



**Item 1 – Cover Page**

**Required Disclosure:** This brochure supplement provides information about Kevin P. Ellis that supplements the brochure for Envision Financial LLC. You should have received a copy of that brochure. Please contact Envision Financial LLC if you did not receive the brochure for Envision Financial LLC or if you have any questions about the contents of this supplement.

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

KEVIN P. ELLIS  
FOUNDING PARTNER,  
PRESIDENT & CHIEF COMPLIANCE OFFICER

ENVISION FINANCIAL LLC  
375 BISHOPS WAY, SUITE 232  
BROOKFIELD, WI 53005

PHONE: (262) 354-7155

[www.EnvisionFinancial-LLC.com](http://www.EnvisionFinancial-LLC.com)

Brochure Supplement Date: September 18, 2023

**Item 2 – Educational Background and Business Experience**

Kevin P. Ellis, born in 1965

*University of Wisconsin, Madison – BBA, Finance & Investment Banking (1988)*

*University of Wisconsin, Madison – BBA, Accounting (1988)*

*Envision Financial LLC – Founding Partner, President, Chief Compliance Officer (June 2021 - Present)*

*Vantage Financial LLC – Senior Wealth Advisor (November 2020 – May 2021)*

Provided investment advisory, financial planning, tax, and trust administration services to retirees, affluent individuals, corporate executives and closely-held business owners

*Kyle Financial Services, Inc. - President (February 2001 – November 2020)*

Oversaw all aspects of SEC registered investment advisory and financial planning business; provided investment advisory, financial planning, tax, and trust administration services to retirees, affluent individuals, corporate executives and closely-held business owners

*Deloitte & Touche, LLP - Senior Manager (October 1994 – January 2001)*

Led the financial counseling practice of the Milwaukee office; provided investment advisory, financial planning and tax services to retirees, affluent individuals, corporate executives and closely-held business owners

*Price Waterhouse, LLP – Manager (January 1989 – October 1994)*

Provided tax and financial counseling services to affluent individuals, corporate executives and closely-held business owners

*Certified Financial Planning Practitioner (CFP® Practitioner)*

- Requires a bachelor's degree as well as an education requirement involving mastery of principles of financial planning, investment planning, income and estate tax planning, retirement planning, employee benefit planning and insurance and risk management (CPA license holders may waive the education requirements)
- Requires passing a 10-hour examination taken over two days (the passing rate for the exam was 57% when Kevin Ellis passed in 1997)
- Requires three years of work experience in financial planning
- Requires 30 hours of continuing education, including 2 hours of ethics, every two years

*Certified Public Accountant (CPA®)*

- Requires an undergraduate degree in accounting with a minimum of 150 credit hours
- Requires passing a 14-hour, four-part examination
- Requires passing an ethics examination
- Requires at least one year of experience in public accounting
- Requires 80 hours of continuing education, including 3 hours of ethics, every two years

*Series 63 License (1998); Series 65 License (1998)*

*Member AICPA, WICPA*



## Form ADV Part 2 B

### **Item 3 – Disciplinary Information**

**NONE – no history of discipline**

### **Item 4 – Other Business Activities**

**NONE – no other investment-related business activities**

### **Item 5 – Additional Compensation**

**NONE – no compensation from sources other than clients**

### **Item 6 – Supervision**

**Kevin P. Ellis is the Founding Partner, President, and Chief Compliance Officer of Envision Financial LLC. Kevin’s partner, Joshua J. Palleon, serves as Chief Investment Officer. Kevin and Josh both have trading authority, and Kevin and Josh both review each trade order for any trades that have been placed. As such, Kevin and Josh mutually supervise each other with respect to trading. Kevin and Josh can be reached at (262) 354-7155.**



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**Additional information about Joshua J. Palleon is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**JOSHUA J. PALLEON  
PARTNER, CHIEF INVESTMENT OFFICER**

**ENVISION FINANCIAL LLC  
375 BISHOPS WAY, SUITE 232  
BROOKFIELD, WI 53005**

**PHONE: (262) 354-7155**

**[www.EnvisionFinancial-LLC.com](http://www.EnvisionFinancial-LLC.com)**

**Brochure Supplement Date: September 18, 2023**

**Item 2 – Educational Background and Business Experience**

**Joshua J. Palleon, born in 1976**

***Marquette University – MBA, Finance (2002)***

***University of Wisconsin, Oshkosh – BBA, Finance & Marketing (1999)***

***Envision Financial LLC – Partner, Chief Investment Officer (September 2023 - Present)***

***BMO Wealth Management U.S.***

**– Managing Director, Investment Strategy (December 2017 – September 2023)**

**Member of investment leadership team, portfolio asset management committee, asset allocation working group, equity model working group and investment strategies implementation working group. Provided management of teams across investment portfolio strategy and research, including fixed income and equity research, fixed income portfolio management, equity and fixed income trading, centralized portfolio management solutions, and structured product delivery. Delivered investment advisory and wealth planning services to select key client relationships for high net worth investors.**

**– Regional Director, Investments (November 2011 – December 2017)**

**Member of investment leadership team, portfolio asset management committee, investment strategy team and asset allocation committee. Managed investment team of Senior Portfolio Managers and Associate Portfolio Managers and provided oversight of investment delivery (including asset allocation and strategy implementation), performance execution, compliance adherence, and investment communication across the Northern States Region. Delivered investment advisory and wealth planning services to select key client relationships for high net worth investors.**

**– Senior Portfolio Manager, Vice President (February 2004 – November 2011)**

**Created and implemented investment solutions and custom portfolio strategies for high net worth individuals and families, institutions, and not-for-profit clients with various investment objectives utilizing equity, fixed income, cash and alternative investments. Delivered investment advisory and wealth planning services.**

***Strong Capital Management***

**– Investment Advisor (June 1999 – February 2004)**

**Provided investment advisory services, client service and sales, brokerage, and trading for mass affluent and high net worth individuals and families.**

***Chartered Financial Analyst (CFA®)***

- **Requires completion of a three-part exam in sequential order with each exam building on the prior level and becoming increasingly complex with a core of ethics and professional standards across all levels**
- **Requires completion of a bachelor’s degree or equivalent program and have received a degree from the college/university**
- **Requires a combination of 4,000 hours of work experience and/or higher education that was acquired over a minimum of three sequential years and achieved by the date of registering for the Level 1 exam.**

- Requires experience must be directly involved with the investment decision-making process or producing a work product that informs or adds value to that process.
- Requires professional references in support of membership application that shares information on work experience and professional character
- Curriculum topics include ethics and professional standards, quantitative methods, economics, financial reporting and analysis, corporate finance, equity investments, fixed income, derivatives, alternative investments, portfolio management and wealth planning, private wealth, and private markets

*Series 65 License (2001)*

*Member of CFA Institute and CFA Society of Milwaukee*

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NONE – no history of discipline

**Item 4 – Other Business Activities**

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**Item 5 – Additional Compensation**

NONE – no compensation from sources other than clients

**Item 6 – Supervision**

Joshua J. Palleon is a Partner and the Chief Investment Officer of Envision Financial LLC. Kevin P. Ellis is the founding Partner, President, and Chief Compliance Officer of Envision Financial LLC. Josh and Kevin both have trading authority, and Josh and Kevin both review each trade order for any trades that have been placed. As such, Kevin and Josh mutually supervise each other with respect to trading. Kevin and Josh can be reached at (262) 354-7155.