

*This brochure supplement provides information about Michael Maxwell Schindler that supplements the Ellsworth Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Michael Maxwell Schindler if you did not receive Ellsworth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Michael Maxwell Schindler is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Ellsworth Advisors, LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Michael Maxwell Schindler**

Personal CRD Number: 5151419

Investment Adviser Representative

Ellsworth Advisors, LLC  
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UPDATED: 07/12/2019

## Item 2: Educational Background and Business Experience

**Name:** Michael Maxwell Schindler      **Born:** 1987

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelors Accountancy, John Carroll University - 2009

#### **Professional Designations**

##### **CPFA - Certified Plan Fiduciary Advisor**

Federal law regulates standards of conduct for those who manage qualified retirement plans. Plan advisers who sell and service these plans must act in accordance with these basic fiduciary principles.

The Certified Plan Fiduciary Adviser (CPFA) credential demonstrates an adviser's knowledge of, expertise in, and commitment to working with retirement plans. Plan advisers who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities.

To attain designation of CPFA, an individual must:

- Education - The CPFA Coursework covers four key areas:
  1. ERISA Fiduciary Roles and Responsibilities
  2. ERISA Fiduciary Oversight
  3. ERISA Plan Investment Management
  4. ERISA Plan Management
- The CPFA exam includes 75 multiple choice questions for which a candidate will have 3 hours to complete.
- Continuing Education - In order to maintain your credential(s), you must earn 20 CE credits every two-year cycle. Two (2) of the 20 CE credits must be on ethics/professionalism topics.

## CRPC® - Chartered Retirement Planning Counselor<sup>SM</sup>

The CRPC program is developed with a focus on client-centered problem solving. The study program to become a CRPC covers the entire retirement planning process, including meeting multiple financial objectives, sources of retirement income, personal savings, employer-sponsored retirement plans, income taxes, retirement cash flow, asset management, estate planning and more. To earn the designation a candidate must:

- Successfully complete the program;
- Pass the final examination; and
- Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by:
  - Completing 16 hours of continuing education;
  - Paying a biennial renewal fee

### **Business Background:**

10/2018 – Present	Investment Adviser Representative Ellsworth Advisors, LLC
01/2015 – 10/2018	Financial Advisor Ellsworth Private Wealth Management
01/2015 – 10/2018	Registered Representative LPL Financial LLC
01/2015 – 10/2018	Investment Adviser Representative Stratos Wealth Partners, LTD
06/2010 - 01/2015	Financial Advisor Morgan Stanley

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

#### **Item 4: Other Business Activities**

Michael Maxwell Schindler is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Ellsworth Advisors, LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Ellsworth Advisors, LLC in such individual's outside capacities.

#### **Item 5: Additional Compensation**

Michael Maxwell Schindler does not receive any economic benefit from any person, company, or organization, other than Ellsworth Advisors, LLC in exchange for providing clients advisory services through Ellsworth Advisors, LLC.

#### **Item 6: Supervision**

As a representative of Ellsworth Advisors, LLC, Michael Maxwell Schindler is supervised by Michelle Schwab, the firm's Chief Compliance Officer. Michelle Schwab is responsible for ensuring that Michael Maxwell Schindler adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Michelle Schwab is (234) 901-2831.