

**Brochure Supplement**  
**(Provided Under Part 2B of Form ADV)**  
**March 2013**

S. Katherine Campbell, CFP®

NORTH BERKELEY INVESTMENT PARTNERS, LLC

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*This brochure supplement provides information about S. Katherine ("Kate") Campbell that supplements our brochure. You should have received a copy of that brochure. Please contact S. Katherine Campbell, Chief Compliance Officer, if you did not receive North Berkeley Investment Partners, LLC's brochure or if you have any questions about the contents of this supplement.*

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

## EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**S. Katherine Campbell**

**Date of Birth: December 24, 1961**

### **Educational Background:**

- University of California, Berkeley; MA; 1990
- Dartmouth College; AB; 1983

### **Business Background:**

- North Berkeley Investment Partners, LLC – Member, Chief Compliance Officer, Investment Advisor Representative, July 2005 to Present
- Protected Investors of America – CFO, 1994-1999; President, 1999-2001; Registered Representative and Minority Shareholder, May 1993 to September 2012

### **Licenses and Professional Designations:**

- CA Insurance License #0C09134
- CFP® - CERTIFIED FINANCIAL PLANNER™



**S. Katherine Campbell, CFP®**

Kate is a Partner of the firm and leads many client relationships at North Berkeley Investment Partners. Kate leads the firm's financial planning function. Kate has sixteen years of experience providing financial planning, investment advice, and investment management for individuals and families. Before founding the firm with Sue Reinhold in 2005, Kate had built a financial planning and investment management practice that had about \$130 million of total assets in client portfolios. From 1993 to 2012, Kate served as CFO, and then President, of Protected Investors of America, an independent, Associate-owned securities brokerage firm, and has served on the board.



Kate has spent time serving on committees of the Financial Industry Regulatory Authority (FINRA), previously called the National Association of Securities Dealers (NASD), in the areas of development of policy and regulations, and has served on securities industry disciplinary panels. Kate is a member of the San Francisco chapter of the Financial Planning Association, and the Social Investment Forum, a national network of investment professionals who work in the area of socially responsible investing.

Kate received her A.B. in Chinese Language and Culture from Dartmouth College and an M.A. in Anthropology from the University of California at Berkeley. Kate grew up in Lafayette, and now lives in North Berkeley with her son and daughter. She enjoys hiking, cooking, learning piano and time with her family.

**CFP® - CERTIFIED FINANCIAL PLANNER™:**

The Certified Financial Planner™, CFP® and federally registered CFP marks are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United

States college or university (or its equivalent from a foreign university, pass the comprehensive CFP® Certification Examination, Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP Board's *Standards of Professional Conduct*.

Individuals who become certified must complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial industry and renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

## **DISCIPLINARY INFORMATION**

Kate has not been subject to any disciplinary actions through her affiliation with North Berkeley Investment Partners, LLC as regulated by the Securities and Exchange Commission (SEC).

## **OTHER BUSINESS ACTIVITIES**

Kate also holds a California insurance license for the purpose of providing insurance services to existing clients. A conflict of interest may arise as these commissionable insurance product sales may create an incentive to recommend products based on the compensation Kate may earn and may not necessarily be in the best interests of the client. In order to minimize this conflict of interest, she will place client interests ahead of her own interests and adhere to our firm's Code of Ethics as well as clearly explaining this conflict when recommending any such products to clients. Clients are not obligated to purchase these products.

## **ADDITIONAL COMPENSATION**

Kate does not receive economic benefits from a non-client for providing advisory services.

## **SUPERVISION**

Sue Reinhold, principal of North Berkeley Investment Partners, LLC, supervises and monitors Kate's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Kate directly if you have any questions about her brochure supplement at (510) 528-5820.