

Item 1: Cover Page



This brochure supplement (Form ADV Part 2B - Individual Disclosure Brochure) provides information about a supervised employee of Ellsworth Advisors, LLC (CRD: 297464). You should have received either the Ellsworth Advisors, LLC Firm Brochure (Form ADV Part 2A) or the Wrap Fee Program Brochure (Form ADV Part 2A - Appendix 1). Please contact Michelle Schwab, Chief Compliance Officer if you did not receive these brochures or if you have any questions about the contents of those brochures or this supplement.

Additional information about Ellsworth Advisors LLC and **John Leo Dugan, II, CFP®, CPA Senior Vice President** is also available on the SEC's website at www.adviserinfo.sec.gov.



Brett David Baskin

CERTIFIED FINANCIAL PLANNER™

Certified Plan Fiduciary Advisor

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www.ellsworthadvisors.com

Item 2: Educational Background and Business Experience

Name:

Brett David Baskin

Born: September 1991

Educational Background:

The Ohio State University
Bachelor of Science in Business Administration Finance

Graduated: 2014

Business Experience:

Ellsworth Advisors, LLC
Senior Vice President

09/2018 – Present

Stratos Wealth Partners, LTD
Investment Advisor Representative

01/2017 – 09/2018

Ellsworth Private Wealth Management
Private Wealth Manager

12/2016 – 09/2018

Merrill Lynch
Financial Advisor

05/2015 – 12/2016

Professional Designations:

CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance

planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- ii Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

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.

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of Ellsworth Advisors, LLC or this supervised employee.

Item 4: Other Business Activities

Brett David Baskin 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 option to purchase products through other brokers or agents that are not affiliated with Ellsworth Advisors, LLC.

Item 5: Additional Compensation

Other than salary, annual bonuses, or regular bonuses, supervised employees of Ellsworth Advisors, LLC do not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Ellsworth Advisors, LLC.

Item 6: Supervision

All supervised employees of Ellsworth Advisors, LLC are supervised by Michelle Schwab, Chief Compliance Officer. Among her duties, is to review money movements, transaction history, and correspondence between clients and employees. On a case-by-case basis based on facts and circumstances, further review may be warranted.

Michelle Schwab,

Chief Compliance Officer

Phone: 234.901.2831

Email: mschwab@ellsworthadvisors.com