

FORM ADV**Uniform Application for Investment Adviser Registration****Part II - Page 1****OMB APPROVAL**

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| | | | | | | |
|---|--------------------------------|--------------|---------|------------|------------|-------------------|
| Name of Investment Adviser: Stamper Capital & Investments, Inc. | | | | | | |
| Address: | (Number and Street) | (City) | (State) | (Zip Code) | Area Code: | Telephone Number: |
| | 2721 East Coast Hwy, Suite 205 | CoronaDelMar | CA | 92625 | (949) | 673-5787 |

**This part of FORM ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any government authority.**

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(Schedule A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form
are not required to respond unless the form displays a currently valid OMB control number.

Applicant: **Stamper Capital & Investments, Inc.**

SEC File Number:
801- 496465

Date:
01-21-2010

1. A. Advisory Services and Fees. (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

Applicant:

- | | | | |
|---|--|-----|---|
| <input checked="" type="checkbox"/> (1) | Provides investment supervisory services | 100 | % |
| <input type="checkbox"/> (2) | Manages investment advisory accounts not involving investment supervisory services..... | | % |
| <input type="checkbox"/> (3) | Furnishes investment advice through consultations not included in either service described above... | | % |
| <input type="checkbox"/> (4) | Issues periodicals about securities by subscription | | % |
| <input type="checkbox"/> (5) | Issues special reports about securities not included in any service described above..... | | % |
| <input type="checkbox"/> (6) | Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities..... | | % |
| <input type="checkbox"/> (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities... | | % |
| <input type="checkbox"/> (8) | Provides a timing service | | % |
| <input type="checkbox"/> (9) | Furnishes advice about securities in any manner not described above..... | | % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term? Yes ☐ No ☒

C. Applicant offers investment advisory services for: (check all that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input type="checkbox"/> (2) Hourly charges | <input type="checkbox"/> (5) Commissions |
| <input type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (6) Other |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. Types of clients - Applicant generally provides investment advice to: (check those that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> A. Individuals | <input checked="" type="checkbox"/> E Trusts, estates, or charitable organizations |
| <input checked="" type="checkbox"/> B. Banks or thrift institutions | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input checked="" type="checkbox"/> C. Investment companies | <input type="checkbox"/> G. Other (describe on Schedule F) |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

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Part II - Page 3

Applicant: **Stamper Capital & Investments, Inc.**

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3. Types of Investments. Applicant offers advice on the following: (check those that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | <input checked="" type="checkbox"/> I. Options contracts on: |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input checked="" type="checkbox"/> (1) securities |
| <input type="checkbox"/> (3) Foreign issuers | <input checked="" type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input checked="" type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input checked="" type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> E. Certificates of deposit | K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities | <input type="checkbox"/> (1) real estate |
| <input type="checkbox"/> G. Investment company securities: | <input type="checkbox"/> (2) oil and gas interests |
| <input type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> (2) variable annuities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting | (4) <input checked="" type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input checked="" type="checkbox"/> Timing services |
| (2) <input checked="" type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | Securities and Exchange Commission |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (7) <input checked="" type="checkbox"/> Company press releases |
| | (8) <input type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|--|---|
| (1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options, uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input checked="" type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

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Part II - Page 4

Applicant: Stamper Capital & Investments,
Inc.

SEC File Number:
801- 496465

Date:
01-21-2010

5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? ☐ Yes ☒ No

(If yes, please describe these standards on Schedule F)

6. Education and Business Background.

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- year of birth
- formal education after high school
- business background for the preceding five years

7. Other Business Activities. (check those that apply)

- ☐ A. Applicant is actively engaged in a business other than giving investment advice.
- ☐ B. Applicant sells products or services other than investment advice to clients.
- ☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- ☐ C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- | | |
|--|--|
| <input checked="" type="checkbox"/> (1) broker-dealer | <input type="checkbox"/> (7) accounting firm |
| <input checked="" type="checkbox"/> (2) investment company | <input type="checkbox"/> (8) law firm |
| <input checked="" type="checkbox"/> (3) other investment adviser | <input type="checkbox"/> (9) insurance company or agency |
| <input type="checkbox"/> (4) financial planning firm | <input type="checkbox"/> (10) pension consultant |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer |
| <input checked="" type="checkbox"/> (6) banking or thrift institution | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?.. ☐ Yes ☒ No

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

Applicant: Stamper Capital & Investments,
Inc.

SEC File Number:
801-496465

Date:
01-21-2010

9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sell for itself securities it also recommended to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 10. Conditions for Managing Accounts.** Does the applicant provide investment advisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other condition for starting or maintaining an account?

Yes No
☒ ☐

(If yes, describe on Schedule F)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory account, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Portfolio reports are supplied, monthly or quarterly, to the clients by their third-party custody or brokerage account firms. Clients may also be able to access their portfolios on-line on a daily basis.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Stamper Capital & Investments, Inc. generally manages accounts on a daily or weekly or monthly basis. Each holding is usually considered on an individual basis and also in terms of its effect on the total portfolio objective. One reviewer, the Portfolio Manager, is responsible for reviewing and for following the investment objectives, policies, and limitations. Client Portfolio Reports are supplied by the accounts' third-party custody or brokerage account firms usually on a monthly or quarterly basis. Clients may also be able to access their portfolios on-line on a daily basis.

12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- | | | |
|--|-------------------------------------|--------------------------|
| | Yes | No |
| (1) securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (2) amount of securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (4) commission rates paid? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ☒ Yes ☐ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|--------------------------|-------------------------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet?..... ☐ Yes ☒ No

**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Stamper Capital & Investments,
Inc.

SEC File Number:
801- 496465

Date:
01-21-2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

| | | |
|---|---|-----------------------|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Stamper Capital & Investments, Inc. | | IRS Empl. Ident. No.: |
| Item of Form (identify) | Answer | |
| Item 1A (1) | <p>Advisory Services and Fees</p> <p>Stamper Capital & Investments, Inc. (the "Adviser") provides investment advice to its clients based on the individual needs of each client. In providing these services, the Adviser will consider, among other things, the client's investment objectives, policies and restrictions, the nature of the assets held by the client, the client's long-term and short-term objectives and the client's risk tolerance. These attributes will be redefined and modified periodically as necessary, based on conversations with the client or representative.</p> <p>Generally, an advisory agreement may be terminated on thirty days written notice given by either party to the other. Such termination shall be without payment of any penalty and without liability of either party to the other. If the Adviser shall serve for less than an entire period on which the fees are determined, its compensation shall be calculated and shall be payable or refunded, as applicable on a pro rata basis for the period of time it will render or has rendered services.</p> <p>The Adviser will provide its services to individual and institutional clients. Generally, clients will pay to the Adviser, quarterly (either in arrears, or in advance, dependent upon the agreement with the client), with respect to each calendar quarter, an amount equal to one-quarter the annual rate of the previous quarter's average portfolio value so that at the end of each year, an annual fee will have been charged on the quarterly average, defined as the average of month-end portfolio values for each month of the previous quarter if paid in arrears, or an amount equal to one-quarter the annual rate on the portfolio's value on the first day of each calendar quarter, if paid in advance. The annual rate is determined in advance with the client and will generally be, depending upon balances managed and other factors, according to the following appropriate schedules - Large Institutional Accounts: 0.195% on the first \$250 million, 0.18% on the next \$250 million, and 0.165% on amounts over \$500 million; Individual Accounts through a Broker/Adviser: 0.50% on the first \$1 million, 0.40% on the second and third \$ million, 0.30% on the fourth \$ million and higher; Individual Accounts Direct: 0.60% on the first million or less, 0.50% on the second million, and 0.40% on the third million and higher.</p> | |

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Stamper Capital & Investments,
Inc.

SEC File Number:
801- 496465

Date:
01-21-2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

| | | |
|---|---|-----------------------|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Stamper Capital & Investments, Inc. | | IRS Empl. Ident. No.: |
| Item of Form (identify) | Answer | |
| Item 6 | <p>Educational and Business Background</p> <p>Name: Bruce Clark Stamper Birth: December 20th, 1955 Education: San Diego State University, B.S. Finance (1979) San Diego State University, M.B.A. Information Systems (1983)</p> <p>Business Experience (for the past five years): President, Portfolio Manager & Founder of Stamper Capital & Investments, Inc. (10-1-95 to date) Portfolio Manager, Evergreen Strategic Municipal Bond Fund (6-14-90 to date) Portfolio Manager, Stamper Capital Private Accounts (10-1-95 to date)</p> | |
| Item 8 | <p>Other Financial Industry Activities or Affiliations:</p> <p>The Adviser has a sub-advisory contract with one investment company that is controlled by a large multi-banking holding company which also has investment banking and brokerage affiliates. The President of the Adviser, B. Clark Stamper, is, and has been, the portfolio manager of The Evergreen Strategic Municipal Bond Fund, an open-end, high yield municipal bond fund, since June 1990.</p> <p>The Adviser sub-advises private accounts for broker/fee managers at one or more large broker/dealer/multibank holding companies which also conduct investment banking and brokerage.</p> <p>The Adviser also sub-advises private accounts for other Registered Investment Advisers that may be affiliated with broker dealers and/or investment bankers that trade and/or underwrite securities.</p> <p>Client accounts of the Adviser generally are custodied at broker dealers who trade securities and may have investment banking activities including underwriting of securities that we may purchase.</p> | |

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Stamper Capital & Investments,
Inc.

SEC File Number:
801- 496465

Date:
01-21-2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

| | | |
|---|--|-----------------------|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Stamper Capital & Investments, Inc. | | IRS Empl. Ident. No.: |
| Item of Form (identify) | Answer | |
| Item 9 (E) | <p>Participation or interest in Client Transactions</p> <p>From time to time, the Adviser may recommend a security in which the Adviser, its principal or its employees, have a financial interest, or that the Adviser, its principal or its employees, buy or sell for themselves. The Adviser will conduct its activities in accordance with written procedures concerning the acquisition of securities recommended by the Adviser in which the Adviser, its principal, officers or any employee may have a financial interest. The Client will always receive the best price in such transactions; that is, the lowest price on purchases and the highest price on sales. No recommendation for the purchase and sale of securities on behalf of a client account shall be made on the basis of securities holdings by the Adviser, its principal, officers or any employee.</p> <p>In general, the Adviser, its principal, officers and any employee will conduct their activities so as to avoid such situation that might compromise or call into question, the exercise of fully independent judgement in the interest of clients. No trade may be made by the Adviser's principal, officers or any employee where such purchase or sale is substantially influenced by material information derived, in whole or in part, by reason of his or her relationship to the Adviser, unless the information is available to the investing public upon reasonable inquiry.</p> <p>The Adviser, as required, has in place a "Code of Ethics" that includes 1.) Standards of business conduct required of Company personnel (supervised persons) and related persons (together, Access Persons) which reflects the Company's fiduciary obligations and those of access persons; 2.) Provisions requiring our supervised persons to comply with applicable federal securities laws; 3.) Provisions that require Access Persons to report, and Our Compliance Officer (or designate) to review, their personal securities transactions and holdings periodically; 4.) Provisions requiring supervised persons to report any violations of our Code of Ethics promptly to our Chief Compliance Officer (or designate); 5.) Provisions requiring supervised persons to be provided a copy of our Code of Ethics, and requiring our supervised persons to provide written acknowledgement of their receipt of our Code. In addition, upon request of any client, Stamper Capital & Investments, Inc. will provide them with a copy of our current Code of Ethics and/or our Privacy Policy and/or ADV Part II.</p> | |

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Stamper Capital & Investments,
Inc.

SEC File Number:
801- 496465

Date:
01-21-2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

| | | |
|---|---|-----------------------|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Stamper Capital & Investments, Inc. | | IRS Empl. Ident. No.: |
| Item of Form (identify) | Answer | |
| Item 10 | The minimum dollar value of assets for starting an investment supervisory securities management account is \$1,000,000 for accounts through a broker or through another registered investment advisor. The minimum for direct accounts is \$250,000. | |
| Item 12 | <p>Investment Brokerage Discretion</p> <p>In all but the specific circumstances discussed below, clients of the Adviser, by written contract, delegate full investment discretion to the Adviser or its principal. The only exception to this policy is for the Adviser's management of all or a portion of certain trust assets for which full investment discretion may not be delegated pursuant to the terms of the trust agreement.</p> <p>In determining the placement of brokerage, the Adviser will consider the full range and quality of broker-dealer's services, including securing the best price for the transaction, the confidentiality provided by the broker-dealer, the broker-dealer's clearance and settlement capabilities, and the promptness of execution of securities transactions.</p> <p>In certain instances, the value of products or services that provide the Adviser with lawful and appropriate assistance in its investment decision making process may be a factor in choosing a broker. Such products and services may include: Discussion and/or research report on issuers, industries and securities; economic and financial data; and various conferences and seminars that offer information on securities or industries followed by the Adviser. Under these circumstances, clients may pay commissions higher than those attainable from other brokers; however, the Adviser will attempt to assure that the value of such research commensurates with commissions charges. Typically, the discussion and/or research will be used to service all of the Adviser's accounts, although a particular client may not benefit from all research received on occasion.</p> <p>The selection and the amount of brokerage given to a particular broker-dealer is not pursuant to any agreement or commitment with any selected broker-dealers that would bind the Adviser. The reasonableness of brokerage arrangements is evaluated on an ongoing basis.</p> <p>Stamper Capital & Investments, Inc.'s President and Portfolio Manager, B. Clark Stamper, receives a "preferred commission rate" on his personal trades from broker Stifel Nicolaus (or predecessor) to whom, in the past, he has directed a large portion of client business for purchases and sales of securities.</p> | |

(Complete amended pages in full, circle amended items and file with execution page (page 1).)