# Lee A. Fickes Professional Analysts, LLC

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Form ADV, Part 2B Brochure Supplement

March 27, 2019

Item 1 – Cover Page

This brochure supplement provides information about Lee A. Fickes that supplements the Professional Analysts, LLC. Brochure. You should have received a copy of that brochure. If you did not receive the Professional Analysts, LLC Brochure or if you have any questions about the contents of this supplement, please contact us at (989) 922-5564.

Additional information about Lee A. Fickes is available on the SEC's website at <a href="https://www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>. The searchable IARD/CRD number for Lee A. Fickes is 207148.

## Item 2 – Educational Background and Business Experience

Lee A. Fickes, CLU, ChFC, was born November 20, 1942 and graduated from Ferris State College, with a B.S. degree in Mathematics Education. He has also completed both the Chartered Financial Consultant (ChFC) and Chartered Life Underwriter (CLU) courses through the American College. To earn the Chartered Life Underwriter and the Chartered Financial Consultant designations, Lee Fickes successfully passed all courses in their respective programs; completed three years of qualified business experience; met ethical standards; agreed to comply with The American College Code of Ethics and Procedures and complete 30 hours of continuing education, respectively, every two years to maintain each designation.

He started off his career with The Equitable Life Assurance Society of the United States in 1967 and also became a Registered Representative of EQ Financial Consultants, Inc. Lee founded Professional Analysts, LLC in 1981 and in August 2002 became a Registered Representative of Triad Advisors, LLC. His responsibilities include being the Chief Compliance Officer, coordinating the Financial Planning process, providing and coordinating implementation and follow through and the general oversight of producing financial plans as well as overseeing all Asset Management services.

Lee has been active in the field of estate planning and insurance since 1967. He is a member of The Financial Planning Association and a member of the Society of Financial Service Professionals.

Lee founded PAI Tax Service in 1985, which does tax preparation and is not investment related.

#### Item 3 – Disciplinary Information

Lee does not have any disciplinary information to disclose. He has not been involved in any criminal or civil actions; administrative proceedings before the SEC or any other federal, state, foreign or self-regulatory authorities. His registration record contains no information that would question his reputation to his client's or prospective clients or the integrity of his practice. Additional information about Lee A. Fickes is available on the SEC's website at <a href="https://www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>. The searchable IARD/CRD number for Lee A. Fickes is 207148.

#### Item 4 – Other Business Activities

Lee is licensed to sell insurance products thru various insurance companies and securities thru various investment companies. This causes a conflict of interest because he may receive a commission for these services which are separate from the Asset Management and Financial Planning fees outlined in Professional Analysts, LLC brochure ADV Part 2A. Lee attempts to mitigate this conflict of interest to the best of his ability by placing the clients' interests ahead of his own. In all cases, commissions received are accepted on a fully disclosed basis. Clients are never obligated to purchase recommended insurance products. Clients are welcome to secure commission-based products from other service providers of their choice.

As noted in the Professional Analysts, LLC brochure Form ADV Part 2A, Item 10 and in the business background information in Item 2 above, Lee also provides tax preparation services through PAI Tax Service Inc. The time spent on this activity may vary throughout the year but will normally involve up to 5% of his time. Clients of Professional Analysts, LLC are welcome but never obligated to utilize PAI Tax Service Inc. tax service.

# Item 5 – Additional Compensation

Lee receives commissions for the sale of securities and insurance products as noted above. He does not receive any additional economic benefit from third parties for providing advisory services through Professional Analysts, LLC other than noted above and what is shown in ADV Part 2A Item 10.

#### Item 6 Supervision

Lee is an Investment Advisor Representative and the Chief Compliance Officer of Professional Analysts, LLC. As such, he has no internal supervision placed over him, but he is bound by the Firm's policies and procedures and Code of Ethics. Lee's contact information is on the cover page of this Form ADV Part 2B brochure supplement.

## Item 7 – Requirements for State-Regulated Advisers

Lee has never been the subject of a securities arbitration claim, any investment related legal complaint or a bankruptcy petition.