## ITEM 1 - COVER PAGE

# ADV PART 2B BROCHURE

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This Form ADV 2B ("Brochure Supplement") provides information about the background and qualifications of Harvey Siegel (CRD #1072771). The information in this brochure supplements the Part 2A brochure of Apella Capital, LLC d/b/a Apella Wealth (hereinafter "Apella" or "firm"), which you should have received a copy of. Please get in touch with our Chief Compliance Officer at (860) 785-2260 or trichards@apellawealth.com if you did not receive Apella's Part 2A brochure or have any questions about the contents of this supplement. Additional information about Harvey Siegel is available on the SEC's website at www.adviserinfo.sec.gov.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

### HARVEY SIEGEL, CPA®

- CRD #: 1072771
- YEAR OF BIRTH: 1946

### EDUCATIONAL BACKGROUND:

- 1969: City University of New York; B.A.A. Accounting

### BUSINESS BACKGROUND:

- 2016 – Present: Apella; Partner, Senior Wealth Advisor
- 2016 – 2019: Symmetry Partners, LLC; Senior Financial Advisor
- 2004 – 2017: ARC Investment Planning & Management, Inc.; CEO & CCO
- 1987 – 2017: WS Securities Incorporated; Chief Executive Officer

### PROFESSIONAL DESIGNATIONS:

- CERTIFIED PUBLIC ACCOUNTANT (CPA®)[1]

#### CERTIFIED PUBLIC ACCOUNTANT ("CPA®") DESIGNATION MINIMUM QUALIFICATIONS[1]

The Certified Public Accountant (CPA®) Designation is issued by the Boards of Accountancy. Like regular accountants, CPAs can help organizations and individuals:

- record and organize financial information;
- analyze trends;
- make budgetary recommendations;
- prepare tax documents;
- perform internal audits;
- ensure all financial activities are compliant with local and federal regulations.

However, due to their training in the public sector, CPAs can do a few other things that regular accounts legally can't, such as:

- Representing clients during IRS audits;
- Perform external and public audits;
- Prepare audited financial statements for the Securities and Exchange Commission (SEC).

Each state has slightly different requirements that one must follow for CPA certification. These requirements are determined by the state's Board of Accountancy and The American Institute of Certified Public Accountants (AIPCA). To check the requirements of your state, please click here. To verify an individual's CPA status, please click here.

## ITEM 3: DISCIPLINARY INFORMATION

Registered investment advisers must disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Harvey Siegel has no history of any legal or disciplinary events deemed material to a client's consideration of Harvey Siegel to act as their investment adviser representative. FINRA's BrokerCheck® system and the Investment Adviser Public Disclosure system provides additional information regarding the registration and disciplinary history of Harvey Siegel. Please visit FINRA's BrokerCheck® system at https://brokercheck.finra.org or the IAPD system at www.adviserinfo.sec.gov for additional information.

## ITEM 4: OTHER BUSINESS ACTIVITIES

Harvey Siegel does not engage in any other investment-related business or occupation outside of their role with Apella. This means the supervised person devotes their full professional time to providing advisory services through Apella and has no other business interests, affiliations, or roles that could create a potential conflict of interest.

## ITEM 5: ADDITIONAL COMPENSATION

Harvey Siegel does not receive any economic benefit outside of the salaries and bonuses described in Item 4 of this brochure or on Form ADV Part 2A Items 10 and 12.

## ITEM 6: SUPERVISION

Harvey Siegel is supervised by Jason Gentile, the Regional Director. The Regional Director is responsible for overseeing the day-to-day advisory activities conducted by Harvey Siegel. The Regional Director conducts periodic reviews of the IAR's advisory work to ensure it is consistent with applicable regulatory requirements and the firm's compliance program.

Ultimate supervisory authority and responsibility for compliance matters rests with the firm's Chief Compliance Officer (CCO), Timothy Richards, who monitors the overall effectiveness of the firm's supervisory structure. The CCO may review the IAR's activities as part of the firm's broader compliance testing program, including reviews of client files, trade activity, and communications, as warranted Jason Gentile can be reached at 860-785-2260.