1992: Schoolcraft College; Associate of Arts in Business Administration

Business Background:

- 07/2016 – Present Great Lakes Wealth, LLC; Chief Executive Officer & Investment Adviser Representative
- 07/2016 – Present Purshe Kaplan Sterling Investments; Registered Representative
- 02/2007 – 07/2016 UBS Financial Services, Inc.; First Vice President & Portfolio Manager
- 03/2001 – 02/2007 Citigroup Smith Barney, Inc.; First Vice President & Retirement Planning Specialist
- 03/1997 – 03/2001 Comerica Securities; Vice President & Senior Investment Consultant

Exams, Licenses & Other Professional Designations:

- 11/2010: Series 65 Exam
- 11/1997: MI Insurance Licensure
- 04/1996: Series 7 Exam
- 12/1995: Series 52 & 63 Exams

Item 3: Disciplinary Information

There are no legal or disciplinary events material to the evaluation of Dewey D. Steffen.

Item 4: Other Business Activities

Dewey D. Steffen is a licensed insurance agent. He may offer insurance products and receive normal and customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he and/or our supervised persons may earn.

Dewey D. Steffen is a registered representative of Purshe Kaplan Sterling Investments, member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Dewey Steffen may earn.

Item 5: Additional Compensation

Dewey D. Steffen does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Michael Hartman, Chief Compliance Officer of Great Lakes Wealth, LLC, supervises and monitors Dewey D. Steffen's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Hartman if you have any questions about Dewey D. Steffen's brochure supplement at (248) 378-1200.

Item 7: Requirements for State-Registered Advisers

Dewey D. Steffen has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

**Item 1: Cover Page for Part 2B of Form ADV:
Brochure Supplement
November 2016**

Michael Peter Hartman



**22260 Haggerty Road, Suite 160
Northville, MI 48167**

**Firm Contact:
Dewey D. Steffen
Chief Executive Officer**

This brochure supplement provides information about Michael Hartman that supplements our brochure. You should have received a copy of that brochure. Please contact, Dewey D. Steffen, if you did not receive Great Lakes Wealth, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Michael Hartman is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2: Educational Background & Business Experience

Michael P. Hartman

Year of Birth: 1977

Educational Background:

- 1997: Attended Michigan State University

Business Background:

- 07/2016 – Present Great Lakes Wealth, LLC; Chief Operating Officer & Chief Compliance Officer
- 07/2016 – Present Purshe Kaplan Sterling Investments; Registered Representative
- 06/2008 – 07/2016 UBS Financial Services, Inc.; Registered Representative & Investment Adviser Representative
- 01/2003 – 06/2008 Chase Investment Services, Inc.; Registered Representative

Exams, Licenses & Other Professional Designations:

- 08/2001: Life Accident & Health Insurance Licensure
- 07/2001: Series 66 Exam
- 04/2000: Series 24 Exam
- 10/1998: Series 63 Exam
- 09/1998: Series 7 Exam

Item 3: Disciplinary Information

Michael Hartman was involved in a customer dispute which was settled on August 14, 2013. Michael Hartman was also involved in a customer dispute that lead to FINRA arbitration which was settled on July 22, 2011. For additional information please use the following website: www.adviserinfo.sec.gov and search by CRD# 5387378.

Item 4: Other Business Activities

Michael Hartman is a licensed insurance agent. He may offer insurance products and receive normal and customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he and/or our supervised persons may earn.

Michael Hartman is a registered representative of Purshe Kaplan Sterling Investments, member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Michael Hartman may earn.

Item 5: Additional Compensation

Michael Hartman does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Dewey D. Steffen, Chief Executive Officer of Great Lakes Wealth, LLC, supervises and monitors Mr. Hartman's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Steffen if you have any questions about Mr. Hartman's brochure supplement at (248) 378-1200.

Item 7: Requirements for State-Registered Advisers

Michael Hartman has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

**Item 1: Cover Page for Part 2B of Form ADV:
Brochure Supplement
November 2016**

Carmela E. Eastin



GREAT LAKES

 **WEALTH** 

**22260 Haggerty Road, Suite 160
Northville, MI 48167**

**Firm Contact:
Michael Hartman
Chief Operating Officer & Chief Compliance Officer**

This brochure supplement provides information about Carmela Eastin that supplements our brochure. You should have received a copy of that brochure. Please contact Michael Hartman, Chief Compliance Officer, if you did not receive Great Lakes Wealth, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Carmela Eastin is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2: Educational Background & Business Experience

Carmela E. Eastin

Year of Birth: 1956

Educational Background:

- 1981: Central Michigan University; No Degree Earned

Business Background:

- 07/2016 – Present Great Lakes Wealth, LLC; Director of Operations & Investment Adviser Representative
- 07/2016 – Present Purshe Kaplan Sterling Investments; Registered Non-Representative
- 09/1993 – 07/2016 UBS Financial Services, Inc.; Sr. Registered Client Service Associate

Exams, Licenses & Other Professional Designations:

- 10/1997: Series 65 Exam
- 06/1994: Series 8 Exam
- 01/1993: Series 63 Exam
- 11/1991: Series 7 Exam

Item 3: Disciplinary Information

There are no legal or disciplinary events material to the evaluation of Carmela Eastin.

Item 4: Other Business Activities

Carmela Eastin is a licensed insurance agent. She may offer insurance products but does not receive customary fees as a result of insurance sales.

Item 5: Additional Compensation

Carmela Eastin does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Michael Hartman, Chief Compliance Officer of Great Lakes Wealth, LLC, supervises and monitors Carmela Eastin's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Hartman if you have any questions about Carmela Eastin's brochure supplement at (248) 378-1200.

Item 7: Requirements for State-Registered Advisers

Carmela Eastin has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, she has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.