

Item 1 - Cover Page



Crew Capital Management, Ltd.  
CRD Number 125402

3881 Jessup Rd,  
Cincinnati, OH 45247  
513-618-6460

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

March 30, 2019

Part 2A (“Firm Brochure”)

This disclosure document consists of Form ADV Parts 2A & 2B (Firm Brochure and Supplements) and provides information about the qualifications and business practices of Crew Capital Management, Ltd. (“CCM”). If you have any questions about the contents of this disclosure document, please contact Robert F. Jung, Chief Compliance Officer, at 513-618-6460, or [rjung@crewcapital.com](mailto:rjung@crewcapital.com). The information in this disclosure document has not been approved or verified by the United States Securities and Exchange Commission (“SEC”) or by any state securities authority.

Crew Capital Management, Ltd. is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser.

Additional information about Crew Capital Management, Ltd. also is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Material Changes

Since filing the last copy of the Firm Brochure, the following has changed:

- While there have no material changes since the Firm's last update in March 2018, the Firm has updated several non-material items
  - Item 5: Assets Under Management was updated.
  - The Chief Compliance Officer information was updated.

Whenever you would like to receive a complete copy of our Firm Brochure, it is available without charge by contacting Robert F. Jung, Chief Compliance Officer, at 513-618-6460, or [rjung@crewcapital.com](mailto:rjung@crewcapital.com)

Additional information about Crew Capital Management, Ltd. is also available via the SEC's web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC's web site also provides information about any persons affiliated with Crew Capital Management, Ltd. who are registered, or are required to be registered, as investment adviser representatives of Crew Capital Management, Ltd.

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### Part 2B - Brochure Supplements

#### **Item 4 – Advisory Business**

Crew Capital Management, Ltd. (“CCM”) is a Registered Investment Adviser with the State of Ohio. CCM was founded by Robert F. Jung, CFA, CPA, in January 2003. As of January 1, 2017, CCM was assigned 100% ownership to RFJ Holdings Inc. RFJ Holdings Inc. is a S Corporation owned by Robert F. Jung. CCM provides investment counsel and portfolio management on a “fee only” basis. CCM does not collect or receive commission revenue. CCM uses unaffiliated companies for custodial and other administrative services.

CCM obtains investor profile data from clients to assist in the selection of suitable investments, asset allocations and portfolio management. Investment strategy is based on the client’s specific goals, risk tolerance, tax status and financial situation. Clients of CCM may restrict investment in certain securities or types of securities. CCM cannot control the restricted investment in funds it may utilize in the client’s portfolios.

CCM also works with clients to implement an investment program in which client accounts are sub-managed by independent third-party money managers. More specifically, Crew will assist clients in determining the appropriate allocation of the clients’ invested assets among different asset classes, and in turn may recommend one or more third-party money managers who specialize in each of those asset classes. The third-party managers will be responsible for continuously monitoring the client account and making trades when necessary.

CCM also provides financial planning services. CCM defines financial planning as Retirement Planning, Cash Flow Planning, Estate Planning, Income Risk Planning (Life and Disability Insurance) and Tax Planning. Financial Planning clients are charged an hourly or flat fee negotiated and agreed upon before the start of planning.

As of March 2019, CCM had discretionary assets under management in the amount of \$ 71,655,878. CCM does not currently manage any non-discretionary assets.

#### **Item 5 – Fees and Compensation**

CCM charges fees based on a percentage of assets under management as well as fixed fees, depending on the particular types of services to be provided. The specific fees charged by CCM for services provided will be set forth in each client’s Agreement. CCM does not charge a separate financial planning fee.

### Standard Fee Schedule

Total Assets Under Management per Account	Annual Investment Management Fee
\$0 to \$500,000	1.25%
\$500,001 to \$1,000,000	1.00%
\$1,000,001 to \$5,000,000	0.75%
Over \$5,000,000	0.50%

Minimum Fee per quarter is \$500

Fees are based on the fair market value of the assets under management in the account and are charged on a pro rata basis, quarterly in advance based on the asset valuation at end of the prior calendar quarter. The fee can be deducted from the client's account or billed directly to the client. Upon termination of the Investment Advisory Agreement, the client is entitled to a pro rata refund of any prepaid Advisory fees based on the number of days remaining in the quarter following termination. This fee does not include the fees of the Custodian or any underlying Funds/Managers. Where the Custodian charges separate fees or expenses, you will pay those fees separately from your advisory fee payable to CCM. You will also, where applicable, separately pay mutual fund expenses, brokerage and other transaction costs. For more information about brokerage, please see Item 12.

CCM reserves the right to negotiate a "client specific" fee schedule based on the client's needs, objective, constraints and unique situation. CCM may also provide Portfolio Management services for an annual fixed fee ranging from \$10,000 to \$25,000, depending on the complexity of the services provided. The annual fee is charged quarterly at the end of each calendar quarter. If a fixed fee is negotiated, that fee will be listed in the Advisory Agreement and Disclosure Statement.

In addition, CCM may recommend Separately Managed Accounts or 529 accounts. In these cases, CCM will charge a management fee for any of these types of assets under our management. The third-party managers of these accounts will also charge a fee. Accordingly, the client should review both the fees charged by the third-party managers and the fees charged by CCM to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

### **Item 6 – Performance-Based Fees and Side-By-Side Management**

Not Applicable.

## **Item 7 – Types of Clients**

CCM provides services to individuals, corporations, partnerships, pension and profit sharing plans, trusts, endowments and others institutions. Investment advice is provided directly to clients or through third-party registered investment advisers and their representatives.

CCM's general account minimum is \$250,000, but CCM reserves the right to wave the minimum account size and minimum fee charged.

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

CCM's investment objective is to seek consistent above average returns primarily through capital appreciation and income. CCM starts with a discussion of our core portfolio highlighting the portfolio's key attributes. The core portfolio is invested 65% in Equities and 35% Fixed Income/Cash. The equity portion will include eight equity sub classes: US Large Company, US Mid-Company, US Small Company, Developed International, Emerging Market, Global Real Estate, Nature Resources and Commodities. The Fixed Income/Cash portion includes four sub classes: US Aggregate Bonds, Inflation Protected Bonds, International Bonds, and Money Market.

Based on the client's unique situation (return/risk profile) and account size, CCM will adjust the portfolio appropriately. CCM actively manages investor accounts utilizing combinations of individual securities, funds, ETFs and third-party managers seeking to achieve higher returns with less risk in both rising and falling markets. The objective is to achieve these results by selecting investments, managers and styles whose performance is independent of the other investments, funds and managers.

Program results are not guaranteed to produce profits as many other factors enter into the investment process, including economic and market activity. Past performance is not a prediction of future results. No assurance can be given, however, that its objectives will be achieved and such investments involves risk of loss, including loss of principal, that Clients should be prepared to bear. These risks also apply to all investments utilized by CCM.

## **Item 9 – Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of CCM or the integrity of CCM's management.

CCM has no information applicable to this Item.

## **Item 10 – Other Financial Industry Activities and Affiliations**

None.

## **Item 11 – Code of Ethics**

The employees of CCM have committed to a Code of Ethics describing its high standard of business conduct, and fiduciary duty to its clients. The key points are: putting the clients' interest first, objectivity, confidentiality, competence, fairness and suitability, integrity and honesty, regulatory compliance, full disclosure, and professionalism. The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

CCM's Code of Ethics substantially draws upon the CFA Institute's Code of Ethics which can be found at <http://cfainstitute.org>.

CCM and its employees may at times buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of client trades. Employees comply with the provisions of the CCM's "Compliance Policies & Procedures Manual". All supervised persons at CCM must acknowledge the terms of the Code of Ethics annually, or as amended.

The Chief Compliance Officer of CCM is Robert F. Jung. Mr. Jung reviews all employee trades each quarter. These quarterly trade reviews ensure that the personal trading of employees was not based on inside information and that clients of the firm receive preferential treatment.

## **Item 12 – Brokerage Practices**

CCM recommends brokers and custodians based on the proven integrity, financial responsibility and quality of client service. CCM recommends brokerage firms and

trust companies (qualified custodians), such as TD Ameritrade, Schwab and US Bank N.A. CCM does not receive fees, commissions or soft dollar benefits from any of these arrangements. CCM does not routinely recommend, request or require that a client direct the execution of transactions through a specified broker-dealer. Not all advisers require their clients to direct brokerage. When clients direct brokerage, CCM may be unable to achieve most favorable execution of client transactions, and that this practice may cost clients more money.

In selecting a brokerage firm, we consider the integrity, experience, cost, product availability, responsiveness and capability of handling client accounts and transactions of the broker when determining which broker provides best execution for client transactions. In seeking best execution, the determinative factor is not the lowest possible cost but whether the transaction represents the best qualitative execution, taking into consideration the full range of a broker-dealer's services.

Generally, Crew Capital Management recommends Schwab and TD Ameritrade to our clients because we have found that they offer a comprehensive, competitively priced product, including features such as Internet access to client accounts, cash management, a wide range of investment products, and reasonable commissions and fees. Schwab and TD Ameritrade's commission schedules are periodically reviewed and compared to those of industry leaders to ensure they are fair and competitive. Both Schwab and TD Ameritrade also have various support services available which help us manage or administer our clients' accounts while other help us manage and grow our business. Schwab and TD Ameritrade's support services are generally available on an unsolicited basis (we don't have to request them) and at no charge to us. These support services may give us an incentive to recommend that you maintain your account with either Schwab or TD Ameritrade. This is a potential conflict of interest. We believe, however, that our selection of both, as custodian and broker is in the best interests of our clients.

CCM, when able, will aggregate the purchase or sale of securities for various client accounts. By aggregating trades when able, CCM is able to reduce transactional costs for our clients.

### **Item 13 – Review of Accounts**

All accounts are under the supervision of CCM's Investment Committee. The Investment Committee meets on an ongoing basis to review account performance and determine actions to take. Each account is reviewed by a member of the Investment Committee at least weekly. CCM personnel are available to discuss this information with the client at any time.

#### **Item 14 – Client Referrals and Other Compensation**

As part of its fiduciary duties to clients, CCM seeks to at all times to put the interests of its clients first. No person will be compensated for referring, soliciting or otherwise introducing advisory clients to CCM unless a written Referral Agreement and Disclosure Document is signed and dated by the client, the referrer and CCM.

#### **Item 15 – Custody**

Clients should receive at least quarterly statements from the broker dealer, bank or other qualified custodian that holds and maintains client's investment assets. CCM urges clients to carefully review such official custodial records. CCM provides supplemental statements to explain the investment strategy, asset allocation and market perspective. CCM statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

According to a recent ruling by the SEC, investment advisers are deemed to have "custody" of client funds if certain conditions are met. CCM is technically considered to have "limited custody" in that CCM debits accounts for CCM's Investment Adviser Fees.

In general, CCM's policy is to not have custody over client assets.

#### **Item 16 – Investment Discretion**

CCM usually receives discretionary authority to manage securities accounts on behalf of clients. The discretion is limited to the amount and type of securities to be bought or sold. CCM does have institutional relationships with TD Ameritrade and Schwab. In all cases, discretion is to be exercised in a manner consistent with the stated investment objectives for the particular client account.

When selecting securities, funds, ETFs, managers and determining amounts, CCM observes the investment policies, limitations and restrictions of the clients for which it advises. Investment guidelines and restrictions must be provided to CCM in writing.

#### **Item 17 – Voting Client Securities**

CCM is responsible for voting client proxies, but the client can direct CCM to not vote proxies in writing. The client maintains exclusive sole responsibility for all legal proceedings, class action suits or other events pertaining to the account assets. CCM

votes proxies according to its Proxy Voting Policy. A client may request a copy of CCM's Proxy Voting Policy. CCM monitors corporate actions of individual issuers and investment companies consistent with CCM's fiduciary duty to vote proxies in the best interests of its clients. Although the factors CCM considers in a proxy vote may differ on a case by case basis, they may include a review of recommendations from issuer's management, shareholder proposals, cost effects of such proposals, effect on employees and executive and director compensation. It is CCM's general policy, however, to vote in accordance with management. Individual issuers may solicit CCM to vote on matters including corporate governance, adoption or amendments to compensation plans (including stock options), and matters involving social issues and corporate responsibility. Investment companies, like mutual funds, may solicit CCM to vote on matters including the approval of advisory contracts, distribution plans, and mergers. CCM maintains records on its proxy voting as required by Rule 204-2 (c)(2) of the Investment Advisers Act of 1940. Copies of Rules 206(4)-6 and 204-2(c)(2) are available to clients upon written request. Clients may request further information as to how CCM voted on any specific proxy issues by contacting Robert F. Jung, CCM's Chief Compliance Officer.

#### **Item 18 – Financial Information**

Registered investment advisers are required in this Item to provide you with certain financial information or disclosures about CCM's financial condition. CCM has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

#### **Item 19 – Requirements for State-Registered Advisers**

Please see the attached Part 2B ("Brochure Supplements").

Brochure Supplement – Part 2B

## Robert F. Jung



3881 Jessup Rd.  
Cincinnati, OH 45247  
513-618-6460

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

March 30, 2019

CRD Number: 2080426

Part 2B (“Brochure Supplement”)

This Brochure Supplement provides information about Robert F. Jung that supplements the Crew Capital Management Brochure. You should have received a copy of that brochure. Please contact Robert F. Jung, Chief Compliance Officer, at 513-618-6460, or [rjung@crewcapital.com](mailto:rjung@crewcapital.com), if you did not receive Crew Capital Management’s Brochure or if you have any questions about the contents of this supplement.

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

## **Item 2 - Education Background and Business Experience**

Robert F. Jung, CFA, CPA (CPA Inactive)

Managing Director/Chief Investment Officer

Born: 1963

Formal Education after High School

Bachelor of Business Administration, University of Cincinnati, 1986

Major: Accounting and Finance

Professional Designation Completed:

Chartered Financial Analyst, 2000, Charter Number 37302

Certified Public Accountant, 1990(Ohio), Certificate Number 27391

Recent Business Background:

Investment Experience

UBS/PaineWebber – Fitzgerald Lane Torbeck Group (High Net Worth Wealth Management Group) Account Executive (2001-2003), (1990-1991)

Bartlett & Co. – Portfolio Manager (1997-2001)

U.S. Bank – Portfolio Manager, Trust Officer, VP (1993-1997)

Public Accounting – Tax Focus

Mellott & Mellott, Staff Accountant (1986-1988)

Ernst & Whinney, Senior Tax Accountant (1988-1990)

Price Waterhouse, Senior Tax Accountant (1991-1993)

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 100,000 CFA charter holders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and

annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

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

Mr. Jung has not been nor is currently subject to any criminal, civil or disciplinary action.

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

Board of Directors, Living Arrangements for the Developmentally Disabled (LADD), Cincinnati, Ohio

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

None.

### **Item 6 – Supervision**

All Supervised persons at Crew must work within the investment and business guidelines established. Matthew A. Swendiman, CFA, Investment Advisory Representative of Crew Capital Management, Ltd., provides additional legal and compliance oversight of Mr. Jung's activities.

### **Item 7 – State Registered Advisers**

Mr. Jung has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages:

- in excess of \$2,500, involving any of the following:
- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

- Mr. Jung has NOT been the subject of a bankruptcy petition in the past ten years.

Brochure Supplement – Part 2B

Scott H. Dooley



3881 Jessup Rd.  
Cincinnati, OH 45247  
513-618-6460

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

March 30, 2019

CRD Number: 4366421

Part 2B (“Brochure Supplement”)

This Brochure Supplement provides information about Scott H. Dooley that supplements the Crew Capital Management Brochure. You should have received a copy of that brochure. Please contact Robert F. Jung, Chief Compliance Officer, at 513-618-6460, or [rjung@crewcapital.com](mailto:rjung@crewcapital.com), if you did not receive Crew Capital Management’s Brochure or if you have any questions about the contents of this supplement.

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

## **Item 2 - Education Background and Business Experience**

Scott H. Dooley – Investment Advisory Representative

Born: 1962

Formal Education after High School :  
University of Cincinnati, BBA, 1984

Professional Designation Completed:  
Chartered Financial Analyst

Recent Business Background:  
Haberer Registered Investment Advisor, Inc.  
Various Titles (most recently, VP & Senior Portfolio Manager), 1995-2014

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 100,000 CFA charter holders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

#### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

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

I have not been nor am currently subject to any criminal, civil or disciplinary action.

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

None.

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

None.

#### **Item 6 – Supervision**

All Supervised persons at Crew must work within the investment and business guidelines established. Robert F. Jung, Managing Director of Crew Capital Management, Ltd., supervises Mr. Dooley's activities.

#### **Item 7 – State Registered Advisers**

Mr. Dooley has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages:

- in excess of \$2,500, involving any of the following:
- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

- Mr. Dooley has NOT been the subject of a bankruptcy petition in the past ten years.

## Matthew A. Swendiman



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

March 30, 2019

CRD Number: 2849367

Part 2B (“Brochure Supplement”)

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

## **Item 2 – Education Background and Business Experience**

Matthew A. Swendiman – Investment Advisory Representative

Born: 1973

Formal Education after High School :  
The Ohio State University, B.A.,  
The Ohio State University, J.D.  
University of Connecticut, LL.M

Professional Designations Completed:  
Chartered Financial Analyst (CFA)  
Chartered Life Underwriter (CLU)  
Chartered Financial Consultant (ChFC)

Recent Business Background:  
President, JCM Financial Services Consulting, LLC, November 2018 - Present  
Chief Executive Officer, Graydon Compliance Solutions, LLC, February 2014-  
November 2018  
Of Counsel, Graydon Head & Ritchey, LLP, September 2012- November 2018  
President, Swendiman Wealth Strategies, Inc., October 2011-October 2014

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- Disclose conflicts of interest and legal matters

### Global Recognition

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The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

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

I have not been nor am currently subject to any criminal, civil or disciplinary action.

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

Audit, Investment and Finance Committees, St. Elizabeth Healthcare, January 2013 – Present

Chair, Samaritan Committee, St. Elizabeth Foundation, June 2012-Present

Vestry and Finance Commission Chair, Trinity Episcopal Church, January 2017-Present

## **Item 5 – Additional Compensation**

Mr. Swendiman earns over \$100,000 from his other business activities annually.

## **Item 6 – Supervision**

All Supervised persons at Crew must work within the investment and business guidelines established. Robert F. Jung, Managing Director of Crew Capital Management, Ltd., supervises Mr. Swendiman's activities.

## **Item 7 – State Registered Advisers**

Mr. Swendiman has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages:

- in excess of \$2,500, involving any of the following:
- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- a) an investment or an investment-related business or activity;
- b) fraud, false statement(s), or omissions;
- c) theft, embezzlement, or other wrongful taking of property;
- d) bribery, forgery, counterfeiting, or extortion; or
- e) dishonest, unfair, or unethical practices.

- Mr. Swendiman has NOT been the subject of a bankruptcy petition in the past ten years.