



**James R. Femia**  
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**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about James R. Femia that supplements the Apella Capital, LLC, DBA Apella Wealth (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-785-2260 if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about James R. Femia is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## ***Educational Background and Business Experience***

Form ADV Part 2B, Item 2

### **James R. Femia**

*Year of Birth:* 1960

*Formal Education after High School:*

- Villanova University, B.A. Sociology, 1982

*Business Background for the Previous Five Years:*

- Mr. Femia is registered as an investment adviser representative of Apella.
- Mr. Femia was previously an investment adviser representative with Sentinel Pension Advisors, Inc.

*Certifications:*

- Mr. Femia earned the Chartered Retirement Planning Counselor designation, ("CRPC"). Issued by the College for Financial Planning. To earn the CRPC designation, candidates must: 1) Complete a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations; 2) pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations; 3) agree to adhere to Standards of Professional Conduct and are subject to a disciplinary process; and 4) Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.
- Mr. Femia earned the Accredited Asset Management Specialist, ("AAMS"). Issued by the College for Financial Planning. To earn the AAMS designation, candidates must: 1) Complete a self-study program, pass an exam and agree to comply with a code of ethics; 2) successful applicants earn the right to use the AAMS designation with their names for two years; and 3) every two years, AAMS professionals must complete 16 hours of continuing education and pay a fee to continue using the designation.
- Mr. Femia earned the Certified College Funding Specialists, ("CCFS"). Issued by the National Institute of Certified College Planners. To earn the CCFS designation, candidates must: 1) hold Professional financial certification, or hold financial license, or a combination of education and experience deemed satisfactory by the NICCP Advisory Council; 2) complete self-study course of 18-25 hours and complete exam for 3 modules; and 3) need 24 hours of continuing education per year.

## **Disciplinary Information**

Form ADV Part 2B, Item 3

Apella is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

### **James R. Femia**

No information is applicable to this item for Mr. Femia.

- A. Mr. Femia has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. was found to have been involved in a violation of an investment-related statute or regulation; or
  4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Mr. Femia has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
    - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
    - b) barring or suspending the supervised person's association with an investment-related business;
    - c) otherwise significantly limiting the supervised person's investment-related activities; or
    - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. Mr. Femia has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

Form ADV Part 2B, Item 3

D. Mr. Femia has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct

***Other Business Activities***

**James R. Femia**

Form ADV Part 2B, Item 4

Mr. Femia is not engaged in any other business activities.

### ***Additional Compensation***

Form ADV Part 2B, Item 5

#### **James R. Femia**

Mr. Femia does not receive any additional compensation such as, but not limited to, sales awards, other prizes and from any other source outside of Apella.

## ***Supervision***

Form ADV Part 2B, Item 6

Mr. Femia is supervised by Jason Gentile, Regional Director at Apella. Mr. Gentile can be reached at 860-785-2259.