



Mary Ellen DeRoche

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**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Mary Ellen DeRoche 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 Mary Ellen DeRoche is available on the SEC’s website at www.adviserinfo.sec.gov. His individual CRD number is 4741519.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

Mary Ellen DeRoche

Year of Birth: 1969

Formal Education after High School:

Bachelor's degree in management, with a concentration in Accounting, Bentley University.

Master's degree in business administration, Bentley University

Business Background for the Previous Five Years:

Barker Financial Group, Inc. Investment Advisor Representative	2019-2024
State Street Corporation Vice President, Wealth Manager Services	2006-2015
Barker Financial Group, Inc. Investment Adviser Representative	2003-2006
State Street Corporation Assistant Vice President	1993-2003

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.

No information is applicable to this item for Mary Ellen DeRoche.

- A. Mary Ellen DeRoche 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 plead 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 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. Mary Ellen DeRoche 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. Mary Ellen DeRoche 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.

- D. Mary Ellen DeRoche 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

Form ADV Part 2B, Item 4

Mary Ellen DeRoche has no other business activities.

Additional Compensation

Form ADV Part 2B, Item 5

Mary Ellen DeRoche 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

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