



**Kaine Capital LLC**

Charlotte, NC  
28273

(508)-828-0325

Form ADV part 2  
Client Brochure  
May 8<sup>th</sup> 2023

This brochure provides information about the qualifications and business practices of Kaine Capital LLC.  
If you have any questions about the contents of this brochure, please contact us at (704)-228 9548  
or at [www.skaine@kainecapital.com](mailto:www.skaine@kainecapital.com).

The information in this brochure has not been approved or verified by the  
United States Securities and Exchange Commission by any state securities authority.  
Additional information about Kaine Capital LLC also is available on the SEC's website at  
[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

While the firm and its associates may be registered and/or licensed within a particular jurisdiction, that registration  
and/or licensing in itself does not imply an endorsement by any regulatory authority, nor does it imply a certain  
level of skill or training on the part of the firm or its associated personnel.

Kaine Capital LLC

Firm Disclosure Brochure - Form ADV Part 2A

1

May 30th, 2023

[www.kainecapital.com](http://www.kainecapital.com)

[helpcenter@kainecapital.com](mailto:helpcenter@kainecapital.com)

## **Item 2: Material Changes**

Kaine Capital LLC may at any time update this document and either send a copy of its updated brochure or provide a summary of material changes to its brochure and an offer to send an electronic or hard copy form of the updated brochure. Clients are also able to download this brochure from the SEC's Website: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) or may contact our firm at (704)-228 9548 to request a copy at any time.

## **Item 3: Table Of Contents**

<b>Topic</b>	<b>Page</b>
<b>Item 1: Cover Page</b> -----	1
<b>Item 2: Material Changes</b> -----	2
<b>Item 3: Table of contents</b> -----	3
<b>Item 4: Advisory Business</b> -----	4
A. Description of the firm -----	5
B. Advisory services offered -----	5
C. Tailoring advisory services to clients' needs and restrictions -----	10
D. Wrap fee programs -----	10
E. Assets under management -----	10
<b>Item 5: Fees and Compensation</b> -----	11
A. Compensation and schedule of fees -----	11
B. Billing method -----	11
C. Other fees and expenses -----	13
D. Prepayment of advisory fees -----	13
<b>Item 6: Performance-based fees and side-by-side management</b> -----	14
<b>Item 7: Type of clients</b> -----	14
<b>Item 8: Methods of Analysis, investment strategies and risk of loss</b> -----	14
A. Methods of analysis and investment strategies -----	14
B. Risk of loss -----	14
<b>Item 9: Disciplinary information</b> -----	15
<b>Item 10: Other financial industry activities and affiliations</b> -----	16
A. Broker-Dealer registration -----	16
B. Other registrations -----	16
C. Material relationships with related persons -----	16
D. Selection of other advisors -----	17
<b>Topic</b>	<b>Page</b>
<b>Item 11: Code of ethics, participation or interest in client transactions and personal trading</b>	
A. Code of ethics -----	17
B. Investment recommendations involving a material financial interest and conflicts of interest -----	17
C. Conflicts in connection with timing or personal trading -----	17
<b>Item 12: Brokerage practices</b> -----	18
A. Selection of broker-dealers -----	18
B. Brokerage of client referrals -----	19
C. Directed brokerage -----	19
D. Aggregating securities transaction -----	19
E. Best execution -----	19

<b>Item 13: Review of accounts</b> .....	20
A. Periodic reviews .....	20
B. Non-periodic reviews .....	20
C. Regulars reports provided to clients .....	20
<b>Item 14: Client referrals and other compensation</b> .....	21
A. Economics benefits from external sources and potential conflicts of interest .....	21
B. Compensation to non-advisory personnel for client referrals .....	21
<b>Item 15: Custody</b> .....	22
<b>Item 16: Investment discretion</b> .....	22
<b>Item 17: Voting client securities</b> .....	22
<b>Item 18: Financial information</b> .....	22
<b>Item 19: Requirements for state-registered advisors</b> .....	23
<b>Form ADV part 2B- Brochure supplement (Advisory personnel)</b> .....	24

## **Item 4: Advisory Business**

### **A. Firm description**

Kaine Capital LLC is a North Carolina Limited Liability Company Formed in 2022. A single Member LLC, Kaine Capital LLC is founded by Shennelleh Kaine who also acts as the firm's Chief Compliance Officer.

Kaine Capital LLC is not a subsidiary nor is it controlled by any other financial services industry entity.

Additional information about Ms. Kaine may be found in the accompanying Form ADV Part 2B.

### **B. Advisory services offered**

Kaine Capital LLC provides a broad range of financial planning and accounting services to individuals. These solutions include target areas such as: *Various goals and savings management, Various debt management, college and other education funding, retirement planning, tax services, estate planning & risk management, investment planning, and budget management.* Kaine Capital LLC also provides ongoing and continuous supervision of clients' portfolios through its' investment management services offering.

During or prior to your first meeting with our firm you will be provided with a current Client brochure that includes a statement with regard to our privacy policy. To engage in any financial planning or advisory services with our clients, we must first enter into a written agreement (our client services agreement). Thereafter, you are met with to gather information about your financial situation and objectives.

There are a series of documents that can assist us in creating a solid financial plan for you. Based on the scope of our engagement, you may be asked to provide documents that include but not limited to:

- Banking and brokerage statements
- Tax and legal documents
- Employment documents
- Business documents
- Insurance companies/declaration pages
- Current retirement plans
- Credit card balances other debt statements

## **Item 4: Advisory business Cont.**

### **Investment Management Services**

You have the option to implement investment strategies that we have recommended to you. Depending on your risk tolerance, your objectives, time horizons, current financial situation and other considerations, your portfolio will include the employment of one or more investment strategies that best suits you and your unique situation.

- Risk Tolerance assessment
- Investment Strategy
- Asset selection
- Asset allocation
- Periodic rebalancing

### **Workshops**

We may occasionally offer educational financial sessions to the general public. These sessions may include college funding strategies, retirement planning basics, a beginners' sessions for investments and stock market basics.

These sessions will not include sales pitches.

### **Personal Financial Consulting**

We offer financial planning services to individuals. Our planning provides general or narrowly based strategies to help you achieve your stated goals. Incorporating any of the strategies below can greatly provide you with a clear path towards achieving your goals and addressing your concerns. All of the following include a periodic review.

#### **Cash flow (budget management) and debt management**

- We will conduct a review of your income and expenses to determine your current surplus or deficit along with advice on prioritizing how any surplus should be used or how to reduce expenses if they exceed your income.
- Advice may also be provided on which debts to pay off first based on factors such as the interest rate of the debt and any income tax ramifications.
- We may also recommend what we believe to be an appropriate cash reserve that should be considered for emergencies and other financial goals, along with a review of accounts for such reserves.
- We will also discuss savings' strategies and assist in executing a plan to save the desired amount.

#### **College and other education savings**

- College and education costs are escalating annually. We provide advice on the projected amount that will be needed in order to achieve the educational goals of your household.

- This includes projecting the amount that will be needed to achieve college or other post-secondary education funding goals, along with advice on ways for you to save the desired amount.
- Also included are recommendations as to savings strategies, and, if needed, we will review your financial picture as it relates to eligibility for financial aid.
- If appropriate, we will discuss the best ways to contribute to other family members such as grandchildren and nieces or nephews.

### Retirement planning

- Our retirement planning services typically include projections of your likelihood of achieving your financial goals.
- Our services typically include determining your desired lifestyle and projecting what will be needed so that you may live the life that you wish.
- Our typical approach to this focuses on financial independence as the primary objective. For situations where projections show less than the desired results, we may make recommendations, including those that may impact the original projections by adjusting certain variables (i.e., working longer, saving more, spending less, taking more risk with investments etc.).

### Tax Services

This year-long service includes ways to minimize current and future income taxes as a part of your overall financial planning picture. Other services include the filing of your annual return through our partnership with Tax Fyle as a third party vendor. This service is paid for by our Firm and you will have access to a tax professional to answer some of your immediate tax questions. You will have the option of opting out of this service.

### Estate Planning & Risk Management

This typically includes a thorough review of the state of your estate and insurance.

- For insurance needs, we analyze your existing policies to ensure proper coverage for life, health, disability, long-term care, home, and auto.
- For estate taxes, This usually includes an analysis of your exposure to estate taxes and your current estate plan.
- Through our partnership with Trust & Will as a third-party vendor, our firm covers all the costs associated with generating for you a Will-based estate plan. This plan will include:
  - Last Will & Testament
  - HIPPA authorization
  - Living Will
  - Power of Attorney
- We always recommend that you consult with a qualified attorney when you initiate, update, or complete estate planning activities.
- You always have the option of opting out of this free service.

### **C. Tailoring advisory services to Client's needs and Restrictions**

Our services are based on your individual financial outlook and goals. We get to know your unique situation through our data collection process which often includes an Investor Profile Questionnaire (IPQ). In order to tailor our advice to your individual needs, we determine what your priorities and interests are and allow you, with our assistance to build the type of planning/services that suits your unique style and goals.

Clients with accounts that are managed on a discretionary basis may place reasonable restrictions on the management of those assets. While we manage your account in accordance with your IPQ and objective, you are free to require that we manage your account pursuant to a particular investment strategy.

### **D. Wrap Fee Programs**

Kaine Capital LLC does not sponsor or serve as a portfolio manager in any investment program involving wrapped fees.

### **E. Assets Under Management**

Kaine Capital LLC has the following assets under management:

Discretionary amounts	Non-Discretionary Amounts:	Date Calculated
\$0	\$0	05/08/2023

## **Item 5: Fees & Compensation**

Please note, unless a client has received the firm's disclosure brochure at least 48 hours prior to signing the investment advisory contract, the investment advisory contract may be terminated by the client within five (5) business days of signing the contract without incurring any advisory fees. How we are paid depends on the type of advisory service we are performing. Please review the fee and compensation information below. Lower fees for comparable services may be available from other sources.

### **A/B. Personal Financial Consulting fees & billing method**

The Flat rate of this service, charged monthly is \$280. The \$280 is an on-going fixed fee that is payable monthly in advance.

Ongoing financial planning services may be terminated with 30 days' notice. Upon termination of any agreement, fees will be prorated and any unearned fee will be refunded to the client.

Ongoing financial planning fees are waived for clients receiving investment management services for so long as such clients maintain at least \$1,000,000 under Kaine Capital's management.

Kaine Capital LLC

Firm Disclosure Brochure - Form ADV Part 2A



Fees are due as stated in your engagement agreement with our firm and are payable to Kaine Capital LLC. **You will be billed monthly.** Fixed fees may be paid by check or teller's draft from US-based financial institutions. We do not accept cash, money orders, crypto currencies or any similar forms of payments.

### **Investment Management Fees & billing method**

For investment management services, our advisory fee is generally based on the market value of the client's assets under management and may be assessed at a rate of 0.6% (quarterly for .15%) for AUM above \$1,000,000 and 0.9% (Quarterly for 0.225%) for AUM under \$1,000,000 annually.

The annual fees are negotiable and are paid in arrears on a quarterly basis. The advisory fee is calculated by assigning the percentage rate to the value of the account as of the last day of the previous quarter.

Advisory fees are directly debited from client accounts through the custodian, or the client may choose to pay by Check/ACH or teller's draft from US-based financial institutions. Accounts initiated or terminated during a calendar quarter will be charged a prorated fee based on the amount of time remaining in the billing period. An account may be terminated with written notice at least 30 calendar days in advance. Upon termination of the account, any unearned fee will be refunded to the client. We do not accept cash, money orders, crypto currencies or any similar forms of payments.

For so long as an investment management client maintains not less than \$1,000,000 under Kaine Capital LLC's management, the ongoing financial planning services described in Item 4 shall be provided to such client at no extra cost.

### **Workshops & billing methods**

Educational Seminar attendees may be assessed a per-session fee ranging from \$35 to \$200. These fees are intended to compensate the speaker and to cover the costs of any written materials provided at the seminar, advertisements, and other expenses related to the cost of providing the seminar.

Current clients may receive a pass at any Workshops we may host.

### **C. Other fees & Compensation**

Our fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which may be incurred by the client. Clients may incur certain charges imposed by

custodians, brokers, and other third parties such as custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual fund and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to our fee, and we shall not receive any portion of these commissions, fees, and costs.

Fees paid by our clients to our firm for our advisory services are separate from any of these fees.

#### **D. Prepayment of Advisory fees**

As stated in your agreement with our firm, we may require advance payments under the following:

- Educational workshop fees that are due prior to the session.

#### **Account termination**

Either party may terminate a Financial Planning Agreement by providing written notice to the respective party. If you terminate the agreement more than five business days after its effective date, we will be entitled to compensation for advice already provided.

If any party wishes to terminate their agreement, they must do so by providing a written notice at least 30 days in advance.

For our Investment Advisory services, any termination that occurs 45 days into the quarter will be subject to a refund up to half of the amount assessed.

#### **E. Compensation for the sale of Securities and investment products**

Kaine Capital LLC, a fee-only firm does not charge or receive any commissions or mark-up on your securities transactions, nor are we or any associate paid a commission on your purchase of a securities holding or insurance contract that we recommend to you.

We do not receive "trailer" or 12b-1 fees from investment companies we may recommend for your portfolio. Fees charged by issuers are detailed in prospectuses which will be provided to you prior to or upon recommendation.

#### **Item 6: Performance-Based Fees and Side-by-Side Management**

Kaine Capital LLC does not accept performance-based fees, which are fees based on a share of capital gains or on capital appreciation of the assets within your managed portfolio.

Our fees will not be based on side-by-side management, which refers to a firm simultaneously managing accounts that do pay performance-based fees and those that do not; this type of arrangement, and the conflict of interest it may pose, does not conform to our firm's principles.

## Item 7: Types of Clients

We provide advisory services to many different types of Clients, including individuals and families alike.

We do not require minimum income, minimum asset levels or other similar preconditions. Kaine Capital LLC reserves the right to waive or reduce certain fees based on unique individual circumstances and special arrangements.

We also reserve the right to decline services to any prospective client for any non-discriminatory reason.

## Item 8: Methods of Analysis and Investment Strategies

The following section outlines the risks associated with specific strategies and securities.

**Tactical Asset Allocation.** Generally, accounts managed through a tactical approach to asset allocation will trade more frequently and may incur greater trading costs than a strategic approach. Performance for accounts using a tactical approach may be more volatile and may under-perform in some market cycles.

**Strategic Asset Allocation.** Accounts managed through a strategic approach generally trade less frequently and may have lower trading costs. Performance for accounts using a strategic approach may be more volatile and may under-perform in some market cycles.

**Active Management Style.** For accounts that utilize an active management style, returns may be reduced by the cost of hiring a professional manager and the cost of buying and selling investments in the account. Performance for accounts using an active management approach may be more volatile and may under-perform in some market cycles.

**Passive Management Style.** Accounts that utilize a passive management style have lower costs than accounts that are actively managed because these accounts may not need to retain active professional managers, and because their holdings are not as frequently traded. Performance for accounts using a passive management approach may be more volatile and may under-perform in some market cycles.

In any investment account, frequent trading can affect investment performance through increased brokerage costs, transaction costs and tax inefficiencies.

Clients purchasing mutual funds and ETFs and ETNs should refer to the relevant prospectus for more information about the risks of investing in a particular fund, as well as applicable fees and expenses. Clients purchasing ETFs should understand that the market price of ETFs and ETNs may be at, above or below its net asset value, and that the ETF's performance may not mirror the performance of its underlying index. Operating expenses and other costs are deducted daily from the value of the fund and will lower the rate of return for that fund. .

Other risks may include:

- **Business financial risk-** The risk that a company may go bankrupt or decline in value.
- **Inflation risk-** The risk that a dollar today may not buy as much as a dollar next year.
- **Management risk-** The risk that an investment strategy may underperform resulting in a loss of capital.
- **Market risk-**The risk that the stock market as a whole may decline for a period of time.

## Item 9: Disciplinary Information

Neither Kaine Capital LLC or its management have any material disciplinary information to report.

## Item 10: Other Financial Industry Activities and Affiliations

### A. Broker-Dealer registration

Kaine Capital LLC is not registered as a broker-dealer. Neither the firm or its representatives or management are registered or have an application pending to register as a Financial Industry Regulatory Authority (FINRA) or National Futures Association (NFA) introducing broker/dealer.

### B. Other registrations

Neither Kaine Capital LLC nor any of its management persons are registered as a Futures Commission Merchant, Commodity Pool Operator or Commodity Trading Advisor.

### C. Material relationships with related persons

Neither the firm nor its management is or has a material relationship with any of the following types of entities:

- Broker-dealer, municipal securities dealer, or government securities dealer or broker
- Investment company or other pooled investment vehicle (including a mutual fund, closed-end
- Investment company, unit investment trust, private investment company or “hedge fund,” and offshore fund)Other investment adviser or financial planner
- Futures commission merchant, commodity pool operator, or commodity trading advisor
- Banking or thrift institution
- Accountant or accounting firm
- Lawyer or law firm
- Insurance company or agency
- Pension consultant
- Real estate broker or dealer
- Sponsor or syndicator of limited partnerships.

While our firm may use third-party vendors such as Tax Fyle to file your annual taxes and Trust & Will to deliver your estate plan, these partnerships are strictly business to business transactions where our firm receives no benefit. Kaine Capital LLC covers the costs of these services for you. Please note that you are always able to go to these vendors or other vendors of your choosing directly to receive these services at your own expense.

## **D. Selection of other advisors**

Should we ever provide you with a recommendation to an unaffiliated registered investment advisor, we will first ensure we have conducted what we believe is an appropriate level of due diligence on the recommended advisor. We are not paid for this referral and do not share in any fees from the recommended firm.

## **Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

### **A. Code of ethics**

Kaine Capital LLC's ethical, professional, and legal duty is to act at all times as a fiduciary to its Clients. This means that Kaine Capital advocates for, puts the interests of its Clients ahead of its own, and carefully manages for any perceived or actual conflict of interest that may arise in Kaine Capital LLC

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relation to its advisory services. Kaine Capital has adopted a Code of Ethics, which is designed to ensure that we meet our fiduciary obligation to Clients, enhance our culture of compliance within the firm, and detect and prevent any violations of securities laws.

Kaine Capital LLC periodically reviews and amends its Code of Ethics to ensure that it remains current, and requires firm personnel to annual attest to their understanding of and adherence to the firm's Code of Ethics. A copy of the firm's Code of Ethics is made available to any client or prospective client upon request.

## **B. Investment recommendations involving a material financial interest and conflicts of interest**

Kaine Capital LLC's financial plans and investment strategies may recommend to a client, or effect a transaction for a client, involving any security in which the firm or a "related person" has a material financial interest, such as in the capacity as a board member, underwriter or advisor to an issuer of securities, etc. An associate is prohibited from borrowing from or lending to a client unless the client is an approved financial institution. Our clients are free to decide whether to carry out any of our recommendations as well as implement some or all the recommendations through any other financial service institution they select.

## **C. Conflicts in connection with personal trading**

From time to time an associate from Kaine Capital LLC may:

- Invest in the same securities (or related securities, such as warrants, options or futures) that we, an associate recommends to you; or
- recommend securities to you, or buy or sell securities for your account, at or about the same time that we, an associate buys or sells the same securities for their own accounts.

All representatives (REP/REPs) at The Firm are prohibited from causing or trying to cause an advisory client to purchase, sell or hold a security in order to personally benefit themselves. If a representative could materially benefit from an investment decision the REP is recommending for a client, the REP must fully disclose that beneficial ownership of the security, any derivative securities or the security issuers to the Chief Compliance Officer and those Firm employees with authority to make investment decisions for the client. The Chief Compliance Officer, in consultation with those Firm employees with authority to make investment decisions for the client, will determine whether the REP will be restricted in making investment decisions with respect to the subject security.

## **D. Conflicts in connection with timing of personal trading**

From time to time, associates of Kaine Capital LLC may own the same securities that are being bought or sold in Client accounts. Our Code of Ethics specifies personal securities transaction procedures designed to prevent unethical trading practices. In addition, Kaine Capital LLC monitors the accounts of access persons to ensure that the associate did not make a trade in a covered security within seven days before or after one of the associate's Clients makes a trade in the same security, if certain criteria are met.

## **Item 12: Brokerage Practices**

### **A. Selection of Broker-Dealers**

Kaine Capital LLC does not maintain custody and does not maintain custody of your assets. Your account must be maintained by a qualified custodian, such as a broker/dealer, bank or trust company. We require that our clients use Interactive Brokers LLC (“IBKR”), a registered broker dealer and member of the SIPC as the qualified custodian. We are independently owned and operated and are not affiliated with Interactive Brokers LLC .Interactive Brokers LLC will hold your assets in a brokerage account and buy and sell securities when we and/or you instruct them to. While we recommend that you use Interactive Brokers LLC as custodian/broker, you will decide whether to do so and will open your account with Interactive Brokers LLC by entering into an account agreement directly with Interactive Brokers LLC. We do not open the account for you, although we may assist you in doing so. If you do not wish to place your assets with Interactive Brokers LLC , then we cannot manage your account.

Kaine Capital LLC considers several factors when recommending a custodial broker-dealer for client transactions and determining the reasonableness of such custodian broker-dealer’s compensation. Such factors include the custodial broker-dealer’s industry reputation and financial stability, service quality and responsiveness, execution price, speed and accuracy, reporting abilities, and general expertise. Assessing these factors as a whole allows Kaine Capital LLC to fulfill its duty to seek best execution for its clients’ securities transactions. However, Kaine Capital LLC does not guarantee that the custodial broker-dealer recommended for client transactions will necessarily provide the best possible price, as price is not the sole factor considered when seeking best execution.

### **Soft-Dollar and Other Benefits**

We do not receive any research or other soft dollar benefits in connection with directing Client transactions to IBKR for execution.

Interactive Brokers LLC may offer independent investment advisors various services which include but are not limited to custody of client assets, online platform for monitoring of accounts, trade execution, clearance and settlement, etc. Our firm may receive certain

benefits from our custodian of choosing through participation in its independent advisor support program.

## **B. Brokerage for client referrals**

We do not recommend broker-dealers based on Client referrals from third parties

## **C. Directed brokerage**

We do not engage in directed brokerage involving our client's accounts.

## **D. Aggregating securities transactions**

Kaine Capital LLC trades for its clients' accounts on an independent basis, subsequently an account may potentially be assessed higher costs or less favorable prices than those accounts that are aggregated.

We will periodically review our trading processes for the benefit of our clients. Should any changes be made, we will inform you prior to the changes going in effect.

## **E. Best Execution**

As an investment adviser, we have an obligation to ensure "best execution" of your trade orders. "Best execution" means that we place your trade orders with broker-dealers we believe are capable of providing the best qualitative execution of your trade orders under the circumstances, taking into account the full range and quality of the services offered by the broker-dealer, including the value of the research provided (if any), the broker-dealer's execution capabilities, the cost of the trade, the broker-dealer's financial responsibility, and its responsiveness to the trade order. Best execution does not necessarily mean best price. It is important to note that our best execution obligation does not require us to solicit competitive bids for each transaction or to seek the lowest available cost of trade orders, so long as we reasonably believe that the broker-dealer selected can be reasonably expected to provide you with the best qualitative execution under the circumstances.

## **Item 13: Review of accounts**

### **A. Periodic reviews**

### **Financial Planning Services**

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16

May 30th, 2023

[www.kainecapital.com](http://www.kainecapital.com)

[helpcenter@kainecapital.com](mailto:helpcenter@kainecapital.com)



Kaine Capital LLC is engaged in ongoing planning services for our clients. Any reviews will be scheduled in advance. You are always free to call and schedule a review on current plans or allocations that you may have. Reviews will be conducted by one of our representatives of our firm and normally involve analysis and possible revision of your current financial plan or investment allocation. A copy of revised plans or asset allocation reports will be provided to the client upon request.

### **Investment management services**

Our investment management services accounts are reviewed frequently by a registered representative of our firm and is done no less than quarterly. We recommend Client reviews are completed at least on an annual basis. A copy of a revised asset allocation report will be provided to the client upon request.

### **B. Non-Periodic reviews**

In the event of a client complaint or other concern, we will review relevant accounts.

### **C. Regular reports provided to clients**

Written quarterly reports will be sent to all clients. These quarterly reports will include investment performances and balances held away and managed by us. In addition, your report will include current positions on your goals and net-worth.

## **Item 14: Client referrals and other compensation**

### **A. Economic Benefit from External Sources and Potential Conflicts of Interest**

As disclosed in item 12, Kaine Capital LLC may receive economic benefit from Interactive Brokers LLC. These benefits may be in the form of various products and services that are made available to our firm and other independent investment advisors that typically may not be made available to a "retail" investor.

These benefit may include:

- receipt of duplicate client statements and confirmations
- research related products and tools
- access to trading desks serving our client accounts access to block trading services
- ability to have advisory fees deducted from a client's accounts (per written agreement)

- resource information related to capital markets and various investments access to an electronic communications networks for client order entry and account information
- discounts on marketing, research, technology, and practice management products or services provided to our firm by third-party providers

Our firm may benefit from the services made available by Interactive Brokers LLC but may not directly benefit our client's accounts. Therefore, there is an appearance of a conflict of interest since our firm may have an incentive to select or recommend a certain custodian based on our firm's interest in receiving these benefits rather than on our clients' interest in receiving favorable trade execution.

As Part of our Fiduciary duty, Kaine Capital LLC is committed to putting the interests of our clients first.

## **B. Compensation to Non-Advisory Personnel for client referrals**

We do not currently have any referral arrangements involving non-advisory personnel.

## **Item 15: Custody**

Your assets will be maintained by IBKR, an unaffiliated, qualified custodian. You will receive account statements from IBKR and should carefully review such statements. We recommend that you carefully compare the quarterly performance report that you receive from our firm's quarterly reports with the brokerage account statements that you receive from the custodian.

## **Item 16: Investment Discretion**

At this time, The Firm will not be exercising discretionary authority over any accounts that will be managed. Should this change, all current account holders will be notified and given the opportunity to select how they would like their account to be managed.

## **Item 17: Voting client securities**

Our firm does not have authority to vote, and do not vote proxies on your behalf of or participate in any legal proceedings involving investments in your accounts. We do not provide advice to Clients regarding the Clients' voting of proxies or their participation in legal proceedings involving investments within their accounts, and you should not contact Kaine Capital LLC or its associates with questions about a particular proxy solicitation.

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Firm Disclosure Brochure - Form ADV Part 2A

## Item 18: Financial Information

Due to the nature of Kaine Capital LLC's services and operational practices, an audited balance sheet is not required nor included in this brochure.

As per NC law (18NCAC 06A.1708), the firm does not require payment of advisory fees six months or more in advance and in excess of five hundred dollars (\$500.00) per client

Kaine Capital LLC and its management do not have a financial condition likely to impair our ability to meet commitments to our clients.

Kaine Capital LLC and its management have never been the subject of a bankruptcy petition.

# Form ADV Part 2B – Brochure Supplement (Advisory Personnel)

## Item 19

This brochure provides information about Shennelleh Kaine, the CEO of Kaine Capital LLC.

### Item 1- Firm Information

#### **Kaine Capital LLC**

11226 Laurel View Dr  
Charlotte, NC 28273  
(508)-828-0325  
[www.kainecapital.com](http://www.kainecapital.com)

### Item 2- Education Background & Business Experience

#### **Shennelleh Kaine**

DOB: September 18<sup>th</sup>, 1991  
CRD #6593410

#### **Education/Training**

Sept 19, 2018- 1-65 Uniform Investment Adviser law Examination

#### **Experience**

Kaine Capital LLC (2022-current)  
Charlotte, NC  
Founder/COO/CEO

New York Life/ NYlife Securities (2016-2018)  
Waltham, MA  
Agent/Registered Representative

American Income Life Insurance Company (2015-2015)  
Burlington, MA  
Supervising Agent

## Form ADV Part 2B – Brochure Supplement (Advisory Personnel) Cont.

### **Item 3 - Disciplinary Information**

There are no legal or disciplinary events that are material to your evaluation of Ms. Kaine.

### **Item 4 - Other business activities**

Ms. Kaine is not registered, nor has an application pending to register, as a registered representative of a broker/dealer or associated person of a futures commission merchant, commodity pool operator, or commodity trading advisor. Therefore, she receives no commissions or compensation based on the sale of securities or any related products.

### **Item 5- Additional Compensation**

Ms. Kaine is not compensated for advisory services involving performance-based fees or for any other fees not listed in item 5 of Part 2A

### **Item 6 - Supervision**

Ms. Kaine is the Sole Principal and Chief Compliance Officer and as such has no internal supervision placed over her. She is however bound by the firm's Code of Ethics.

### **Item 7 - Requirements for state-registered advisors**

There have been neither awards nor sanctions or other matters where Ms. Kaine has been found liable in a self-regulatory or administrative proceeding. Ms. Kaine and her firm has not been the subject of a bankruptcy petition.