

***This brochure supplement provides information about Brad Richard Metz that supplements the ARK Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Brad Richard Metz, Managing Member, if you did not receive ARK Advisors, LLC's brochure or if you have any questions about the contents of this supplement.***

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

## **Ark Advisors, LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

### **Brad Richard Metz**

Personal CRD Number: 3037176

Investment Adviser Representative

ARK Advisors, LLC  
205 N Williamsburg Drive, Suite E  
Bloomington, Illinois, 61704  
(309) 661-2000  
[brad@arkadvisorsllc.com](mailto:brad@arkadvisorsllc.com)

January 1, 2024

## Item 2: Educational Background and Business Experience

**Name:** Brad Richard Metz                      **Born:** 1969

### **Education Background and Professional Designations:**

#### **Education:**

BA Accounting, Illinois Wesleyan University – 1991

#### **Designations:**

#### **ChFC® - Chartered Financial Consultant®**

##### ChFC® MINIMUM QUALIFICATIONS:

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

#### **CLU® - Chartered Life Underwriter®**

##### MINIMUM QUALIFICATIONS:

- Once fulfilling the ChFC® designation, one may also earn the CLU® designation by completing a minimum of three additional courses.
- For the CLU®, one must complete the remaining core courses and select from the electives list for that program if additional courses are still needed; electives in the ChFC® program may not be used as electives in the CLU® program.

#### **Business Background:**

04/2013 – Present	Managing Member and Investment Advisor Representative, ARK Advisors, LLC
05/2013 – 01/2017	Registered Representative Purshe Kaplan Sterling Investments
06/2011 – 05/2013	Independent Contractor First Midwest Securities
06/2009 – 08/2011	Registered Representative Woodbury Financial Services
06/2006 – 06/2009	Financial Advisor Edward Jones
01/1992 – 06/2006	Business Analyst State Farm

### **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**

Brad Richard Metz is a licensed insurance agent. From time to time, he may offer clients advice or products from this activity. 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. ARK Advisors, LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of ARK Advisors, LLC in such individual’s outside capacities.

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

Other than salary, annual bonuses, or regular bonuses, Brad Richard Metz does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through ARK Advisors, LLC.

## Item 6: Supervision

As the co-owner and representative of ARK Advisors, LLC, Brad Richard Metz supervises all duties and activities of the firm. Brad Richard Metz works closely with Patrick Andrew Vance, Managing Member. Brad Richard Metz's contact information is on the cover page of this disclosure document. Brad Richard Metz adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by Illinois securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Brad Richard Metz has **NOT** been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.

Brad Richard Metz has **NOT** been the subject of a bankruptcy petition in the past ten years.