

*This brochure supplement provides information about Stephan Todd Day that supplements the Horizon Financial Services, LLC brochure. You should have received a copy of that brochure. Please contact Stephan Todd Day, Investment Adviser Representative if you did not receive Horizon Financial Services, LLC's brochure or if you have any questions about the contents of this supplement.*

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

**Horizon Financial Services, LLC**  
Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Stephan Todd Day**  
Personal CRD Number: 2694751  
Investment Adviser Representative

Horizon Financial Services, LLC  
3880 Vest Mill Road, Suite 100  
Winston-Salem, North Carolina, 27103  
(336) 659-7060  
Todd.day@horizonfs.com

March 7, 2017

## Item 2: Educational Background and Business Experience

**Name:** Stephan Todd Day

**Born:** 1966

### Education Background and Professional Designations:

#### Education:

BS Business Administration, High Point University - 1992  
MBA Portfolio Management, Wake Forest University - 2002

#### Business Background:

07/2011 - Present	Investment Adviser Representative Horizon Financial Services, LLC
03/2010 - 10/2011	Manager Larmore Landscape Assoc.
08/2008 - 12/2009	Manager Custom Plant Scapes
07/2007 - 08/2008	Owner/Operator Carolina Custom Landscapes
02/2007 - 07/2007	Employee Whisper Pines
11/2006 - 02/2007	Agent Honda of Lake Norman
4/2006 - 11/2006	Employee The Byrd Group
01/2004 - 11/2005	Financial Advisor Banc of America Investments
02/2002 - 01/2004	Investment Management Advisor II Wachovia Securities
11/1998 - 07/2001	Financial Advisor Deutsche Banc Alex Brown

### **Item 3: Disciplinary Information**

Mr. Day's registration was suspended on March 5, 2009 for failure to satisfactorily respond to a FINRA request to provide information concerning the status of compliance with regards to a bonus awarded by Banc of America and not paid back. Mr. Day satisfactorily responded to FINRA and the settlement agreement was executed between Mr. Day and Merrill Lynch, Pierce, Fenner & Smith, Inc. (formerly known as Banc of America) and the suspension was lifted on September 6, 2012.

### **Item 4: Other Business Activities**

Stephan Todd Day is not involved in any other business or investment related activity (outside of this firm).

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

Other than salary, annual bonuses, regular bonuses, Stephan Todd Day does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Horizon Financial Services, LLC.

### **Item 6: Supervision**

As a representative of Horizon Financial Services, LLC, Stephan Todd Day works closely with the supervisor, John Joseph Brais, Managing Member, and all advice provided to clients is reviewed by the supervisor prior to implementation. Stephan Todd Day's contact information is on the cover page of this disclosure document.

### **Item 7: Requirements For State Registered Advisers**

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

- A. Stephan Todd Day failed to satisfactorily respond to FINRA request to provide information concerning the status of compliance with regards to a bonus awarded by Banc of America and not paid back. Mr. Day satisfactorily responded to FINRA and a settlement agreement was executed between Mr. Day and Merrill Lynch, Pierce, Fenner & Smith, Inc. (formerly known as Banc of America) and the suspension was lifted on

September 6, 2012. To find out more information about this disclosure you may go to [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

- B. Stephan Todd Day has NOT been the subject of a bankruptcy petition at any time.