

**VAN METER ASSOCIATES, LLC**

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**12/7/2016**

**FORM ADV PART 2  
BROCHURE**

**This brochure provides information about the qualifications and business practices of Van Meter Associates, LLC. If you have any questions about the contents of this brochure, please contact us at 563-922-2060 or via e-mail at michael.vanmeter@gmail.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (“SEC”) or by any state securities authority.**

**Additional information about Van Meter Associates, LLC is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for Van Meter Associates, LLC is 134191.**

**Van Meter Associates, LLC is a Registered Investment Adviser with the State of Iowa. Registration with the SEC or any state securities authority does not imply a certain level of skill or training.**

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## Advisory Business

Form ADV Part 2A, Item 4

### **Description of Services and Fees**

Van Meter Associates, LLC is a registered investment adviser based in Delhi, Iowa. We are organized as an Illinois limited liability company and have been providing investment advisory services since 2006. Michael Van Meter and Clarke Van Meter are our owners. Currently, we offer the following investment advisory services, which are personalized to each individual client:

- **Portfolio Management Services**

The following paragraphs describe our services and fees. Please refer to the description of each investment advisory service listed below for information on how we tailor our advisory services to your individual needs. Also, you may see the term Associated Person throughout this Brochure. As used in this Brochure, our Associated Persons are our firm's officers, employees, and all individuals providing investment advice on behalf of our firm.

### **Portfolio Management Services**

We offer discretionary and non-discretionary portfolio management services to our clients and prospective clients. Our investment advice is tailored to meet our clients' needs and investment objectives. If you retain our firm for portfolio management services, we will meet with you to determine your investment objectives, risk tolerance, and other relevant information (the "suitability information") at the beginning of our advisory relationship. We will use the suitability information we gather from our initial meeting to develop a strategy that enables our firm to give you continuous and focused investment advice and/or to make investments on your behalf. As part of our portfolio management services, we may customize an investment portfolio for you in accordance with your risk tolerance and investing objectives. We may also invest your assets using a predefined strategy, or we may invest your assets according to one or more model portfolios developed by our firm. Once we construct an investment portfolio for you, or select a model portfolio, we will monitor your portfolio's performance on an ongoing basis, and will rebalance the portfolio as required by changes in market conditions and in your financial circumstances.

If you participate in our discretionary portfolio management services, we require you to grant our firm discretionary authority to manage your account. Discretionary authorization will allow our firm to determine the specific securities, and the amount of securities, to be purchased or sold, the broker-dealer to be used and the commission rates to be paid for your account without your approval prior to each transaction. Discretionary authority is typically granted by the investment advisory agreement you sign with our firm, a power of attorney, or trading authorization forms. You may limit our discretionary authority (for example, limiting the types of securities that can be purchased for your account) by providing our firm with your restrictions and guidelines in writing. If you enter into non-discretionary arrangements with our firm, we must obtain your approval prior to executing any transactions on your behalf.

We charge an annual fee ranging between 1.0% and 2.0% of your assets under management. However, our fees are negotiated from time to time on size of account and length of relationship. Our portfolio management fee is billed and payable quarterly in advance based on the value of your account at the end of the previous quarter. The services provided and fees are as follows:

<u>Portfolio Size</u>	<u>Annual Fee</u>
\$250,000 - \$500,000	2.00%
\$500,001 - \$1,000,000	1.50%
\$1,000,001 - \$2,000,000	1.00%
Over \$2,000,000	Negotiable

For those who qualify, we offer an option where your percentage of assets under management fee is reduced and you are charged a performance fee of 20% calculated on an annual basis. The performance fee will comply in full with Rule 205-3 under the Investment Advisers Act of 1940. As a result, we charge this

performance based fee to “qualified clients” having a net worth greater than \$1,500,000 or for whom we manage at least \$750,000, immediately after entering into an agreement for our services.

We will not require prepayment of a fee more than six months in advance and in excess of \$500 and all services will be completed within three months.

At our discretion, we may combine the account values of family members living in the same household to determine the applicable advisory fee. For example, we may combine account values for you and your minor children, joint accounts with your spouse, and other types of related accounts.

If the portfolio management agreement is executed at any time other than the first day of a calendar quarter, our fees will apply on a pro rata basis, which means that the advisory fee is payable in proportion to the number of days in the quarter for which you are a client.

We will deduct our fee directly from your account through the qualified custodian holding your funds and securities. We will deduct our advisory fee only when the following requirements are met:

- You provide our firm with written authorization permitting the fees to be paid directly from your account held by the qualified custodian.
- The qualified custodian agrees to send you a statement, at least quarterly, indicating all amounts dispersed from your account including the amount of the advisory fee paid directly to our firm.

We believe our advisory fees are competitive however comparable services may be obtained from other investment advisers at a lower price.

You may terminate the portfolio management agreement upon 30 days’ written notice to our firm. You will incur a pro rata charge for services rendered prior to the termination of the portfolio management agreement, which means you will incur advisory fees only in proportion to the number of days in the quarter for which you are a client. If you have pre-paid advisory fees that we have not yet earned, you will receive a prorated refund of those fees.

### ***Consulting Services***

We offer broad-based consultative financial planning services to our clients and prospective clients. Financial planning will typically involve providing a variety of advisory services to clients regarding the management of their financial resources based upon an analysis of their individual needs. If you retain our firm for financial planning services, we will meet with you to gather information about your financial circumstances and objectives. Once we review and analyze the information you provide to our firm, we may deliver a written plan to you, designed to help you achieve your stated financial goals and objectives. Financial plans may address areas, which include but are not limited to one or all of the following:

1. Retirement Planning – This involves advice with respect to alternatives and techniques for accumulating wealth for retirement income or advice regarding the appropriate allocation of assets following retirement.
2. Investment Planning/Asset Allocation – This involves advice with respect to asset allocation and investment income accumulation techniques. We may evaluate your existing investments’ economic and tax characteristics as well as their suitability for meeting your objectives.

Financial plans are based on your financial situation at the time we present the plan to you, and on the financial information you provide to our firm. You must promptly notify our firm if your financial situation, goals, objectives, or needs change.

You are under no obligation to act on our financial planning recommendations. Should you choose to act on any of our recommendations, you are not obligated to implement the financial plan through any of our other investment advisory services. Moreover, you may act on our recommendations by placing securities transactions with any brokerage firm.

The above described services will be offered to all clients and will be provided on an hourly fee basis in accordance with the following fee schedule:

- **Hourly Fees:** We charge a negotiable hourly fee of \$250 for any one of the above listed services. The amount of time spent will depend on the complexity of the request. We require that you pay an initial retainer equal to one-half of the estimated fee in advance of services rendered with the remaining amount due upon completion. An approximate range of hours for consulting services will usually vary from 1 to 20 hours. In the event more consulting hours are required for a specific project, you will be notified in advance. We may also charge you an hourly fee for performing duties associated with ongoing maintenance of an account.

We will not require prepayment of a fee more than six months in advance and in excess of \$500 and all services will be completed within three months

You may terminate the financial planning agreement upon 30 days' written notice to our firm. You will incur a pro rata charge for services rendered prior to the termination of the agreement. If you have pre-paid advisory fees that we have not yet earned, you will receive a prorated refund of those fees.

#### ***Types of Investments***

We primarily offer advice on equity securities as well as exchange traded funds. We may also advise you on, warrants, corporate debt securities, foreign issuers, investment company securities (mutual fund shares) commercial paper, certificates of deposit, municipal securities, U.S. Government securities, and options contracts on securities.

You may request that we refrain from investing in particular securities or certain types of securities. You must provide these restrictions to our firm in writing.

#### ***Assets Under Management***

As of December 31, 2015, we manage \$20,456,000 in client assets on a discretionary basis.

### ***Fees and Compensation***

Form ADV Part 2A, Item 5

Please refer to the "Advisory Business" section in this Brochure for information on our advisory fees, fee deduction arrangements, and refund policy according to each service we offer.

#### ***Additional Fees and Expenses***

As part of our investment advisory services, we may invest, or recommend that you invest in mutual funds and exchange traded funds. The fees that you pay to our firm for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds or exchange traded funds (described in each fund's prospectus) to their shareholders. These fees will generally include a management fee and other fund expenses. You will also incur transaction charges and/or brokerage fees when purchasing or selling securities. These charges and fees are typically imposed by the broker-dealer or custodian through which your account transactions are executed. We do not share in any portion of the brokerage fees/transaction charges imposed by the broker-dealer or custodian. To fully understand the total cost you will incur, you should review all the fees charged by mutual funds, exchange traded funds, our firm, and others. For information on our brokerage practices, please refer to the "Brokerage Practices" section of this Brochure.

#### ***Compensation for the Sale of Securities or Other Investment Products***

Our Firm, Michael Van Meter, and Clarke Van Meter are not compensated for the sale of securities or other investment related products except as disclosed in this Brochure.

Any material conflicts of interest between you and our firm, or our employees are disclosed in this Brochure. If at any time, additional material conflicts of interest develop, we will provide you with written notification of the material conflicts of interest or an updated Brochure.

## ***Types of Clients***

Form ADV Part 2A, Item 7

We offer investment advisory services to individuals and corporations.

We generally require a minimum of \$500,000 to open and maintain an advisory account, but such amount is at the discretion of the advisor.

## ***Methods of Analysis, Investment Strategies and Risk of Loss***

Form ADV Part 2A, Item 8

### ***Our Methods of Analysis and Investment Strategies***

We may use one or more of the following methods of analysis or investment strategies when providing investment advice to you:

- **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.
- **Long Term Purchases** – securities purchased with the expectation that the value of those securities will grow over a relatively long period of time, generally greater than one year.
- **Short Term Purchases** – securities purchased with the expectation that they will be sold within a relatively short period of time, generally less than one year, to take advantage of the securities' short-term price fluctuations.
- **Margin Transactions** – a securities transaction in which an investor borrows money to purchase a security, in which case the security serves as collateral on the loan.
- **Options Trading**- a securities transaction that involves buying or selling (writing) an option. If you write an option, and the buyer exercises the option, you are obligated to purchase or deliver a specified number of shares at a specified price at the expiration of the option regardless of the market value of the security at expiration of the option. Buying an option gives you the right to purchase or sell a specified number of shares at a specified price until the date of expiration of the option regardless of the market value of the security at expiration of the option.

Our investment strategies and advice may vary depending upon each client's specific financial situation. As such, we determine investments and allocations based upon your predefined objectives, risk tolerance, time horizon, financial horizon, financial information, liquidity needs, and other various suitability factors. Your restrictions and guidelines may affect the composition of your portfolio.

Margin accounts present special risks because you can lose more money than you deposit in your account. Additionally, the custodian can force the sale of securities in your account and can sell securities without contacting you.

The trading of options may be highly speculative and may entail more risk than those present when investing in other types of securities. Prices of options are generally more volatile than prices of other types of securities. When trading in options, you may run the risk of losing the entire investment in a relatively short period of time. In more risky options strategies, an investor could theoretically have an unlimited risk of loss.

We may use short-term trading (in general, selling securities within 30 days of purchasing the same securities) as an investment strategy when managing your account(s). Short-term trading is not a fundamental part of our overall investment strategy, but we may use this strategy occasionally when we determine that it is suitable given your stated investment objectives and tolerance for risk.

Our strategies and investments may have unique and significant tax implications. However, unless we specifically agree otherwise, and in writing, tax efficiency is not our primary consideration in the management of your assets. Regardless of your account size or any other factors, we strongly recommend that you continuously consult with a tax professional prior to and throughout the investing of your assets.

Moreover, as a result of revised IRS regulations, custodians and broker-dealers will begin reporting the cost basis of equities acquired in client accounts on or after January 1, 2011. Your custodian will default to the FIFO accounting method for calculating the cost basis of your investments. You are responsible for contacting your tax advisor to determine if this accounting method is the right choice for you. If your tax advisor believes another accounting method is more advantageous, please provide written notice to our firm immediately and we will alert your account custodian of your individually selected accounting method. Please note that decisions about cost basis accounting methods will need to be made before trades settle, as the cost basis method cannot be changed after settlement.

***Risk of Loss***

Investing in securities involves risk of loss that you should be prepared to bear. We do not represent or guarantee that our services or methods of analysis can or will predict future results, successfully identify market tops or bottoms, or insulate clients from losses due to market corrections or declines. We cannot offer any guarantees or promises that your financial goals and objectives will be met. Past performance is in no way an indication of future performance.

***Recommendation of Particular Types of Securities***

As disclosed under the "Advisory Business" section in this Brochure, we primarily recommend equity securities and Exchange Traded Funds (ETFs) for client investments. You should be advised that investing in these types of securities involves risks including the occurrence of a severe market decline in one or more financial markets, risk of economic contraction or decline and inflation or deflation. When appropriate, we may recommend "no-load" mutual funds to you in order to minimize your costs.

Mutual funds and exchange traded funds are professionally managed collective investment systems that pool money from many investors and invest in stocks, bonds, short-term money market instruments, other mutual funds, other securities or any combination thereof. The fund will have a manager that trades the fund's investments in accordance with the fund's investment objective. While mutual funds and ETFs generally provide diversification, risks can be significantly increased if the fund is concentrated in a particular sector of the market, primarily invests in small cap or speculative companies, uses leverage (i.e., borrows money) to a significant degree, or concentrates in a particular type of security (i.e., equities) rather than balancing the fund with different types of securities. Exchange traded funds differ from mutual funds since they can be bought and sold throughout the day like stock and their price can fluctuate throughout the day. The returns on mutual funds and ETFs can be reduced by the costs to manage the funds. Also, while some mutual funds are "no load" and charge no fee to buy into, or sell out of, the fund, other types of mutual funds do charge such fees which can also reduce returns. Mutual funds can also be "closed end" or "open end". So-called "open end" mutual funds continue to allow in new investors indefinitely which can dilute other investors' interests.

***Disciplinary Information***

Form ADV Part 2A, Item 9

Van Meter Associates, LLC, Michael Van Meter and Clarke Van Meter have no disciplinary information to disclose.

### ***Other Financial Industry Activities and Affiliations***

Form ADV Part 2A, Item 10

Michael Van Meter and Clarke Van Meter have no other financial industry activities or affiliations.

### ***Code of Ethics, Participation or Interest in Client Transactions and Personal Trading***

Form ADV Part 2A, Item 11

#### ***Description of Our Code of Ethics***

We strive to comply with applicable laws and regulations governing our practices. Therefore, our Code of Ethics includes guidelines for professional standards of conduct for our Associated Persons. Our goal is to protect your interests at all times and to demonstrate our commitment to our fiduciary duties of honesty, good faith, and fair dealing with you. All of our Associated Persons are expected to adhere strictly to these guidelines. Our Code of Ethics also requires that certain persons associated with our firm submit reports of their personal account holdings and transactions to a qualified representative of our firm who will review these reports on a periodic basis. Persons associated with our firm are also required to report any violations of our Code of Ethics. Additionally, we maintain and enforce written policies reasonably designed to prevent the misuse or dissemination of material, non-public information about you or your account holdings by persons associated with our firm.

Our Code of Ethics is available to you upon request. You may obtain a copy of our Code of Ethics by contacting Michael Van Meter, at 563-922-2060 or via e-mail at michael.vanmeter@gmail.com.

#### ***Personal Trading Practices***

Our firm or persons associated with our firm may buy or sell securities for you at the same time we or persons associated with our firm buy or sell such securities for our own account. We may also combine our orders to purchase securities with your orders to purchase securities ("block trading"). Please refer to the "Brokerage Practices" section in this Brochure for information on our block trading practices.

A conflict of interest exists in such cases because we have the ability to trade ahead of you and potentially receive more favorable prices than you will receive. To mitigate this conflict of interest, it is our policy that neither our Associated Persons nor we shall have priority over your account in the purchase or sale of securities.

### ***Brokerage Practices***

Form ADV Part 2A, Item 12

We maintain relationships with several broker-dealers. While you are free to choose any broker-dealer or other service provider, we recommend that you establish an account with a brokerage firm with which we have an existing relationship. We believe that recommended broker-dealers provide quality execution services for our clients at competitive prices. Price is not the sole factor we consider in evaluating best execution. We also consider the quality of the brokerage services provided by recommended broker-dealers, including the value of research provided, the firm's reputation, execution capabilities, commission rates, and responsiveness to our clients and our firm.

In selecting or recommending a broker-dealer, we will consider the value of research and additional brokerage products and services a broker-dealer has provided or will provide to our clients and our firm. The research products and services that we may receive from brokerage firms may include financial publications, information about particular companies and industries, research software, and other products or services that provide lawful and appropriate assistance to the firm in the performance of our investment decision-making responsibilities. Such research products and services are provided to all investment advisers who utilize these



firms, and are not considered to be paid for with soft dollars. However, the commissions charged by a particular broker for a particular transaction, or set of transactions, may be greater than the amounts another broker who did not provide research services or products might charge.

Because such services could be considered to provide a benefit to our firm, we may have a conflict of interest in directing your brokerage business. We could receive benefits by selecting a particular broker-dealer to execute your transactions, and the transaction compensation charged by that broker-dealer might not be the lowest compensation we might otherwise be able to negotiate.

***Brokerage for Client Referrals***

We do not receive client referrals from broker-dealers in exchange for cash or other compensation, such as brokerage services or research.

***Directed Brokerage***

In limited circumstances, and at our discretion, some clients may instruct our firm to use one or more particular brokers for the transactions in their accounts. If you choose to direct our firm to use a particular broker, you should understand that this might prevent our firm from aggregating trades with other client accounts or from effectively negotiating brokerage commissions on your behalf. This practice may also prevent our firm from obtaining favorable net price and execution. Thus, when directing brokerage business, you should consider whether the commission expenses, execution, clearance, and settlement capabilities that you will obtain through your broker are adequately favorable in comparison to those that we would otherwise obtain for you. Clients are encouraged to discuss available alternatives with their advisory representative.

***Block Trades***

Generally, for discretionary accounts, the Firm will aggregate orders with respect to the same security purchased for different clients. When orders are aggregated, each participating account receives the average share price for the transaction and bears a proportionate share of all transaction costs, based upon each account's participation in the transaction, subject to the Firm's discretion depending on factual or market conditions. Clients participating in block trading may include proprietary or related accounts. Such accounts are treated as client accounts and are neither given preferential nor inferior treatment versus other client accounts. Allocations of orders among client accounts must be made in a fair and equitable manner.

The Firm generally aggregates client transactions for discretionary accounts, but it may not aggregate transactions for non-discretionary accounts. Accordingly, clients are hereby advised that non-discretionary accounts may receive different prices for the same securities transactions than discretionary accounts. Additionally, clients who enter non-discretionary arrangements with the Firm may not be able to buy and sell the same quantities of securities and may be charged higher commissions or fees than clients who enter into discretionary arrangements.

***Review of Accounts***

Form ADV Part 2A, Item 13

***Review of Accounts***

Michael Van Meter and Clarke Van Meter will monitor portfolio management accounts on a continuous basis and will conduct an internal review of accounts on at least a monthly basis. Triggering factors that may stimulate a review include, but are not limited to:

- significant market corrections,
- large deposits or withdrawals from an account,
- substantial changes in the value of a client's portfolio,
- a change in your investment objectives,
- year-end tax planning, and/or,
- security specific events.

We will review and update financial plans upon your request. Reviews and updates to a written financial plan may be provided at no additional charge if you have retained us to provide portfolio management services. Otherwise, we will charge you the then current hourly rate.

**Reports to Clients**

We will provide you with statements and information on your account holdings upon your request. In addition, you will receive statements directly from the account custodian(s) on a monthly basis. Additionally, where a TPA is used, the clients will receive quarterly performance reports from the TPA.

**Client Referrals and Other Compensation**

Form ADV Part 2A, Item 14

**Compensation for Client Referrals**

We do not compensate non-employee (outside) consultants, individuals, and/or entities (solicitors) for client referrals.

**Other Compensation**

Michael Van Meter and Clarke Van Meter do not receive any other compensation for providing investment advice other than as described in this Brochure.

**Custody**

Form ADV Part 2A, Item 15

We do not have physical custody of any of your funds and/or securities. Your funds and securities will be held with a bank, broker-dealer, or other independent qualified custodian. We directly debit your account(s) for the payment of our advisory fees. This ability to deduct our advisory fees from your accounts causes our firm to exercise limited custody over your funds or securities. You will receive account statements from the independent qualified custodian(s) holding your funds and securities at least quarterly. The account statements from your custodian(s) will indicate the amount of our advisory fees deducted from your account(s) each billing period. You should compare the account statement received from the custodian with any statements you receive from us.

If you have a question regarding your custodial statement or did not receive your statement, please contact Michael Van Meter at 563-922-2060 or via e-mail at michael.vanmeter@gmail.com.

**Investment Discretion**

Form ADV Part 2A, Item 16

Before we can buy or sell securities on your behalf, you must first sign our discretionary management agreement, a power of attorney, and/or trading authorization forms.

You may grant our firm discretion over the selection and amount of securities to be purchased or sold for your account(s), the broker-dealer to be used and the commission rates to be paid without obtaining your consent or

approval prior to each transaction. You may specify investment objectives, guidelines, and/or impose certain conditions or investment parameters for your account(s). For example, you may specify that the investment in any particular stock or industry should not exceed specified percentages of the value of the portfolio and/or restrictions or prohibitions of transactions in the securities of a specific industry or security. Please refer to the "Advisory Business" section in this Brochure for more information on our discretionary management services.

If you enter into non-discretionary arrangements with our firm, we will obtain your approval prior to the execution of any transactions for your account(s).

### ***Voting Client Securities***

Form ADV Part 2A, Item 17

We will not vote proxies on behalf of your advisory accounts. If you own shares of common stock or mutual funds, you are responsible for exercising your right to vote as a shareholder.

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 any electronic solicitation to vote proxies.

### ***Financial Information***

Form ADV Part 2A, Item 18

We do not have any financial condition that is reasonably likely to impair our ability to meet contractual commitments to you.

### ***Additional Information***

#### ***Your Privacy***

We view protecting your private information as a top priority. Pursuant to applicable privacy requirements, we have instituted policies and procedures to ensure that we keep your personal information private and secure.

We do not disclose any nonpublic personal information about you to any nonaffiliated third parties, except as permitted by law. In the course of servicing your account, we may share some information with our service providers, such as transfer agents, custodians, broker-dealers, accountants, consultants, and attorneys.

We restrict internal access to nonpublic personal information about you to employees who need that information in order to provide products or services to you. We maintain physical and procedural safeguards that comply with regulatory standards to guard your nonpublic personal information and to ensure our integrity and confidentiality. We will not sell information about you or your accounts to anyone. We do not share your information unless it is required to process a transaction, at your request, or required by law.

You will receive a copy of our privacy notice prior to or at the time you sign an advisory agreement with our firm. Thereafter, we will deliver a copy of the current privacy policy notice to you on an annual basis. Please contact Michael Van Meter at 563-922-2060 or via e-mail at [michael.vanmeter@gmail.com](mailto:michael.vanmeter@gmail.com) if you have any questions regarding this policy.

***Trade Errors***

In the event a trading error occurs in your account, our policy is to restore your account to the position it should have been in had the trading error not occurred. Depending on the circumstances, corrective actions may include canceling the trade, adjusting an allocation, and/or reimbursing the account.

**MICHAEL VAN METER**

**VAN METER ASSOCIATES, LLC**

**Office Address:**

**311 Franklin Street  
DEHLI, IA 52223**

**Mailing Address:**

**PO Box 375  
DELHI, IA 52223**

**563-922-2060**

**michael.vanmeter@gmail.com**

**12/7/2016**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Michael Van Meter that supplements Van Meter Associates, LLC's brochure. You should have received a copy of that Brochure. Please contact Michael Van Meter at 563-922-2060 or via e-mail at michael.vanmeter@gmail.com if you did not receive Van Meter Associates, LLC's brochure or if you have any questions about the contents of this Supplement.**

**Additional information about Michael Van Meter is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Mr. Van Meter's CRD number is 818964.**

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

Michael Van Meter, Year of Birth: 1938

### **EDUCATION:**

Michael Van Meter graduated from the University of Iowa with a bachelor of arts degree.

### **BUSINESS BACKGROUND:**

June 1, 2005 to present:

Principal of Van Meter Associates, LLC

Oct. 2003 to June 2005:

Consultant, WB Capital Management, Inc.

July 1998 to Oct. 2003:

Managing Partner, Executive Vice President, VMF Capital

1989 to 1998:

Senior Vice President and Portfolio Manager, AEGON USA Investment Management, Inc.

1982 to 1989:

President, Perpetual Investment Advisors

1975 to 1982:

Vice President, SCI Capital Management

During this 41 year period, he served primarily as a portfolio manager of a Large Cap Value Balanced Strategy. Initiated by him in 1982 and managed by him through September 2003 when VMF Capital was sold to WB Capital Management. During the 1982 to 1989 period, he was also responsible for the client portfolio management operation of AEGON USA Investment Management. This leadership responsibility included all aspects of managing and growing a registered investment advisory firm.

Perpetual Investment Advisors was a start-up which evolved to an operational portfolio management firm based around the Balanced Strategy referred to above.

### **EXAMINATION/PROFESSIONAL DESIGNATION:**

Series 65

## ***Disciplinary Information***

Michael Van Meter has no disciplinary information to disclose.

## ***Other Business Activities***

Michael Van Meter does not participate in any other business activity.

## ***Additional Compensation***

Michael Van Meter does not receive any additional compensation beyond the fee-based compensation he

receives and as described in this Brochure supplement.

### ***Supervision***

Michael Van Meter is a principal of the firm and is not supervised by other persons.

### ***Requirements for State-Registered Advisers***

Form ADV Part 2B, Item 7

Michael Van Meter has never been the subject of a bankruptcy petition, arbitration claim or any disclosable regulatory, civil or administrative proceeding.

**CLARKE J. VAN METER**

**VAN METER ASSOCIATES, LLC**

**Office Address:**

**311 Franklin Street  
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DELHI, IA 52223  
563-564-2313**

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**12/7/2016**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Clarke J. Van Meter that supplements Van Meter Associates, LLC's brochure. You should have received a copy of that Brochure. Please contact Clarke J. Van Meter at 563-564-2313 or via e-mail at [Clarke.vanmeter@gmail.com](mailto:Clarke.vanmeter@gmail.com) if you did not receive Van Meter Associates, LLC's brochure or if you have any questions about the contents of this Supplement.**

**Additional information about Clarke Van Meter is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Mr. Van Meter's CRD number is 2421172.**



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

Clarke J. Van Meter, Year of Birth: 1963

#### **EDUCATION:**

Clarke Van Meter graduated from the University of Iowa with a bachelor of arts degree.

#### **BUSINESS BACKGROUND:**

June 1, 2005 to present:

Principal of Van Meter Associates, LLC

June, 2004 to June, 2005:

Self-Employed Exempt Advisor, Portfolio Management

May 1998 to Dec. 2003:

Registered Representative of Nations Financial Group, Inc.

Jan. 1994 to April 1998:

Registered Representative of AEGON USA Securities, Inc.

During this 22 year period he has explored technical disciplines to enhance portfolio risk, management. His work applies a technical filter to the results of fundamental analysis to make broad changes in the risk profile of portfolios over time.

#### **EXAMINATION/PROFESSIONAL DESIGNATION:**

Series 65

### ***Disciplinary Information***

Clarke Van Meter has no disciplinary information to disclose.

### ***Other Business Activities***

Clarke Van Meter does not participate in any other business activity.

### ***Additional Compensation***

Clarke Van Meter does not receive any additional compensation beyond the fee-based compensation he receives and as described in this Brochure supplement.

***Supervision***

Clarke Van Meter is a principal of the firm and is not supervised by other persons.

***Requirements for State-Registered Advisers***

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Clarke Van Meter has never been the subject of a bankruptcy petition, arbitration claim or any disclosable regulatory, civil or administrative proceeding.