

Item 9 - Disciplinary Information

A. Criminal or Civil Actions

There are no criminal actions, or civil actions against Keeler & Nadler Family Wealth, its management or any of the Company's employees or Investment Adviser Representatives to report.

B. Administrative Proceedings

There are no administrative proceedings against Keeler & Nadler Family Wealth, its management, or any of the Company's employees or Investment Adviser Representatives to report.

C. Self-Regulatory Organization (SRO) Proceedings

There are no self-regulatory organization proceedings against Keeler & Nadler Family Wealth, its management or any of the Company's employees or Investment Adviser Representatives to report.

Item 10 - Other Financial Industry Activities and Affiliations

A. Registration as a Broker-Dealer or Broker-Dealer Representative

Keeler & Nadler Family Wealth is not a registered Broker-Dealer, nor does it have a pending application to become a broker-dealer. Neither the Company's management, its Investment Adviser Representatives nor its employees are registered as a broker-dealer nor do they have a pending application to become a broker-dealer.

Keeler & Nadler Family Wealth does have management personnel and Investment Adviser Representatives that are also dually registered as Registered Representatives of the unaffiliated Broker-Dealer, Purshe Kaplan Sterling Investments, Inc.

B. Registration as a Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor

Neither Keeler & Nadler Family Wealth, its management, employees nor its Investment Adviser Representatives are registered as or have pending applications to become a Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor.

C. Registration Relationships Material to this Advisory Business and Possible Conflicts of Interest

Neither Keeler & Nadler Family Wealth nor its management personnel have any material relationships or arrangements with any related person listed below:

- An investment company or other pooled investment vehicle (including a mutual fund, closed-end investment company, unit investment trust, private investment company or "hedge fund," and offshore fund);
- Futures commission merchant, commodity pool operator, or commodity trading advisor;
- Banking or thrift institution;
- Accountant or accounting firm;
- Insurance company or agency;
- Pension consultant;
- Real estate broker or dealer;

- Sponsor or syndicate of limited partnerships;
- Securities exchange, securities association, or alternative trading system;
- Broker-dealer, municipal securities dealer, or government securities dealer or broker, and
- Investment advisor or financial planner.

Keeler & Nadler Family Wealth, and its management personnel do have a material relationship with the related persons listed below:

- Lawyer or law firm.

Resch, Root, Philipps & Graham, LLC is a law firm which specializes in Estate Planning and Tax Minimization. William Root is an attorney and owner of Resch, Root, Philipps & Graham, LLC. Mr. Root is an Investment Advisor Representative for Keeler & Nadler Family Wealth. There may be times when a Client of the law firm or a Client from the Company is referred to the other depending upon the Client's needs. While these individuals endeavor at all times to put the interests of the Clients first, Clients should be aware that the receipt of compensation itself creates a conflict of interest, and may affect the judgment of these individuals when making recommendations.

Purshe Kaplan Sterling Investments, Inc. ("PKS"), an unaffiliated broker-dealer, provides securities clearing and custodial services to Keeler & Nadler Family Wealth's advisory Clients.

As of November 2014, the following individuals became Registered Representatives of Purshe Kaplan Sterling Investments, an unaffiliated Broker-Dealer: (1) Andrew P. Keeler, the Company's Owner, President, Chief Compliance Officer, and Investment Advisor Representative; (2) Richard D. Nadler, Investment Advisor Representative; and (3) Mark D. Beaver, an Investment Advisor Representative of the Company.

As Registered Representatives of PKS, conflicts of interest may arise in selling general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuities and variable life products to the Company's advisory Clients. Keeler & Nadler Family Wealth does not intend to pay brokerage commissions higher than those obtainable from other broker-dealers in return for research and brokerage products or services. Clients of Keeler & Nadler Family Wealth are free to implement investment advice through PKS. However, Clients should understand that, due to certain regulatory constraints, Keeler & Nadler Financial Planning and Wealth Management's Investment Advisor Representatives, in their capacity as a dually Registered Representatives of PKS, must place all purchases and sales of securities products in commission-based brokerage accounts through PKS or other approved institutions.

Keeler & Nadler Family Wealth has principal executive officers, and Investment Advisor Representatives that are also in their individual capacities licensed as insurance agents for various insurance companies. As such, these individuals will receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of the Company's advisory Clients.

D. Selection of Other Advisers or Managers and How This Adviser is Compensated for those Selections.

Keeler & Nadler Family Wealth does not utilize nor select other advisers or third-party managers. All assets are managed by the Company's personnel.