

DISCLOSURE BROCHURE

COVER PAGE
THE INVESTMENT ADVISORS ACT OF 1940 RULE 204-3
FORM ADV PART 2A



K A I Z E N

Managed Assets, Inc

A Fee-Only Investment Advisory Firm

CRD #: 122137
SEC File #: 801-67673

Kaizen Managed Assets, Inc.
REGISTERED INVESTMENT ADVISOR

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ITEM 1

This Disclosure Brochure provides information about the qualifications and business practices of Kaizen Managed Assets, Inc., which should be considered before becoming a client. You are welcome to contact us if you have any questions about the contents of this brochure. Our contact information is listed to the right. Additional information about Kaizen Managed Assets, Inc. is also available on the SEC's website at www.adviserinfo.sec.gov.

The information contained in this Disclosure Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any State Securities Administrator. Furthermore, the term "registered investment advisor" is not intended to imply that Kaizen Managed Assets, Inc. has attained a certain level of skill or training.

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BROCHURE
DATED
1
OCTOBER
2011



MATERIAL CHANGES

ITEM 2

There have been no material changes made to this document since the last revision date indicated on the cover of this Disclosure Brochure.



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ADVISORY BUSINESS

Who We Are

Kaizen Managed Assets, Inc. (hereinafter referred to as “KMA”, the “Company” “we”, “us” and “our”) is a registered investment advisor¹ formed in August of 2002 as a Florida corporation to assist you, our client², achieve superior investment returns.

Owners

KMA is controlled by the following person:

Name	Title	CRD#
Robert R. Wood	President & Chief Compliance Officer	3047009

Assets Under Management

As of December 31, 2010, our assets under management totaled:

Client Discretionary Managed Accounts..... \$44,540,000

We do not offer non-discretionary investment management services.

Our Mission

Our mission is to manage your investable assets and assist in making intelligent, informed decisions on how best to achieve long-term growth and capital appreciation in your investment portfolio. We maintain one overall objective - to design and implement investment strategies that maximize wealth, maintain investment expectation and minimize risk.

What We Do

We manage diversified portfolios of primarily equity (“stock”) positions and fixed income/debt (“bond”) instruments. Depending on our market research, analysis of securities, and review of company earnings reports your investment portfolio will consist of those securities that we feel can beat popular market indices over a complete market cycle.

In order to accomplish your investment objectives we will: (i) create tailored investment strategy; (ii) implement the designed investment strategies for portfolio management; and, (iii) monitor the investment performance of such management strategies.

You can find more information about our management fees and services under “Portfolio Management” in Item 5, “Fees & Compensation” and further description of our management style under Item 8, “Methods of Analysis, Investment Strategies & Risk of Loss”.

¹ The term “registered investment advisor” is not intended to imply that Kaizen Managed Assets, Inc. has attained a certain level of skill or training. It is used strictly to reference the fact that we are “registered” as a licensed “investment advisor” with the Florida Office of Financial Regulation - and with such other State Regulatory Agencies that may have limited regulatory jurisdiction over our business practices.

² A client could be a high net-worth individual and their family members, a family office, a foundation or endowment, a charitable organization, a corporation and/or small business, a trust, a guardianship, an estate, or any other type of entity to which we choose to give investment advice.



How We Get to Know You

As a new client, we will often engage you in a pre-advisory consultation to discuss issues such as your current income and expenses, career, personal goals, investment return expectations and prior investment experience. With the complexity of today's marketplace, it is critical for us to understand who you are and what you want to accomplish financially. We must have a clear picture of your unique financial composition and risk tolerance so that we can develop a successful portfolio management strategy and tailored asset allocation guideline.

Our meetings with you to discuss your finances will help to eliminate much of the guesswork in achieving the security and independence you desire and simplify your financial alternatives. In return, we will have:

- ❖ Defined and narrowed objectives and investment options;
- ❖ Identified areas of greatest distress;
- ❖ Developed a strategy for addressing concerns about the future;
- ❖ Cultivated peace of mind; and,
- ❖ Created a unique picture of your overall economic personality.

Once your financial parameters have been identified, we will prepare an asset allocation plan that outlines what asset mix is most suitable for your unique investment expectations and risk tolerance. This asset allocation plan will guide us in the management of your account(s), and as a standard against which to measure future results and to make modifications where necessary.

FEES & COMPENSATION

ITEM 5

Portfolio Management

Portfolio management is provided on an asset-based fee arrangement. Management fees are calculated based on the aggregate market value of your account on the last business day of the previous calendar quarter multiplied by one-fourth of the corresponding annual percentage rate.

We retain discretion to negotiate the management fee on a client-by-client basis depending on the size and complexity of the portfolio managed. In addition, as your total portfolio value exceeds the following tier levels, either through asset growth or additional deposits, fee breaks occur and the portfolio management fee is adjusted accordingly.

Account Value	Annual Fee Rate Not to Exceed
Up to \$999,999	1.50%
\$1,000,000 to \$2,999,999	1.00%
Over \$3,000,000.....	0.75%

We generally require a minimum initial investment of \$500,000 to open a managed account; however, we retain the right to waived or reduced this minimum if we feel circumstances are warranted.



The portfolio management fee will be fully disclosed to you in an Investment Advisory Agreement prior to conducting any investment management services.

Protocols for Portfolio Management Services

The following protocols establish how we handle our portfolio management accounts and what you should expect when it comes to: (i) managing your account; (ii) your bill for investment services; and (iii) other fees charged to your account(s).

Discretion

We will establish discretionary trading authority on all management accounts to execute securities transactions at anytime without your prior consent or advice. However, you may, at anytime, impose restrictions, **in writing**, on our discretionary authority (i.e., limit the types/amounts of particular securities purchased for your account, exclude the ability to purchase securities with an inverse relationship to the market, limit our use of leverage, etc.).

Billing

Your account will be billed quarterly **in arrears** based on the above fee arrangements. For new managed accounts opened in mid-quarter, our fee will be based upon a pro-rated calculation of the fair market value of your assets managed for the prior period.

Advisory fees will be deducted first from any money market funds or cash balances. If such assets are insufficient to satisfy payment of such fees, a portion of the account assets will be liquidated to cover the fees.

Fee Exclusions

The above fees for all of our management services are exclusive of any charges imposed by the custodial firm including, but not limited to: (i) any Exchange/SEC fees; (ii) certain transfer taxes; (iii) service or account charges, including, postage/handling fees, electronic fund and wire transfer fees, auction fees, debit balances, margin interest, certain odd-lot differentials and mutual fund short-term redemption fees; and (iv) brokerage and execution costs associated with securities held in your managed account. There can also be other fees charged to your account that are unaffiliated with our management services.

In addition, all fees paid to us for portfolio management services are separate from any fees and expenses charged on mutual fund shares by the investment company or by the investment advisor managing the mutual fund portfolios. These expenses include management fees and various fund expense, such as: redemption, account, and purchase fees may occur but are generally the exception within managed accounts at institutional custodians. A complete explanation of these expenses charged by the mutual funds is contained in each mutual fund's prospectus. You are encouraged to carefully read the fund prospectus.

Termination of Investment Services

Either party (you or us) may, by written notification to the other party, terminate the Investment Advisory Agreement at any time, provided such written notification is received at least 30 days prior to the date of termination. This written notice should include the date the termination will go into affect along with any final instructions on the account (i.e., liquidate the account, finalize all transactions and/or cease all investment activity).

In the event termination does not fall on the last day of a calendar quarter, we will bill your account a pro-rated quarterly management fee based upon the number of days in the quarter



we managed your portfolio. Once the termination of investment advisory services has been implemented, neither party has any obligation to the other - we no longer earn management fees or give investment advice and you become responsible for making all future investment decisions.

PERFORMANCE-BASED FEES & SIDE-BY-SIDE MANAGEMENT

ITEM 6

We do not charge fees based on a share of capital gains or the capital appreciation of the assets held in your accounts.

TYPES OF CLIENTS

ITEM 7

The types of clients we offer advisory services to are described above under "Who We Are" in the Item 4, the "Advisory Business" section. Our minimum fee for portfolio management is disclosed above under "Portfolio Management" in Item 5 above in the, "Fees & Compensation" section of this Brochure.

METHODS OF ANALYSIS, INVESTMENT STRATEGIES & RISK OF LOSS

ITEM 8

Our portfolio management services are designed to build long-term wealth while maintaining risk tolerance levels acceptable to you. We combine your financial needs and investment objectives, time horizon, and risk tolerance to yield an effective investment strategy. Your portfolio is then tailored to these unique investment parameters using primarily equity ("stock") positions, fixed income and debt ("bond") instruments, along with the occasional mix of investment company ("mutual fund") products, and exchange traded funds ("ETFs").

In addition, depending on your risk tolerance, we may also recommend using the following investment vehicles to achieve your desired investment objective: derivatives (i.e., options, commodities, etc.), leveraged index funds, closed-end funds, hedge funds, private placements, and other publicly/privately traded securities. However, these investment vehicles bring on a different risk dynamic. If we recommend investment in one of these securities, we will discuss with you the limitations of such security and the potential risk factors to your portfolio.

Methods of Analysis

In analyzing all securities we will use a combination of analysis techniques to guide us in our management decisions.

Fundamental Analysis

Fundamental analysis considers: economic conditions, earnings, cash flow, book value projections, industry outlook, politics (as it relates to investments), historical data, price-earnings ratios, dividends, general level of interest rates, company management, debt ratios and tax benefits.



Technical Analysis

Technical analysis utilizes current and historical pricing information to help us identify trends in the broader domestic and foreign equity and fixed income markets, and in the underlying assets themselves. This may involve the use of various technical indicators, such as moving averages and trend-lines, among others.

Fundamental analysis provides us with a broad long-term view of a security that begins with determining a company's value and the strength of its financials while technical analysis is short-term focusing on the statistics generated by market activity.

Investment Strategies

Our general approach to portfolio management uses both fundamental and technical analysis. Fundamental research tells what ought to happen, while technical research tells us what is happening and indicates the future probabilities. Technical analysis, and in particular the law of supply and demand, gives us the discipline to make timely purchases and sales. Some of the research tools we utilize are as follows:

- ❖ **Upward Earnings Estimate Revisions** - This fundamental approach utilizes power of earnings estimate revisions made by Wall Street security analysts who daily fine tune upward or downward their earnings expectations. The marketplace reacts to surprises or changes in expectations as stock prices reflect new information about the companies not previously known.
- ❖ **Relative Strength** - Price momentum must accompany good fundamentals so relative strength plays a very important role and typically leads us to stocks with a higher probability of outperforming the market.
- ❖ **Offense or Defense** - We use technical market indicators based on the irrefutable law of supply and demand to determine whether offense or defense is dictated. These indicators have been in existence for almost 40 years.
- ❖ **Top-Down Approach** - We use our primary market indicators to get a measure of overall risk. We then analyze our broad industry sectors to determine which sector or sectors are in favor.
- ❖ **Sell Discipline** - We do not want our stocks to be exposed to a continuing negative pattern of earnings estimate reductions and erosive price action. Therefore, tactically we use trailing stock loss prices on all active positions.

There is always a time to buy and a time to sell even the most attractive stocks; we do not feel compelled to be fully invested in stocks when an alternative investment (cash reserves and/or bonds) offers a more attractive opportunity. In fact, it is our belief that avoiding severe losses is more important in determining overall market performance over the course of an entire market cycle.

Managing Risk

The biggest risk to you is the risk that the value of your investment portfolio will decrease due to moves in the market. This risk is referred to as the market risk factor, which is made up of four primary risks:

- ❖ **Interest Rate Risk** - Interest rate risk affects the value of bonds more than stocks. Essentially, when the interest rate on a bond begins to rise, the value (bond price) begins to drop; and vice versa, when interest rates on a bond fall, the bond value rises.



- ❖ **Equity Risk** - Equity risk is the risk that the value of your stocks will depreciate due to stock market dynamics causing one to lose money.
- ❖ **Currency Risk** - Currency risk is the risk that arises from the change in price of one currency against that of another. Investment values in internationally securities can be affected by changes in exchange rates.
- ❖ **Commodity Risk** - Commodity risk refers to the uncertainties of future market values and the size of future income caused by the fluctuation in the prices of commodities (i.e., grains, metals, food, electricity, etc...).

The risk factors cited here are not intended to be an exhaustive list, but are the most common risks your portfolio will encounter. Other risks that we haven't defined could be political, over-concentration, and liquidity to name a few. However notwithstanding these risk factors, the most important thing for you to understand is that regardless of how we analyze securities or the investment strategy and methodology we use to guide us in the management of your investment portfolio, **investing in a security involves a risk of loss that you should be willing and prepared to bear; and furthermore, past market performance is no guarantee that you will see equal or better future returns on your investment.**

DISCIPLINARY INFORMATION

ITEM 9

We have no legal or disciplinary events to report.

OTHER FINANCIAL INDUSTRY ACTIVITIES & AFFILIATIONS

ITEM 10

We are a fee-only registered investment advisor; none of our supervised persons are licensed, or are related to, another financial industry participant and therefore no disclosure is necessary for this item.

CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS & PERSONAL TRADING

ITEM 11

Code of Ethics

As a fiduciary, KMA has an affirmative duty to render continuous, unbiased investment advice, and at all times act in your best interest. To maintain this ethical responsibility, we have adopted a Code of Ethics that establishes the fundamental principles of conduct and professionalism expected by all personnel in discharging their duties. This Code is a value-laden guide committing such persons to uphold the highest ethical standards, rooted in the most elementary maxim - to do right by others. Our Code of Ethics is designed to deter inappropriate behavior and heighten awareness as to what is right, fair, just and good by promoting:

- ❖ Honest and ethical conduct.
- ❖ Full, fair and accurate disclosure.
- ❖ Compliance with applicable rules and regulations.
- ❖ Reporting of any violation of the Code.
- ❖ Accountability.



To help you understand our ethical culture and standards, how we control sensitive information and what steps have been taken to prevent personnel from abusing their inside position, a copy of our Code of Ethics is available for review upon request.

Client Transactions

We have a fiduciary duty to ensure that your welfare is not subordinated to any interests of ours or any of our personnel. The following disclosures are internal guidelines we have adopted to assist us in protecting all of our clientele.

Participation or Interest

It is against our policies for any of our personnel to invest with you or with a group of clients, or to advise you or a group of clients to invest in a private business interest or other non-marketable investment unless prior approval has been granted by Mr. Robert R. Wood, and such investment is not in violation of any SEC and/or State rules and regulations.

Class Action Policy

KMA, as a general policy, does not elect to participate in class action lawsuits on your behalf. Rather, such decisions shall remain with you or with an entity you designate. We may assist you in determining whether you should pursue a particular class action lawsuit by assisting with the development of an applicable cost-benefit analysis, for example. However, the final determination of whether to participate, and the completion and tracking of any such related documentation, shall generally rest with you.

Personal Trading

Employees of ours are permitted to personally invest their own monies in securities, which may also be, from time to time, recommended to you. Most of the time, such investment purchases are independent of, and not connected in any way to, the investment decisions made on your behalf. However, there may be instances where investment purchases for you may also be made in an employee's account. In these situations we have implemented the following guidelines in order to ensure our fiduciary integrity:

1. No employee acting as an Investment Advisor Representative ("RA"), or who has discretion over your account, shall buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment, unless the information is also available to the investing public on reasonable inquiry. No employee of ours shall prefer his or her own interest to that of yours or any other advisory client.
2. We maintain a list of all securities holdings for all our access employees. Our Chief Compliance Officer reviews these holdings on a regular basis.
3. We require that all employees act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.
4. Bunched orders (See "Trading Allocation" above) may include employee accounts. In such cases, priority and advantage will be given to satisfy your order first regardless of the situation.
5. Any individual not in observance of the above may be subject to termination.

Personal trading activities are monitored by Mr. Robert R. Wood to ensure that such activities do not impact upon your security or create conflicts of interest.



BROKERAGE PRACTICES

Custodial Services

KMA has custodial arrangements with Fidelity Investments ("Fidelity"), an NYSE licensed broker-dealer (member NYSE/SIPC), through its Fidelity Institutional Wealth Services to investment advisors. Fidelity offers us services which include custody of securities, trade execution, clearance and settlement of transactions.

Our recommendation for you to custody your assets with Fidelity has no direct correlation to the services we receive from Fidelity and the investment advice we offer you, although we do receive economic benefits through our relationship with Fidelity that are typically not available to Fidelity retail clients. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate client statements and confirmations; research related products and tools; consulting services; access to a dedicated trading desk; access to batch trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to accounts); the ability to have advisory fees deducted directly from accounts; access to an electronic communications network for order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers.

We are not a subsidiary of, or an affiliated entity of Fidelity. We have sole responsibility for investment advice rendered, and our advisory services are provided separately and independently from Fidelity.

Direction of Transactions and Commission Rates (Best Execution)

We have a fiduciary duty to put your interests before our own. Fidelity's advisory support services create an economic benefit to us and a potential conflict of interest may appear to you in that our recommendation to custody your account(s) with Fidelity may have been influenced by these arrangements/services. This is not the case for two reasons:

1. We selected Fidelity as the custodian of choice based on their competitive transaction charges, Fidelity's trading platform, and on-line services for account administration and operational support.
2. You do not have to accept our recommendation to use Fidelity as the custodian. However we may not be able to provide you complete institutional services if you elect to use another broker-dealer.

Furthermore, we make no recommendation that you custody your account(s) with Fidelity solely on their commission rates being the lowest. Fidelity's general reputation, trading capabilities, investment inventory, their financial strength, and our personal experience working with Fidelity have been considered, among other items, in suggesting Fidelity to you. However, since we do not recommend, suggest, or make available a selection of custodians other than Fidelity, best execution may not always be achieved.

Aggregating Trade Orders

Our objective in order execution is to act fairly, impartially, and to take all reasonable steps to obtain the best possible results (known as "best execution") for our clients. Therefore, we will not bunch (aggregate) orders for a block trade unless: (i) the bunching of orders is done for the



purpose of achieving best execution; and (ii) no client is systematically advantaged or disadvantaged by bunching the orders.

In consideration of these objectives, we will take into account the unique execution factors of the buy/sell order before bunching accounts for a block trade. A few of those factors are:

- ❖ **Security Trading Volume** - Bunching orders in a block trade can secure price parity and continuity for our clients during heavy trading activity.
- ❖ **Number of Clients** - The fewer the number of client accounts involved in the bunched order may not yield better pricing or order execution; it may be more advantageous to perform an individual market order for each client. In addition preparing individual market orders, for the small number of accounts involved, may be quicker to complete than preparing a bunch order.
- ❖ **Financial Instruments** - The type of security involved as well as the complexity of order can affect our ability to achieve best execution.

REVIEW OF ACCOUNTS

ITEM 13

Each account is reviewed on an ongoing basis by Mr. Robert R. Wood to ensure that your needs and objectives are being met. All accounts are reviewed in the context of your stated investment objectives and asset allocation guidelines. Cash needs will be adjusted as necessary.

You will receive monthly statements from Fidelity Investments where your account(s) are custodied. Each statement will summarize the specific investments currently held, the value of your portfolio and account transactions. You are encourage to review these statements for accuracy

It is recommended that we review your account with you at least annually. Material changes in your personal circumstances, the general economy, or tax law changes can trigger more frequent reviews. However, it is your responsibility to communicate these changes to us so that the appropriate adjustments can be made.

CLIENT REFERRALS & OTHER COMPENSATION

ITEM 14

Other Compensation (Indirect Benefit)

KMA receives an indirect economic benefit from Fidelity (See "Custodial Services" above under Item 12, "Brokerage Practices" for more detailed information on these services and products could be.).

CUSTODY

ITEM 15

Withdrawing Management Fees from Custodial Accounts

We do not take possession of or maintain custody of your funds or securities, but will simply monitor the holdings within your portfolio and trade your account based on your stated



investment objectives and guidelines. Physical possession and custody of your funds and/or securities shall be maintained with Fidelity as indicated above in Item 12, "Brokerage Practices."

We are however defined as having custody since you have authorized us to deduct our advisory fees directly from your account. To protect you as well as to protect our advisory practice, we have implemented the following regulatory safeguards:

- ❖ We report to the regulatory authority (the Florida Office of Financial Regulation) having jurisdiction over our advisory practice that we have custody.
- ❖ Your funds and securities will be maintained with a qualified custodian (Fidelity) in a separate account in your name.
- ❖ Authorization to withdrawal our management fees directly from your account will be approved by you prior to engaging in any portfolio management services.
- ❖ At the time we notify Fidelity to withdrawal our quarterly fee from your account, we will send you a quarterly notice itemizing our fee. Itemization includes the formula used to calculate our fee, the amount of assets under management the fee is based on, and the time period covered by the fee.

Fidelity is required by law to send you, at least quarterly, brokerage statements summarizing the specific investments currently held in your account, the value of your portfolio, and account transactions. You are encouraged to compare the financial data contained in our report and/or itemized fee notice with the financial information disclosed in your account statement from Fidelity to verify the accuracy and correctness of our reporting.

INVESTMENT DISCRETION

ITEM 16

Securities & Amount Bought or Sold

We execute an Investment Advisory Agreement with you, which set forth our authority to buy and sell securities in whatever amounts are determined to be appropriate for your account at our discretion.

You may, at anytime, impose restrictions, **in writing**, on our discretionary authority (i.e., limit the types/amounts of particular securities purchased for your account, exclude the ability to purchase securities with an inverse relationship to the market, limit our use of leverage, etc.).

VOTING CLIENT SECURITIES

ITEM 17

We do not vote client proxies. You understand and agree that you retain the right to vote all proxies, which are solicited for securities held in your managed accounts. Any proxy solicitations inadvertently received by us will be immediately forwarded to you for your evaluation and decision.

However if you have specific questions regarding an action being solicited by the proxy that you do not understand or you want clarification, you may contact us and we will explain the particulars. Keep in mind we will not advise you in a direction to vote, that ultimate decision will be left to you.



FINANCIAL INFORMATION

ITEM 18

We are not required to include financial information in our Disclosure Brochure since we will not take physical custody of client funds or securities or bill client accounts six (6) months or more in advance for more than \$500.

We are not aware of any financial conditions that are likely to impair our ability to meet our contractual commitments to you.

REQUIREMENTS FOR STATE-REGISTERED ADVISORS

ITEM 19

Information on each of our principal executive officers and management persons can be found in the attached "Brochure Supplements".

END OF DISCLOSURE BROCHURE

FORM ADV: PART 2B

BROCHURE SUPPLEMENT



Kaizen Managed Assets, Inc.

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Tel: 727.461.9506
Fax: 727.461.9506

SUPERVISION

Robert R. Wood
Chief Compliance Officer

e-mail:
bwood82@tampabay.rr.com

Mr. Wood is responsible for the regulatory oversight of our advisory practice - ensuring that we are operating in compliance with federal and state regulations.

His responsibilities include, but are not limited to, reviewing investment activities to ensure that all supervised persons are acting in clients' best interest.

BROCHURE SUPPLEMENT
DATED

1

OCTOBER
2011

This Brochure Supplement provides information about Robert R. Wood and is an accompaniment to the Disclosure Brochure for Kaizen Managed Assets, Inc. You should have received both together as a complete disclosure packet. If you did not receive the Disclosure Brochure or if you have questions about this Brochure Supplement, you are welcome to contact Mr. Wood. Our contact information is listed to the left.

Additional information about Kaizen Managed Assets, Inc. and Robert R. Wood are also available on the SEC's website at www.adviserinfo.sec.gov.

Robert R. Wood

CRD#: 3047009

Year of Birth: 1959

EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Education

Mr. Wood is self-educated, having elected not to attend college for financial and other family reasons. However, his experience in sales and management, life-long interest in the financial markets, passion for reading and research, and extensive training and experience as a comprehensive financial planner at American Express Financial Advisors, enabled him to establish his own asset management firm. Mr. Wood earned the Chartered Financial Consultant® (ChFC®) an Chartered Life Underwriter® (CLU®) designations from the American College of Financial Planning in Bryn Mawr, PA in 2001. He is a current member of Mensa.

Licenses

FINRA Exams: Series 7 - General Securities Representative (Retired)
Series 66 - Uniform Combined State Law Examination (Active)

Insurance: Florida Life, Health & Fixed Annuity License (Retired)

Business Background

09/2002 - PresentKaizen Managed Assets, Inc.
Position: President & Chief Investment Officer

04/1998 - 10/2002American Express Financial Advisors, Inc.
Position: Registered Representative

04/1998 - 10/2002IDS Life Insurance Services
Position: Licensed Insurance Agent

DISCIPLINARY INFORMATION

There are no legal or disciplinary events to report.

OTHER BUSINESS ACTIVITIES

Mr. Wood is not involved in any other business activities. Full focus of his attention is directed to meeting your financial and investment needs.

ADDITIONAL COMPENSATION

Mr. Wood does not receive any economic benefit, incentives, sales awards, prizes or bonuses that are based on the number or amount of sales, client referrals, or from opening new accounts.



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