

Windle Wealth, LLC

5740 NW 132nd St.
Oklahoma City, OK 73142
windlewealth.com

Form ADV Part 2A – Firm Brochure

405-261-5202

dj@windlewealth.com

Dated: Feb 15th, 2018

This Brochure provides information about the qualifications and business practices of Windle Wealth, LLC, “Windle Wealth”. If you have any questions about the contents of this Brochure, please contact us at 405-261-5202. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Windle Wealth, LLC is registered as an Investment Adviser with the State of Oklahoma. Registration of an Investment Adviser does not imply any level of skill or training.

Additional information about Windle Wealth is available on the SEC’s website at www.adviserinfo.sec.gov which can be found using the firm’s identification number (CRD) 285653.

Item 2: Material Changes

Item 4: Advisory Business - As of 12/31/2017, Windle Wealth managed \$43,339,011 on a discretionary basis.

Item 3: Table of Contents

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Item 4: Advisory Business

Description of Advisory Firm

Windle Wealth, LLC is registered as an Investment Adviser with the State of Oklahoma and the State of Texas. We were founded in March 2014. Donald R. (“DJ”) Windle III is the principal owner of Windle Wealth. As of 12/31/2017 Windle Wealth managed \$43,339,011 on a discretionary basis.

Types of Advisory Services

Investment Management Services

We are in the business of managing client investment portfolios. Our firm provides continuous advice to our clients regarding the investment of client funds. Through personal discussions, we develop an investment plan that fits the needs of the client. The investment plan is then created and managed by our firm.

During our data-gathering process, we determine the client’s individual objectives, time horizons, goals, and liquidity needs. We may also review and discuss a client’s prior investment history, as well as family composition and background. After this evaluation, Windle Wealth will recommend assets to be invested in 1 or more of 3 different models. Model objectives are broadly defined as Preservation, Moderate, and Growth. Where appropriate, customization of the model chosen within the client portfolio may be needed to achieve the investment plan.

Account supervision is guided by the stated objectives of the client (e.g., Preservation, Moderate, Growth), as well as tax considerations. Clients may impose reasonable restrictions on investing in certain securities, types of securities, or industry sectors. Fees pertaining to this service are outlined in Item 5 of this brochure.

Financial Planning

Financial planning is a comprehensive evaluation of a client’s current and future financial state by using currently known variables to predict future cash flows, asset values and withdrawal plans. The key defining aspect of financial planning is that through the financial planning process, all questions, information and analysis will be considered as they impact and are impacted by the entire financial and life situation of the client. Clients utilizing this service will receive a written or an electronic report, providing the client with a detailed financial plan designed to achieve his or her stated financial goals and objectives.

The client always has the right to decide whether or not to act upon our recommendations. If the client elects to act on any of the recommendations, the client always has the right to affect the transactions through anyone of their choosing.

In general, the financial plan will address any or all of the following areas of concern. The client and advisor will work together to select the specific areas to cover. These areas may include, but are not limited to, the following:

- **College Savings:** Includes projecting the amount that will be needed to achieve college or other post-secondary education funding goals, along with advice on ways for you to save the desired amount. Recommendations as to savings strategies are included, and, if needed, we will review your financial picture as it relates to eligibility for financial aid or the best way to contribute to grandchildren (if appropriate).
- **Estate Planning:** This usually includes an analysis of your exposure to estate taxes and your current estate plan, which may include whether you have a will, powers of attorney, trusts and other related documents. Our advice also typically includes ways for you to minimize or avoid future estate taxes by implementing appropriate estate planning strategies such as the use of applicable trusts.

We always recommend that you consult with a qualified attorney when you initiate, update, or complete estate planning activities. We may provide you with contact information for attorneys who specialize in estate planning when you wish to hire an attorney for such purposes. From time-to-time, we will participate in meetings or phone calls between you and your attorney with your approval or request.

- **Financial Goals:** We will help clients identify financial goals and develop a plan to reach them. We will identify what you plan to accomplish, what resources you will need to make it happen, how much time you will need to reach the goal, and how much you should budget for your goal.
- **Insurance:** Review of existing policies to ensure proper coverage for life, health, disability, long-term care, liability, home and automobile.
- **Investment Analysis:** This may involve developing an investment plan to meet clients' financial goals and time horizon, providing information on investment vehicles and strategies, reviewing employee stock options, as well as assisting you in establishing your own investment account at a selected broker/dealer or custodian. The strategies

and types of investments we may recommend are further discussed in Item 8 of this brochure.

- **Retirement Planning:** Our retirement planning services typically include projections of your likelihood of achieving your financial goals, typically focusing on financial independence as the primary objective. For situations where projections show less than the desired results, we may make recommendations, including those that may impact the original projections by adjusting certain variables (e.g., working longer, saving more, spending less, taking more risk with investments).

If you are near retirement or already retired, advice may be given on appropriate distribution strategies to minimize the likelihood of running out of money or having to adversely alter spending during your retirement years.

- **Risk Management:** A risk management review includes a review of investment portfolio risks in addition to an analysis of your exposure to other major risks that could have a significantly adverse effect on your financial picture, such as premature death, disability, property and casualty losses, or the need for long-term care planning. Advice may be provided on ways to minimize such risks and about weighing the costs of purchasing insurance versus the benefits of doing so and, likewise, the potential cost of not purchasing insurance (“self-insuring”).

Client Tailored Services and Client Imposed Restrictions

We offer the same suite of services to all of our clients. However, specific client financial plans and their implementation are memorialized in a client Investment Policy Statement, which outlines information within the clients’ investment plan that is pertinent to the management of the client portfolio. Information that might be found within this Investment Policy Statement can be, but not limited to, information such as: client information (e.g., name, income, time horizon), model chosen for each account, goals of model, and restrictions placed upon the portfolio.

Wrap Fee Programs

We do not participate in wrap fee programs.

Item 5: Fees and Compensation

Please note, unless a client has received the firm's disclosure brochure at least 48 hours prior to signing the investment advisory contract, the investment advisory contract may be terminated by the client within five (5) business days of signing the contract without incurring any advisory fees and without penalty. How we are paid depends on the type of advisory service we are performing. Please review the fee and compensation information below.

Investment Management Services

Our standard advisory fee is based on the market value of the assets under management and is negotiated as a percentage with a max fee of 1.35%. In rare occasions we may negotiate a flat annual dollar amount when we feel it is more appropriate for the specific client.

The annual fees are pro-rated and generally paid in advance on a monthly basis. Some custodians may process annual fees quarterly, in which case it will be stated on the client application. No increase in the annual fee shall be effective without agreement from the client by signing a new agreement or amendment to their current advisory agreement.

Advisory fees are directly debited from client accounts, or the client may choose to pay by check. Accounts initiated or terminated during a calendar month/quarter will be charged a pro-rated fee based on the amount of time remaining in the billing period. An account may be terminated with written notice at least fifteen (15) calendar days in advance. Upon termination of the account, any unearned fee will be refunded to the client on a prorated basis.

Financial Planning Hourly Fee

Financial Planning fee is an hourly rate \$200 per hour, depending on complexity. The fee may be negotiable in certain cases and is due at the completion of the engagement. In the event of early termination by client, any fees for the hours already worked will be due.

Other Types of Fees and Expenses

Our fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses that may be incurred by the client. Clients may incur certain charges imposed by custodians, brokers, and other third parties such as custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual fund and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to our fee, and we shall not receive any portion of these commissions, fees, and costs.

Item 12 further describes the factors that we consider in selecting or recommending broker-dealers for client's transactions and determining the reasonableness of their compensation (e.g., commissions).

We do not accept compensation for the sale of securities or other investment products including asset-based sales charges or service fees from the sale of mutual funds.

Item 6: Performance-Based Fees and Side-By-Side Management

We do not offer performance-based fees.

Item 7: Types of Clients

We provide financial planning and portfolio management services to individuals, high net-worth individuals and corporations or other businesses.

We do not have a minimum account size requirement.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

We primarily utilize fundamental analysis.

Fundamental analysis involves analyzing individual companies and their industry groups, such as a company's financial statements, details regarding the company's product line, the experience, and expertise of the company's management, and the outlook for the company's industry. The resulting data is used to measure the true value of the company's stock compared to the current market value. The risk of fundamental analysis is that information obtained may be incorrect and the analysis may not provide an accurate estimate of earnings, which may be the basis for a stock's value. If securities prices adjust rapidly to new information, utilizing fundamental analysis may not result in favorable performance.

Material Risks Involved

All investing strategies we offer involve risk and may result in a loss of your original investment which you should be prepared to bear. Many of these risks apply equally to stocks,

bonds, commodities and any other investment or security. Material risks associated with our investment strategies are listed below.

Market Risk: Market risk involves the possibility that an investment's current market value will fall because of a general market decline, reducing the value of the investment regardless of the operational success of the issuer's operations or its financial condition.

Interest Rate Risk: Bond (fixed income) prices generally fall when interest rates rise, and the value may fall below par value or the principal investment. The opposite is also generally true: bond prices generally rise when interest rates fall. In general, fixed income securities with longer maturities are more sensitive to these price changes. Most other investments are also sensitive to the level and direction of interest rates.

Risks Associated with Securities

Apart from the general risks outlined above which apply to all types of investments, specific securities may have other risks.

Common stocks may go up and down in price quite dramatically, and in the event of an issuer's bankruptcy or restructuring could lose all value. A slower-growth or recessionary economic environment could have an adverse effect on the price of all stocks.

Corporate Bonds are debt securities to borrow money. Generally, issuers pay investors periodic interest and repay the amount borrowed either periodically during the life of the security and/or at maturity. Alternatively, investors can purchase other debt securities, such as zero coupon bonds, which do not pay current interest, but rather are priced at a discount from their face values and their values accrete over time to face value at maturity. The market prices of debt securities fluctuate depending on such factors as interest rates, credit quality, and maturity. In general, market prices of debt securities decline when interest rates rise and increase when interest rates fall. The longer the time to a bond's maturity, the greater its interest rate risk.

Municipal Bonds are debt obligations generally issued to obtain funds for various public purposes, including the construction of public facilities. Municipal bonds pay a lower rate of return than most other types of bonds. However, because of a municipal bond's tax-favored status, investors should compare the relative after-tax return to the after-tax return of other bonds, depending on the investor's tax bracket. Investing in municipal bonds carries the same general risks as investing in bonds in general. Those risks include interest rate risk, reinvestment risk, inflation risk, market risk, call or redemption risk, credit risk, and liquidity and valuation risk.

Exchange Traded Funds prices may vary significantly from the Net Asset Value due to market conditions. Certain Exchange Traded Funds may not track underlying benchmarks as expected.

Investment Companies Risk. When a client invests in open end mutual funds or ETFs, the client indirectly bears its proportionate share of any fees and expenses payable directly by those funds. Therefore, the client will incur higher expenses, many of which may be duplicative. In addition, the client’s overall portfolio may be affected by losses of an underlying fund and the level of risk arising from the investment practices of an underlying fund (such as the use of derivatives). ETFs are also subject to the following risks: (i) an ETF’s shares may trade at a market price that is above or below their net asset value; (ii) the ETF may employ an investment strategy that utilizes high leverage ratios; or (iii) trading of an ETF’s shares may be halted if the listing exchange’s officials deem such action appropriate, the shares are de-listed from the exchange, or the activation of market-wide “circuit breakers” (which are tied to large decreases in stock prices) halts stock trading generally. The Adviser has no control over the risks taken by the underlying funds in which clients invest.

Item 9: Disciplinary Information

Criminal or Civil Actions

Windle Wealth and its management have not been involved in any criminal or civil action.

Administrative Enforcement Proceedings

Windle Wealth and its management have not been involved in administrative enforcement proceedings.

Self-Regulatory Organization Enforcement Proceedings

Windle Wealth and its management have not been involved in legal or disciplinary events that are material to a client’s or prospective client’s evaluation of Windle Wealth or the integrity of its management.

Item 10: Other Financial Industry Activities and Affiliations

No Windle Wealth employee is registered, or have an application pending to register, as a broker-dealer or a registered representative of a broker-dealer.

No Windle Wealth employee is registered, or have an application pending to register, as a futures commission merchant, commodity pool operator or a commodity trading advisor.

Windle Wealth does not have any related parties. As a result, we do not have a relationship with any related parties.

Windle Wealth only receives compensation directly from clients. We do not receive compensation from any outside source. We do not have any conflicts of interest with any outside party.

Donald R. Windle III is licensed to sell life and health insurance and may engage in product sales with our clients, for which he/she will receive additional compensation. Any commissions received through life or health insurance sales do not offset advisory fees the client may pay for advisory services under Windle Wealth.

Recommendations or Selections of Other Investment Advisers

Windle Wealth does not recommend or select other investment advisers for its clients and does not have any other business relationships with other advisers.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

As a fiduciary, our firm and its associates have a duty of utmost good faith to act solely in the best interests of each client. Our clients entrust us with their funds and personal information, which in turn places a high standard on our conduct and integrity. Our fiduciary duty is a core aspect of our Code of Ethics and represents the expected basis of all of our dealings. The firm also adheres to the Code of Ethics and Professional Responsibility adopted by the CFP® Board of Standards Inc., and accepts the obligation not only to comply with the mandates and requirements of all applicable laws and regulations but also to take responsibility to act in an ethical and professionally responsible manner in all professional services and activities. Additionally Windle Wealth requires adherence to its Insider Trading Policy.

Code of Ethics Description

This code does not attempt to identify all possible conflicts of interest, and literal compliance with each of its specific provisions will not shield associated persons from liability for personal trading or other conduct that violates a fiduciary duty to advisory clients. A summary of the Code of Ethics' Principles is outlined below.

- Integrity - Associated persons shall offer and provide professional services with integrity.

- Objectivity - Associated persons shall be objective in providing professional services to clients.
- Competence - Associated persons shall provide services to clients competently and maintain the necessary knowledge and skill to continue to do so in those areas in which they are engaged.
- Fairness - Associated persons shall perform professional services in a manner that is fair and reasonable to clients, principals, partners, and employers, and shall disclose conflict(s) of interest in providing such services.
- Confidentiality - Associated persons shall not disclose confidential client information without the specific consent of the client unless in response to proper legal process, or as required by law.
- Professionalism - Associated persons' conduct in all matter shall reflect credit of the profession.
- Diligence - Associated persons shall act diligently in providing professional services.

We periodically review and amend our Code of Ethics to ensure that it remains current, and we require all firm access persons to attest to their understanding of and adherence to the Code of Ethics at least annually. Our firm will provide of copy of its Code of Ethics to any client or prospective client upon request.

Investment Recommendations Involving a Material Financial Interest and Conflicts of Interest

Neither our firm, its associates or any related person is authorized to recommend to a client, or effect a transaction for a client, involving any security in which our firm or a related person has a material financial interest, such as in the capacity as an underwriter, adviser to the issuer, etc.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

Our firm and its "related persons" may buy or sell securities similar to, or different from, those we recommend to clients for their accounts. In an effort to reduce or eliminate certain conflicts of interest involving the firm or personal trading, our policy may require that we restrict or prohibit associates' transactions in specific reportable securities transactions. Any exceptions or trading pre-clearance must be approved by the firm principal in advance of the transaction in an account, and we maintain the required personal securities transaction records per regulation.

Trading Securities at/Around the Same Time as Client's Securities

From time to time, our firm or its “related persons” may buy or sell securities for themselves at or around the same time as clients. We will not place a buy or sell trade for non-mutual fund securities on the same day as our clients for the same security and same side of the trade (e.g., buying the same security for an employee as a client) unless the trades are placed into block trades to mitigate any front running.

Item 12: Brokerage Practices

Factors Used to Select Custodians and/or Broker-Dealers

Windle Wealth, LLC does not have any affiliation with Broker-Dealers. Specific custodian recommendations are made to client based on their need for such services. We recommend custodians based on the reputation and services provided by the firm.

1. Research and Other Soft-Dollar Benefits

We currently do not receive soft dollar benefits.

2. Brokerage for Client Referrals

We receive no referrals from a broker-dealer or third party in exchange for using that broker-dealer or third party.

3. Clients Directing Which Broker/Dealer/Custodian to Use

We do recommend a specific custodian for clients to use, however, clients may custody their assets at a custodian of their choice. Clients may also direct us to use a specific broker-dealer to execute transactions. By allowing clients to choose a specific custodian, we may be unable to achieve most favorable execution of client transaction and this may cost clients' money over using a lower-cost custodian.

Aggregating (Block) Trading for Multiple Client Accounts

Generally, we combine multiple orders for shares of the same securities purchased for advisory accounts we manage (this practice is commonly referred to as “block trading”). We will then distribute a portion of the shares to participating accounts in a fair and equitable manner. The distribution of the shares purchased is typically proportionate to the size of the account, but it is not based on account performance or the amount or structure of management fees. Subject to our discretion, regarding particular circumstances and market conditions, when we combine orders, each participating account pays an average price per share for all transactions and pays a proportionate share of all transaction costs. Accounts owned by our firm or persons

associated with our firm may participate in block trading with your accounts; however, they will not be given preferential treatment.

Item 13: Review of Accounts

Client accounts with the Investment Management Service will be reviewed regularly on a quarterly basis by Donald R. Windle III, Wealth Manager and CCO. The account is reviewed with regards to the client's investment policies and appropriate model. Events that may trigger a special review would be unusual performance, addition or deletions of client-imposed restrictions, excessive draw-down, volatility in performance, or buy and sell decisions from the firm or per client's needs.

Clients will receive trade confirmations from the broker(s) for each transaction in their accounts as well as monthly or quarterly statements and annual tax reporting statements from their custodian showing all activity in the accounts, such as receipt of dividends and interest.

Windle Wealth will provide written reports to Investment Management clients on an annual basis. Reports will include information regarding holdings, account values and performance. We urge clients to compare these reports against the account statements they receive from their custodian. Windle Wealth will not automatically deliver periodic reports to financial planning clients, but will provide reports to financial planning clients upon request. These reports are customizable and can include information on holdings, account values and performance along with other information.

Item 14: Client Referrals and Other Compensation

We do not receive any economic benefit, directly or indirectly from any third party for advice rendered to our clients. Nor do we directly or indirectly compensate any person who is not advisory personnel for client referrals.

Item 15: Custody

Windle Wealth does not accept custody of client funds. Clients should receive at least quarterly statements from the broker dealer, bank or other qualified custodian that holds and maintains

client's investment assets. We urge you to carefully review such statements and compare such official custodial records to the account statements or reports that we may provide to you. Our statements or reports may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

For client accounts in which Windle Wealth directly debits their advisory fee:

- i. Windle Wealth will send a copy of its invoice to the custodian at the same time that it sends the client a copy.
- ii. The custodian will send at least quarterly statements to the client showing all disbursements for the account, including the amount of the advisory fee.
- iii. The client will provide written authorization to Windle Wealth, permitting them to be paid directly for their accounts held by the custodian.

Item 16: Investment Discretion

For those client accounts where we provide investment management services, we maintain discretion over client accounts with respect to securities to be bought and sold and the amount of securities to be bought and sold. Investment discretion is explained to clients in detail when an advisory relationship has commenced. At the start of the advisory relationship, the client will execute a Limited Power of Attorney, which will grant our firm discretion over the account. Additionally, the discretionary relationship will be outlined in the advisory contract and signed by the client. Clients may impose reasonable restrictions on investing in certain securities, types of securities, or industry sectors.

Item 17: Voting Client Securities

Windle Wealth does not vote Client proxies. Therefore, Clients maintain exclusive responsibility for: (1) voting proxies, and (2) acting on corporate actions pertaining to the Client's investment assets. The Client shall instruct the Client's qualified custodian to forward to the Client copies of all proxies and shareholder communications relating to the Client's investment assets. If the client would like our opinion on a particular proxy vote, they may contact us at the number listed on the cover of this brochure.

In most cases, you will receive proxy materials directly from the account custodian. However, in the event we were to receive any written or electronic proxy materials, we would forward them directly to you by mail, unless you have authorized our firm to contact you by electronic mail, in which case, we would forward you any electronic solicitation to vote proxies.

Item 18: Financial Information

Registered Investment Advisers are required in this Item to provide you with certain financial information or disclosures about our financial condition. We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to clients, and we have not been the subject of a bankruptcy proceeding.

We do not have custody of client funds or securities or require or solicit prepayment of more than \$500 in fees per client six months in advance.

Item 19: Requirements for State-Registered Advisers

Donald (“DJ”)R. Windle III

Born: 1982

Educational Background

- Master of Business Administration, 2010 - Southern Nazarene University – Oklahoma City, OK
- Bachelor of Psychology, 2007, University of Oklahoma – Norman, OK

Business Experience

- 03/2014 – Present, Windle Wealth, LLC, Wealth Manager and CCO
- 03/2014 – 12/2016, LPL Financial, Financial Advisor
- 03/2014 – 12/2016, Private Advisor Group, LLC, Investment Advisor Rep.
- 08/2008 – 03/2014, Edward Jones, Financial Advisor

Professional Designations, Licensing & Exams

CFP (Certified Financial Planner) ®: CFP® certificants must have a minimum of three years workplace experience in financial planning and develop their theoretical and practical financial planning knowledge by completing a comprehensive course of study approved by CFP® Board. They must pass a comprehensive 2-day, 10-hour CFP® Certification Examination that tests their ability to apply financial planning knowledge in an integrated format. As a final step to certification, CFP® practitioners agree to abide by a strict code of professional conduct.

Other Business Activities

Donald R. Windle III is an independent insurance agent. As such, Mr. Windle, in his separate capacity as an insurance agent, will be able to purchase insurance and insurance-related investment products (insurance) for your account, for which he will receive separate and customary compensation. While Mr. Windle endeavors at all times to put the interest of our clients first as part of our firm's fiduciary duty, you should be aware that the receipt of additional compensation itself creates a conflict of interest, and may affect their judgment when making recommendations. This activity accounts for approximately 5% of his time.

In addition, Mr. Windle is a partner in VF Group, LLC, a business that purchases rental real estate. This activity accounts for less than 1% of his time

Performance Based Fees

Windle Wealth is not compensated by performance-based fees.

Material Disciplinary Disclosures

No management person at Windle Wealth, LLC has ever been involved in an arbitration claim of any kind or been found liable in a civil, self-regulatory organization, or administrative proceeding.

Material Relationships That Management Persons Have with Issuers of Securities

Windle Wealth, LLC, nor Donald R. Windle III, have any relationship or arrangement with issuers of securities.

Windle Wealth, LLC

5740 NW 132nd St.
Oklahoma City, OK 73142
405-261-5202

Dated: Feb 15th, 2018

Form ADV Part 2B – Brochure Supplement

For

Donald (“DJ”) R. Windle III

Wealth Manager and Chief Compliance Officer

This brochure supplement provides information about Donald R. Windle III that supplements the Windle Wealth, LLC (“Windle Wealth”) brochure. A copy of that brochure precedes this supplement. Please contact Donald R. Windle III if the Windle Wealth brochure is not included with this supplement or if you have any questions about the contents of this supplement.

Additional information about Donald R. Windle III is available on the SEC’s website at www.adviserinfo.sec.gov which can be found using the identification number (CRD) 5581610.

Item 2: Educational Background and Business Experience

Donald (“DJ”) R. Windle III

Born: 1982

Educational Background

- Master of Business Administration, 2010 - Southern Nazarene University – Oklahoma City, OK
- Bachelor of Psychology, 2007, University of Oklahoma – Norman, OK

Business Experience

- 03/2014 – Present, Windle Wealth, LLC, Wealth Manager and CCO
- 03/2014 – 12/2016, LPL Financial, Financial Advisor
- 03/2014 – 12/2016, Private Advisor Group, LLC, Investment Advisor Rep.
- 08/2008 – 03/2014, Edward Jones, Financial Advisor

Other Business Activities

Donald R. Windle III is an independent insurance agent. As such, Mr. Windle, in his separate capacity as an insurance agent, will be able to purchase insurance and insurance-related investment products (insurance) for your account, for which he will receive separate and customary compensation. While Mr. Windle endeavors at all times to put the interest of our clients first as part of our firm's fiduciary duty, you should be aware that the receipt of additional compensation itself creates a conflict of interest, and may affect their judgment when making recommendations. This activity accounts for approximately 5% of his time.

In addition, Mr. Windle is a partner in VF Group, LLC, a business that purchases rental real estate. This activity accounts for less than 1% of his time.

Item 5: Additional Compensation

Donald R. Windle III does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Windle Wealth.

Item 6: Supervision

Donald R. Windle III, as Wealth Manager and Chief Compliance Officer of Windle Wealth, is responsible for supervision. He may be contacted at the phone number on this brochure supplement.

Item 7: Requirements for State Registered Advisers

Donald R. Windle III has NOT been involved in an arbitration, civil proceeding, self-regulatory proceeding, administrative proceeding, or a bankruptcy petition.