

## **Item 1 - Cover Page**

# **Lakeview Capital Partners, LLC**

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## **June 25, 2013 Brochure**

This brochure provides information about the qualifications and business practices of Lakeview Capital Partners, LLC ("LCP"). If you have any questions about the contents of this brochure, please contact us at (404) 841-2224 or [scott@lakeviewcapitalmanagement.com](mailto:scott@lakeviewcapitalmanagement.com). The information in this brochure has not been approved or verified (404) 841-2224 the United States Securities and Exchange Commission or by any state authority.

Additional information about LCP also is available on the SEC's website at [www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

## **Item 2 - Material Changes**

This Brochure is prepared in the revised format required by the SEC beginning in 2011. Registered Investment Advisers are required to use this format in order to inform clients of the nature of advisory services provided, types of clients served, fees charged, potential conflicts of interest and other information. The new Brochure requirements include providing a Summary of Material Changes (the "Summary") reflecting any change to our policies, practices, or conflicts of interest made since our last annual update. This Summary is provided to all clients within 120 days of our fiscal year-end. Our last annual update was filed on March 5, 2013. Of course the complete Brochure is available to clients at any time upon request.

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#### ***Item 4 - Advisory Business***

##### General Information

Lakeview Capital Partners, LLC was formed in 2012, and provides financial planning and portfolio management services to its clients. Scott Wilder and Lone Peak Capital Group, LLC are the sole principal owners of LCP.

##### Type and Value of Assets Currently Managed

As of June 2013, LCP managed \$120,774,022 on a discretionary basis, and \$3,248,120 of assets on a non-discretionary basis.

#### **SERVICES OFFERED**

At the outset of each client relationship, LCP spends time with the client, asking questions, discussing the client's investment experience and financial circumstances, and reviewing options for the client. Based on its reviews, LCP generally develops with each client:

- a financial outline for the client based on the client's financial circumstances and goals, and the client's risk tolerance level (the "Financial Profile"); and
- the client's investment objectives and guidelines (the "Investment Plan").

The Financial Profile is a reflection of the client's current financial picture and a look to the future goals of the client. The Investment Plan outlines the types of investments LCP will make or recommend on behalf of the client in order to meet those goals. The Profile and the Plan are discussed regularly with each client, but are not necessarily written documents.

##### Financial Planning

One of the services offered by LCP is Financial Planning, described below. This service may be provided as a stand-alone service, or may be coupled with ongoing portfolio management.

Financial Planning may include advice that addresses one or more areas of a client's financial situation, such as estate planning, risk management, budgeting and cash flow controls, retirement planning, education funding, and investment portfolio design and ongoing management. Depending on a client's particular situation, financial planning may include some or all of the following:

- Gathering factual information concerning the client's personal and financial situation;
- Assisting the client in establishing financial goals and objectives;
- Analyzing the client's present situation and anticipated future activities in light of the client's financial goals and objectives;
- Identifying problems foreseen in the accomplishment of these financial goals and objectives and offering alternative solutions to the problems;
- Making recommendations to help achieve retirement plan goals and objectives;
- Designing an investment portfolio to help meet the goals and objectives of the client;
- Providing estate planning;
- Assessing risk and reviewing basic health, life and disability insurance needs; or
- Reviewing goals and objectives and measuring progress toward these goals.

Once Financial Planning advice is given, the client may choose to have LCP implement the client's financial plan and manage the investment portfolio on an ongoing basis. However, the client is under no obligation to act upon any of the recommendations made by LCP under a Financial Planning engagement and/or engage the services of any recommended professional.

### Portfolio Management

As described above, at the beginning of a client relationship, LCP meets with the client, gathers information, and performs research and analysis as necessary to develop the client's Investment Plan. The Investment Plan will be updated from time to time when requested by the client, or when determined to be necessary or advisable by LCP based on updates to the client's financial or other circumstances.

To implement the client's Investment Plan, LCP will manage the client's investment portfolio on a discretionary or a non-discretionary basis. As a discretionary investment adviser, LCP will have the authority to supervise and direct the portfolio without prior consultation with the client. Clients who choose a non-discretionary arrangement must be contacted prior to the execution of any trade in the account(s) under management. This may result in a delay in executing recommended trades, which could adversely affect the performance of the portfolio. This delay also normally means the affected account(s) will not be able to participate in block trades, a practice designed to enhance the execution quality, timing and/or cost for all accounts included in the block. In a non-discretionary arrangement, the client retains the responsibility for the final decision on all actions taken with respect to the portfolio.

Notwithstanding the foregoing, clients may impose certain written restrictions on LCP in the management of their investment portfolios, such as prohibiting the inclusion of certain types of investments (e.g., "sin stocks") in an investment portfolio or prohibiting the sale of certain investments held in the account at the commencement of the relationship. Each client should note, however, that restrictions imposed by a client may adversely affect the composition and performance of the client's investment portfolio. Each client should also note that his or her investment portfolio is treated individually by giving consideration to each purchase or sale for the client's account. For these and other reasons, performance of client investment portfolios within the same investment objectives, goals and/or risk tolerance may differ and clients should not expect that the composition or performance of their investment portfolios would necessarily be consistent with similar clients of LCP.

### Separate Account Managers

When appropriate and in accordance with the Investment Plan for a client, LCP may utilize one or more Separate Account Managers, each a "Manager". Having access to various Managers offers a wide variety of manager styles, and offers clients the opportunity to utilize more than one Manager if necessary to meet the needs and investment objectives of the client. LCP will usually select the Manager(s) it deems most appropriate for the client. Factors that LCP considers in recommending/selecting Managers generally includes the client's stated investment objective(s), management style, performance, risk level, reputation, financial strength, reporting, pricing, and research.

The Manager(s) will generally be granted discretionary trading authority to provide investment supervisory services for the portfolio. Under certain circumstances, LCP retains the authority to terminate the Manager's relationship or to add new Managers without specific client consent. In other cases, the client will ultimately select one or more Managers recommended by LCP.

In any case, with respect to assets managed by a Manager, LCP's role will be to monitor the overall financial situation of the client, to monitor the investment approach and performance of the Manager(s), and to assist the client in understanding the investments of the portfolio.

## ***Item 5 - Fees and Compensation***

### **General Fee Information**

Fees paid to LCP are exclusive of all custodial and transaction costs paid to the client's custodian, brokers or other third party consultants. Please see ***Item 12 - Brokerage Practices*** for additional information. Fees paid to LCP are also separate and distinct from the fees and expenses charged by mutual funds, ETFs (exchange traded funds) or other investment pools to their shareholders (generally including a management fee and fund expenses, as described in each fund's prospectus or offering materials). The client should review all fees charged by funds, brokers, LCP and others to fully understand the total amount of fees paid by the client for investment and financial-related services.

### **Portfolio Management Fees**

The annual fee schedule, based on a percentage of assets under management, is as follows:

First \$500,000	2.00%
Next \$500,000	1.50%
Balance above \$1,000,000	1.00%

There is no minimum annual fee or minimum portfolio value for client accounts; however, LCP may at its discretion, make exceptions to the foregoing fee schedule or negotiate special fee arrangements where LCP deems it appropriate under the circumstances.

Portfolio management fees are generally payable quarterly, in advance. If management begins after the start of a quarter, fees will be prorated accordingly. Fees are normally debited directly from client account(s), unless other arrangements are made.

Either LCP or the client may terminate their Investment Management Agreement at any time, subject to any written notice requirements in the agreement. In the event of termination, any paid but unearned fees will be promptly refunded to the client based on the number of days that the account was managed, and any fees due to LCP from the client will be invoiced or deducted from the client's account prior to termination.

### **Financial Planning Fees**

When LCP provides stand-alone financial planning services to clients, these fees are negotiated at the time of the engagement for such services and are normally based on the scope of the engagement.

### **Other Compensation**

Certain of LCP's employees are also Registered Representatives of one or more registered broker/dealers. As such, they are entitled to receive commissions or other remuneration on the sale of insurance and other products. In order to protect client interests, LCP's policy is to fully disclose all forms of compensation before any such transaction is executed. Clients will not pay both a commission to these individuals and also pay an advisory fee to LCP on assets held in the same account. These fees are exclusive of each other.

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

LCP does not have any performance-based fee arrangements. "Side by Side Management" refers to a situation in which the same firm manages accounts that are billed based on a percentage of assets under management and at the same time manages other accounts for which fees are assessed on a performance fee basis. Because LCP has no performance-based fee accounts, it has no side-by-side management.

## ***Item 7 - Types of Clients***

LCP serves individuals, pension and profit-sharing plans, corporations, trusts, estates and charitable organizations. LCP does not have a minimum annual fee or minimum portfolio value.

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

### Methods of Analysis

In accordance with the Investment Plan, LCP will primarily invest in ETFs, mutual funds and common stocks for clients' accounts. Other types of investments will be utilized as appropriate.

The mission at LCP is to provide the individual investor with the same information, expertise and strategy that has historically only been available to institutional and super-wealthy investors. Through rigorous research, LCP has identified and partnered with some highly successful fund managers, economists and strategists and has gained access to their theories and ideas. It is this, LCP's unique knowledge and insight, that forms the foundation of our investment theory as we direct our clients' assets.

Specifically, ETFs and mutual funds are generally evaluated and selected based on a variety of factors, including, as applicable and without limitation, past performance, fee structure, portfolio manager, fund sponsor, overall ratings for safety and returns, and other factors.

When selecting individual common stocks for client accounts, LCP generally uses fundamental analysis, which involves the review and evaluation of the business and financial information about an issuer. Without limitation, the following factors generally will be considered:

- Financial strength ratios;
- Price-to-earnings ratios;
- Dividend yields; and
- Growth rate-to-price earnings ratios

Fixed income investments may be used as a strategic investment, as an instrument to fulfill liquidity or income needs in a portfolio, or to add a component of capital preservation. LCP may evaluate and select individual bonds or bond funds based on a number of factors including, without limitation, rating, yield and duration.

When appropriate, LCP may select Separate Account Managers that specialize in particular areas, such as fixed income investing, specific segments of the market, etc.

### Investment Strategies:

LCP's strategic approach is to invest each portfolio in accordance with the Plan that has been developed specifically for each client. LCP generally buys securities for the long term purchased with the expectation that the value of those securities will grow over a relatively long period of time, generally greater than one year. LCP may also buy securities for the short term purchased with the expectation that they will be sold within a relatively short period of time, generally less than one year, to take advantage of the securities' short term price fluctuations.

LCP may recommend a covered call strategy for clients who seek to generate additional income beyond dividends from their stock holdings and/or to gain a limited amount of protection against a decline in the stock's value. Covered call writing entails the sale of a call option covered by shares held by investors in their brokerage accounts. The seller or "writer" of the call option receives a premium

for writing the call. The seller gets to earn the premium while at the same time appreciate all the benefits of underlying stock ownership, such as dividends and voting rights, unless the seller is assigned an exercise notice on the written call and is obligated to sell the shares.

While the sale of a covered call generates positive cash flow, it does not eliminate the downside risk of stock ownership. In addition, the writer gives up the chance to benefit from any appreciation above the call option's strike price, and the sale of shares due to assignment may result in a taxable gain. Investing in stock options is generally considered to carry higher risk than just owning the shares of stock. However, at LCP we believe the protections offered by this strategy, such as increased income to the portfolio and limited downside protection outweighs the additional risk of a covered call strategy.

#### Risk of Loss

While LCP seeks to diversify clients' investment portfolios across various asset classes consistent with their Investment Plans in an effort to reduce risk of loss, all investment portfolios are subject to risks. Accordingly, there can be no assurance that client investment portfolios will be able to fully meet their investment objectives and goals, or that investments will not lose money.

Below is a description of several of the principal risks that client investment portfolios face.

*Management Risks.* While LCP manages client investment portfolios based on LCP's experience, research and proprietary methods, the value of client investment portfolios will change daily based on the performance of the underlying securities in which they are invested. Accordingly, client investment portfolios are subject to the risk that LCP (or a recommended Separate Account Manager) allocates assets to asset classes that are adversely affected by unanticipated market movements, and the risk that LCP's specific investment choices could underperform their relevant indexes.

*Risks of Investments in Mutual Funds, ETFs and Other Investment Pools.* As described above, LCP (or a recommended Separate Account Manager) will usually invest client portfolios in mutual funds, ETFs and other investment pools ("pooled investment funds"). Investments in pooled investment funds are generally less risky than investing in individual securities because of their diversified portfolios; however, these investments are still subject to risks associated with the markets in which they invest. In addition, pooled investment funds' success will be related to the skills of their particular managers and their performance in managing their funds. Pooled investment funds are also subject to risks due to regulatory restrictions applicable to registered investment companies under the Investment Company Act of 1940.

*Equity Market Risks.* LCP (or a recommended Separate Account Manager) invest portions of client assets directly into equity investments, primarily into pooled investment funds that invest in the stock market. As noted above, while pooled investments have diversified portfolios that may make them less risky than investments in individual securities, funds that invest in stocks and other equity securities are nevertheless subject to the risks of the stock market. These risks include, without limitation, the risks that stock values will decline due to daily fluctuations in the markets, and that stock values will decline over longer periods (e.g., bear markets) due to general market declines in the stock prices for all companies, regardless of any individual security's prospects.

*Fixed Income Risks.* LCP (or a recommended Separate Account Manager) may invest portions of client assets directly into fixed income instruments, such as bonds and notes, or may invest in pooled investment funds that invest in bonds and notes. While investing in fixed income instruments, either directly or through pooled investment funds, is generally less volatile than investing in stock (equity) markets, fixed income investments nevertheless are subject to risks. These risks include, without

limitation, interest rate risks (risks that changes in interest rates will devalue the investments), credit risks (risks of default by borrowers), or maturity risk (risks that bonds or notes will change value from the time of issuance to maturity).

*Foreign Securities Risks.* LCP (or a recommended Separate Account Manager) may invest portions of client assets into pooled investment funds that invest internationally. While foreign investments are important to the diversification of client investment portfolios, they carry risks that may be different from U.S. investments. For example, foreign investments may not be subject to uniform audit, financial reporting or disclosure standards, practices or requirements comparable to those found in the U.S. Foreign investments are also subject to foreign withholding taxes and the risk of adverse changes in investment or exchange control regulations. Finally, foreign investments may involve currency risk, which is the risk that the value of the foreign security will decrease due to changes in the relative value of the U.S. dollar and the security's underlying foreign currency.

#### ***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 a client's evaluation of LCP or the integrity of LCP's management. LCP has no disciplinary events to report.

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

Neither LCP nor its Management Persons have any other financial industry activities or affiliations to report.

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

##### **Code of Ethics and Personal Trading**

LCP has adopted a Code of Ethics ("the Code"), the full text of which is available to you upon request. LCP's Code has several goals. First, the Code is designed to assist LCP in complying with applicable laws and regulations governing its investment advisory business. Under the Investment Advisers Act of 1940, LCP owes fiduciary duties to its clients. Pursuant to these fiduciary duties, the Code requires LCP associated persons to act with honesty, good faith and fair dealing in working with clients. In addition, the Code prohibits associated persons from trading or otherwise acting on insider information.

Next, the Code sets forth guidelines for professional standards for LCP's associated persons (managers, officers and employees). Under the Code's Professional Standards, LCP expects its associated persons to put the interests of its clients first, ahead of personal interests. In this regard, LCP associated persons are not to take inappropriate advantage of their positions in relation to LCP clients.

Third, the Code sets forth policies and procedures to monitor and review the personal trading activities of associated persons. From time to time LCP's associated persons may invest in the same securities recommended to clients. Under its Code, LCP has adopted procedures designed to reduce or eliminate conflicts of interest that this could potentially cause. The Code's personal trading policies include procedures for limitations on personal securities transactions of associated persons, reporting and review of such trading and pre-clearance of certain types of personal trading activities. These policies are designed to discourage and prohibit personal trading that would disadvantage clients. The Code also provides for disciplinary action as appropriate for violations.



### Participation or Interest in Client Transactions

As outlined above, LCP has adopted procedures to protect client interests when its associated persons invest in the same securities as those selected for or recommended to clients. In the event of any identified potential trading conflicts of interest, LCP's goal is to place client interests first.

Consistent with the foregoing, LCP maintains policies regarding participation in initial public offerings (IPOs) and private placements in order to comply with applicable laws and avoid conflicts with client transactions. If a LCP associated person wishes to participate in an IPO or invest in a private placement, he or she must submit a pre-clearance request and obtain the approval of the Chief Compliance Officer. If associated persons trade with client accounts (e.g., in a bundled or aggregated trade), and the trade is not filled in its entirety, the associated person's shares will be removed from the block, and the balance of shares will be allocated among client accounts in accordance with LCP's written policy.

### ***Item 12 - Brokerage Practices***

#### Best Execution and Benefits of Brokerage Selection

When given discretion to select the brokerage firm that will execute orders in client accounts, LCP seeks "best execution" for client trades, which is a combination of a number of factors, including, without limitation, quality of execution, services provided and commission rates. Therefore, LCP may use or recommend the use of brokers who do not charge the lowest available commission in the recognition of research and securities transaction services, or quality of execution. Research services received with transactions may include proprietary or third party research (or any combination), and may be used in servicing any or all of LCP's clients. Therefore, research services received may not be used for the account for which the particular transaction was effected.

LCP may recommend that clients establish brokerage accounts with the Schwab Advisor Services division of Charles Schwab & Co., Inc. (Schwab), a FINRA registered broker-dealer, member SIPC, to maintain custody of clients' assets. LCP may also effect trades for client accounts at Schwab, or may in some instances, consistent with LCP's duty of best execution and specific agreement with each client, elect to execute trades elsewhere. Although LCP may recommend that clients establish accounts at Schwab, it is ultimately the client's decision to custody assets with Schwab. LCP is independently owned and operated and is not affiliated with Schwab.

Schwab provides LCP with access to its institutional trading and custody services, which are typically not available to Schwab retail investors. These services generally are available to independent investment advisors on an unsolicited basis, at no charge to them so long as LCP maintains a pre-established minimum amount of client assets in accounts at Schwab Advisor Services. Schwab's brokerage services include the execution of securities transactions, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.

For LCP client accounts maintained in its custody, Schwab generally does not charge separately for custody services but is compensated by account holders through commissions and other transaction-related or asset-based fees for securities trades that are executed through Schwab or that settle into Schwab accounts. Schwab Advisor Services also makes available to LCP other products and services that benefit LCP but may not directly benefit its clients' accounts. Many of these products and services may be used to service all or some substantial number of LCP accounts, including accounts not maintained at Schwab.

Schwab's products and services that assist LCP in managing and administering clients' accounts include software and other technology that (i) provide access to client account data (such as trade confirmations and account statements); (ii) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; (iii) provide research, pricing and other market data; (iv) facilitate payment of LCP's fees from its clients' accounts; and (v) assist with back-office functions, recordkeeping and client reporting.

Schwab Advisor Services also offers other services intended to help LCP manage and further develop its business enterprise. These services may include: (i) compliance, legal and business consulting; (ii) publications and conferences on practice management and business succession; and (iii) access to employee benefits providers, human capital consultants and insurance providers. Schwab may make available, arrange and/or pay third-party vendors for the types of services rendered to LCP. Schwab Advisor Services may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to LCP. Schwab Advisor Services may also provide other benefits such as educational events or occasional business entertainment of LCP personnel. In evaluating whether to recommend that clients custody their assets at Schwab, LCP may take into account the availability of some of the foregoing products and services and other arrangements as part of the total mix of factors it considers and not solely on the nature, cost or quality of custody and brokerage services provided by Schwab, which may create a potential conflict of interest.

#### Directed Brokerage

Clients may direct LCP to use a particular broker for custodial or transaction services on behalf of the client's portfolio. In directed brokerage arrangements, the client is responsible for negotiating the commission rates and other fees to be paid to the broker. Accordingly, a client who directs brokerage should consider whether such designation may result in certain costs or disadvantages to the client, either because the client may pay higher commissions or obtain less favorable execution, or the designation limits the investment options available to the client.

The arrangement that LCP has with Schwab is designed to maximize efficiency and to be cost effective. By directing brokerage arrangements, the client acknowledges that these economies of scale and levels of efficiency are generally compromised when alternative brokers are used. While every effort is made to treat clients fairly over time, the fact that a client chooses to use the brokerage and/or custodial services of these alternative service providers may in fact result in a certain degree of delay in executing trades for their account(s) and otherwise adversely affect management of their account(s).

By directing LCP to use a specific broker or dealer, clients who are subject to ERISA confirm and agree with LCP that they have the authority to make the direction, that there are no provisions in any client or plan document which are inconsistent with the direction, that the brokerage and other goods and services provided by the broker or dealer through the brokerage transactions are provided solely to and for the benefit of the client's plan, plan participants and their beneficiaries, that the amount paid for the brokerage and other services have been determined by the client and the plan to be reasonable, that any expenses paid by the broker on behalf of the plan are expenses that the plan would otherwise be obligated to pay, and that the specific broker or dealer is not a party in interest of the client or the plan as defined under applicable ERISA regulations.

#### Aggregated Trade Policy

LCP typically directs trading in individual client accounts as and when trades are appropriate based on the client's Investment Plan, without regard to activity in other client accounts. However, from time to time, LCP may aggregate trades together for multiple client accounts, most often when these accounts are being directed to sell the same securities at the same time. If such an aggregated trade is not

completely filled, LCP will allocate shares received (in an aggregated purchase) or sold (in an aggregated sale) across participating accounts on a pro rata or other fair basis; provided, however, that any participating accounts that are owned by LCP or its officers, directors, or employees will be excluded first.

#### Cross Trades

From time to time, LCP may direct a “cross trade” of securities (including, without limitation, fixed income securities) between client accounts, whereby LCP arranges for one client account to purchase a security directly from another client. In such cases, LCP will seek to obtain a price for the security from one or more independent sources. LCP is not a broker-dealer and receives no compensation from a cross trade; however, the broker-dealer facilitating the cross trade normally charges administrative fees to the clients’ accounts.

LCP may direct a cross trade when LCP believes that the transaction is in the best interest of the clients, that no client will be disfavored by the transaction, and that the transaction receives the best execution.

#### ***Item 13 - Review of Accounts***

Managed portfolios are reviewed at least quarterly, but may be reviewed more often if requested by the client, upon receipt of information material to the management of the portfolio, or at any time such review is deemed necessary or advisable by LCP. These factors may include but are not limited to, the following: change in general client circumstances (marriage, divorce, retirement); or economic, political or market conditions. One or more Investment Adviser Representatives and/or firm principals review all accounts.

Account custodians are responsible for providing monthly or quarterly account statements which reflect the positions (and current pricing) in each account as well as transactions in each account, including fees paid from an account. Account custodians also provide prompt confirmation of all trading activity, and year-end tax statements, such as 1099 forms. In addition, LCP provides a quarterly report for each managed portfolio. This written report normally includes a summary of portfolio holdings and performance results. Additional reports are available at the request of the client.

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

As noted above, LCP may receive some benefits from Schwab based on the amount of client assets held at Schwab. Please see ***Item 12 - Brokerage Practices*** for more information. However, neither Schwab nor any other party is paid to refer clients to LCP.

#### ***Item 15 - Custody***

Schwab is the custodian of nearly all client accounts at LCP. From time to time however, clients may select an alternate broker to hold accounts in custody. In any case, it is the custodian’s responsibility to provide clients with confirmations of trading activity, tax forms and at least quarterly account statements. Clients are advised to review this information carefully, and to notify LCP of any questions or concerns. Clients are also asked to promptly notify LCP if the custodian fails to provide statements on each account held.

From time to time and in accordance with LCP’s agreement with clients, LCP will provide additional reports. The account balances reflected on these reports should be compared to the balances shown

on the brokerage statements to ensure accuracy. At times there may be small differences due to the timing of dividend reporting, pending trades or other similar issues.

#### ***Item 16 - Investment Discretion***

As described in ***Item 4 - Advisory Business***, LCP will accept clients on either a discretionary or non-discretionary basis. For *discretionary accounts*, a Limited Power of Attorney (“LPOA”) is executed by the client, giving LCP the authority to carry out various activities in the account, generally including the following: trade execution; the ability to request checks on behalf of the client; and, the withdrawal of advisory fees directly from the account. LCP then directs investment of the client’s portfolio using its discretionary authority. The client may limit the terms of the LPOA to the extent consistent with the client’s investment advisory agreement with LCP and the requirements of the client’s custodian.

For *non-discretionary accounts*, the client also generally executes an LPOA, which allows LCP to carry out trade recommendations and approved actions in the portfolio. However, in accordance with the investment advisory agreement between LCP and the client, LCP does not implement trading recommendations or other actions in the account unless and until the client has approved the recommendation or action. As with discretionary accounts, clients may limit the terms of the LPOA, subject to LCP’s agreement with the client and the requirements of the client’s custodian.

#### ***Item 17 - Voting Client Securities***

As a policy and in accordance with LCP’s client agreement, LCP does not vote proxies related to securities held in client accounts. The custodian of the account will normally provide proxy materials directly to the client. Clients may contact LCP with questions relating to proxy procedures and proposals; however, LCP generally does not research particular proxy proposals.

#### ***Item 18 - Financial Information***

LCP does not require nor solicit prepayment of more than \$1,200 in fees per client, six months or more in advance, and therefore has no disclosure required for this item.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**R. Scott Wilder**  
**CRD# 2559813**  
**of**  
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June 25, 2013

This brochure supplement provides information about Scott Wilder, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCP at (404) 841-2224 if you did not receive LCP's brochure, or if you have any questions about the contents of this supplement.

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

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***Item 2 - Educational Background and Business Experience***

Scott Wilder (year of birth 1970) is Manager and Founder of Lakeview Capital Partners, LLC. Scott began his investment career in 1994 with AG Edwards and Sons. In 1996, Scott received the Albert Gallatin award, named for the firm's founder, as the most outstanding new financial consultant in the country. In 1998, at the age of 28, Scott was named a Vice President -- the youngest ever in the firm's 118-year history. Also in that year, he became the Assistant Branch Manager and Compliance Officer for the largest office in the southeast. In 2000, Scott became a Senior Vice President and the Co-Branch Manager of the AG Edwards office in Midtown Atlanta serving high net worth investors.

Becoming frustrated with the 'big firm' management bureaucracy, and a growing inability to thoughtfully service his clients, Scott decided to focus his time and attention on his own clients by joining Morgan Keegan and Co. in 2005, a regional boutique investment firm. There he served as a Senior Vice President from 2005 to 2009.

In 2009, Scott founded Lakeview Capital Management, LLC, an independent registered investment advisory firm. In 2012 Scott founded Lakeview Capital Partners in order to expand the original firm's capabilities.

***Item 3 - Disciplinary Information***

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Scott has no such disciplinary information to report.

***Item 4 - Other Business Activities***

Scott Wilder is a Registered Representative of a registered broker/dealer. As such, he is entitled to receive commissions or other remuneration on the sale of insurance and other products. In order to protect client interests, LCP's policy is to fully disclose all forms of compensation before any such transaction is executed. Clients will not pay both a commission to Scott and also pay an advisory fee to LCP on assets held in the same account. These fees are exclusive of each other.

Other than being a registered representative of a broker/dealer, Scott is not engaged in any other investment-related business or occupation, and does not earn compensation for the sale of any other products or services.

***Item 5 - Additional Compensation***

Other than as stated above, Scott has no other income or compensation to disclose.

***Item 6 - Supervision***

As the Chief Compliance Officer and Manager of LCP, Scott supervises all duties and activities of the firm, and is responsible for all advice provided to clients. He can be reached at (404) 841-2224.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**Anthony R. Mahfood**  
**CRD# 2959577**  
**of**  
**Lakeview Capital Partners, LLC**  
511 Rhett Street  
Suite 2A  
Greenville, South Carolina 29601  
(864) 385-7999  
[www.lakeviewcappartners.com](http://www.lakeviewcappartners.com)  
[www.parallelfincial.com](http://www.parallelfincial.com)

June 25, 2013

This brochure supplement provides information about Anthony Mahfood, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCP, at (404) 841-2224 if you did not receive LCP's brochure or if you have any questions about the contents of this supplement.

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

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***Item 2 - Educational Background and Business Experience***

Anthony Mahfood (born 1974) joined LCP as an Investment Adviser Representative in 2013 through LCP's relationship with Parallel Financial Partners, LLC. Prior to joining LCP, Anthony enjoyed an eight-year career at BB&T Wealth Management as a Wealth Advisor servicing a portfolio of client relationships within the affluent market segment. Anthony provided an integrated delivery of services including: financial planning, business succession planning, asset management, personal trust and estate planning, insurance and risk management services, mortgage services, and general banking services. At BB&T, he won the Royal Flush Award three times and also was a two-time Sterling Performer Award winner.

Anthony listens and adapts to understand the goals and priorities of his clients. He is prompt to appreciate their concerns and strives to design strategies to achieve their goals.

Anthony earned a Bachelor of Arts in Communications from John Carroll University and a Master of Business Administration from the University of Tennessee. He and his wife Tracy, a Team Leader with Hayssen-Sandiacre, live in Greer and have two young daughters, Sophia & Lydia.

Anthony is a member of St. George Greek Orthodox Cathedral, where he and his Family are actively involved. Anthony has helped coach some of the youth basketball teams at St. George, as coaching is one of his passions. Also, he is a member of the Finance Committee at the Thornblade Club. Other organizations he is involved with are AHEPA and Velouchi. Anthony enjoys all sports. He particularly enjoys golfing, especially with his daughters.

***Item 3 - Disciplinary Information***

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however, Anthony has no such disciplinary information to report.

***Item 4 - Other Business Activities***

Anthony is not engaged in any other business activities.

***Item 5 - Additional Compensation***

Anthony has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Anthony and for reviewing accounts. Scott can be reached at (404) 841-2224.



**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**Brian J. Boughner, CFA®, CMT**  
**CRD# 4152328**

**of**  
**Lakeview Capital Partners, LLC**

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June 25, 2013

This brochure supplement provides information about Brian Boughner, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCP, at (404) 841-2224 if you did not receive LCP's brochure or if you have any questions about the contents of this supplement.

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

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***Item 2 - Educational Background and Business Experience***

Brian Boughner (born 1973) joined LCP as an Investment Adviser Representative in 2013 through LCP's relationship with Parallel Financial Partners, LLC. Prior to joining LCP, Brian served as a Portfolio Manager at BB&T Wealth Management since 2008. Brian began his investment career at Charles Schwab in 2000 right at the very top of the biggest stock bull market in history. In the past 13 years, he has helped his clients successfully manage their investments through the 9/11 terrorist attack, 2 equity bear markets, a housing bust, and a credit bust. He has built his career on the foundational premise that how well you manage your investment returns during the market downturns will ultimately determine your long term performance. Brian enjoys communicating and helping clients understand the very complex and dynamic changes that affect our economy and markets daily.

Brian earned a bachelor's degree in Marketing from Florida State University. He has been a Chartered Financial Analyst® charter holder\* since 2006, and a Chartered Market Technician ("CMT") charter holder\*\* since 2003.

Brian has been married to his wife, Jeanne, for 15 years. They have a 14 year daughter, Selah and a 2 year old son, Noah. They attend Radius Church in Greenville and are very active in the community. Brian's community involvement includes: Board Chair for the Greenville Little Theatre and The United Way Palmetto Society and Evaluation Team Member. Jeanne is an IT project manager for DPR Construction and serves on the board of Living Bread, which assists women who suffer from eating disorders.

Brian enjoys the outdoors and regularly bikes, runs, and backpacks the mountain trails here in the southeast. He is also very passionate about the upstate art scene and has performed in productions at many of the local theaters.

\* The Chartered Financial Analyst® ("CFA") designation is a professional designation given by the CFA Institute that measures the competence and integrity of financial analysts. The CFA Program is a graduate-level self-study program that combines a broad-based curriculum of investment principles with professional conduct requirements. Candidates are required to pass three levels of examinations covering areas such as accounting, economics, ethics, money management and security analysis. Before a candidate is eligible to become a CFA charter holder, he/she must meet minimum experience requirements in the area of investment/financial practice. To enroll in the program, a candidate must hold a bachelor's degree.

\*\* The Chartered Market Technician ("CMT") designation is an international professional designation offered by the Market Technicians Association ("MTA"). The CMT program is a certification process in which candidates are required to demonstrate proficiency in a broad range of technical analysis subjects. The MTA's Accreditation Committee administers three levels of cumulative exams testing the student's competency at each level. To be awarded the Charter, the candidate must pass all three exams and have 36 months of qualified, professional work experience in the investment industry using technical analysis or doing investment research. CMT charter holders are also obligated to adhere to a strict code of ethics and standards governing their professional conduct according to the MTA.

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

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Brian has no such disciplinary information to report.

### ***Item 4 - Other Business Activities***

Brian is not engaged in any other business activities.

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

Brian has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Brian and for reviewing accounts. Scott can be reached at (404) 841-2224.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**Joshua A. Foster, CFP®, CIMA®**  
**CRD# 4664989**  
**of**

**Lakeview Capital Partners, LLC**

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

June 25, 2013

This brochure supplement provides information about Josh Foster, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCP, at (404) 841-2224 if you did not receive LCP's brochure or if you have any questions about the contents of this supplement.

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

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***Item 2 - Educational Background and Business Experience***

Josh Foster (born 1967) joined LCP as an Investment Adviser Representative in 2013 through LCP's relationship with Parallel Financial Partners, LLC. Prior to joining LCP, he served as a Wealth Manager with BB&T Wealth management for ten years. Josh was the source point of contact for high net worth clients to integrate investments, tax, estate, retirement, trust, education or insurance needs through comprehensive financial planning.

Josh began his career at the Chicago Board of trade, where he traded futures contracts after earning his Bachelor's degree in Political Science from the University of South Carolina. Josh subsequently received an International Masters of Business Administration degree, also at the University of South Carolina.

Josh returned to Spartanburg after finishing graduate school to work with BB&T. Not long after his arrival he met his current wife Monica and they now have a young child, Harper. They are both actively involved in the community with arts being the focal point of much of their charitable work and passion. In addition, Monica is the business owner of a YOGAlicious yoga studio in downtown Spartanburg.

Josh has earned the Certified Investment Management Analyst® designation\* and is a CERTIFIED FINANCIAL PLANNER™ professional\*\*. Josh is also a Level III candidate for the Chartered Financial Analyst® designation.

\*The CIMA certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, pass an online Certification Examination, and have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements. CIMA designees are required to adhere to IMCA's *Code of Professional Responsibility, Standards of Practice*, and *Rules and Guidelines for Use of the Marks*. CIMA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

The CIMA certification has earned ANSI® (American National Standards Institute) accreditation under the personnel certification program. The American National Standards Institute, or ANSI, is a private non-profit organization that facilitates standardization and conformity assessment activities in the United States. CIMA is the first financial services credential to meet this international standard for personnel certification.

\*\* The CFP® certification is granted by Certified Financial Planner Board of Standards, Inc. (CFP Board). To attain the certification, the candidate must complete the required educational, examination and experience requirements set forth by CFP Board. Certain designations, such as the CPA, CFA and others may satisfy the education component, and allow a candidate to sit for the CFP® Certification Examination. The Examination tests the candidate's ability to apply financial planning knowledge to client situations. The 10-hour exam is divided into three separate sessions over a 2-day period. At least 3 years of qualifying full-time work experience are required for certification. Qualifying experience includes work in the area of the delivery of the personal financial planning process to clients, the direct support or supervision of others in the personal financial planning process, or teaching all, or any portion, of the personal financial planning process.

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

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Josh has no such disciplinary information to report.

### ***Item 4 - Other Business Activities***

Josh is not engaged in any other business activities.

***Item 5 - Additional Compensation***

Josh has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Josh and for reviewing accounts. Scott can be reached at (404) 841-2224.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**Robert B. Varn, CFA**  
**CRD# 4363662**  
**of**  
**Lakeview Capital Partners, LLC**

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June 25, 2013

This brochure supplement provides information about Rob Varn, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCM at (404) 841-2224 if you did not receive LCP's brochure, or if you have any questions about the contents of this supplement.

Additional information about Rob Varn is available on the SEC's website at  
[www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

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***Item 2 - Educational Background and Business Experience***

Robert Varn (year of birth 1970) joined LCP as an Investment Adviser Representative in 2013 through LCP's relationship with Lakeview Capital Management, LLC. Rob is Chief Investment Officer of Lakeview Capital Management, LLC. Rob co-founded Varn Investment Counsel, Inc. with his father, Robert M. Varn, in 1993. Together they focused on proprietary research of Georgia companies. They worked together for eight years until the death of the elder Mr. Varn in 2000. Rob continued to manage and grow the company through 2009, attaining his Chartered Financial Analyst® designation\* along the way.

Recognizing that in order to serve the varied needs of his clients by offering a greater breadth of product and a greater depth and quality of service, Rob chose to join Lakeview in 2010.

\* The Chartered Financial Analyst® ("CFA") designation is a professional designation given by the CFA Institute that measures the competence and integrity of financial analysts. The CFA Program is a graduate-level self-study program that combines a broad-based curriculum of investment

principles with professional conduct requirements. Candidates are required to pass three levels of examinations covering areas such as accounting, economics, ethics, money management and security analysis. Before a candidate is eligible to become a CFA charterholder, he/she must meet minimum experience requirements in the area of investment/financial practice. To enroll in the program, a candidate must hold a bachelor's degree.

***Item 3 - Disciplinary Information***

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Rob has no such disciplinary information to report.

***Item 4 - Other Business Activities***

Rob is not engaged in any other business activities.

***Item 5 - Additional Compensation***

As stated above, Rob has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Rob and for reviewing accounts. Scott can be reached at (404) 841-2224.



**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**Christopher P. Spires**  
**CRD# 3135732**

**of**  
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June 25, 2013

This brochure supplement provides information about Chris Spires, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCM at (404) 841-2224 if you did not receive LCP's brochure, or if you have any questions about the contents of this supplement.

Additional information about Chris Spires is available on the SEC's website at  
[www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

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***Item 2 - Educational Background and Business Experience***

Chris Spires (year of birth 1975) joined LCP as an Investment Adviser Representative in 2013 through LCP's relationship with Lakeview Capital Management, LLC. Chris is an Investment Adviser Representative of Lakeview Capital Management, LLC. Chris joined Lakeview after nearly 7 years at Smith Barney, where he was a Financial Advisor and Financial Planning Specialist. Prior to that, he worked at A.G. Edwards & Sons, Inc. as a Financial Advisor for five years.

***Item 3 - Disciplinary Information***

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Chris has no such disciplinary information to report.

***Item 4 - Other Business Activities***

Chris Spires is a Registered Representative of a registered broker/dealer. As such, he is entitled to receive commissions or other remuneration on the sale of insurance and other products. In order to protect client interests, LCM's policy is to fully disclose all forms of compensation before any such transaction is executed. Clients will not pay both a commission to Chris and also pay an advisory fee to LCM on assets held in the same account. These fees are exclusive of each other.

Other than being a registered representative of a broker/dealer, Chris is not engaged in any other investment-related business or occupation, and does not earn compensation for the sale of any other products or services.

***Item 5 - Additional Compensation***

Other than as stated above, Chris has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Chris and for reviewing accounts. Scott can be reached at (404) 841-2224.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**John Thomas Williams, Jr., CFP®**  
**CRD# 4225657**

**of**  
**Lakeview Capital Partners, LLC**

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Atlanta, Georgia 30309

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June 25, 2013

This brochure supplement provides information about John Williams, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCM at (404) 841-2224 if you did not receive LCP's brochure, or if you have any questions about the contents of this supplement.

Additional information about John Williams is available on the SEC's website at  
[www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

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***Item 2 - Educational Background and Business Experience***

John Williams (year of birth 1978) joined Lakeview Capital Partners in 2013 as Managing Director, from the Private Client Group Wells Fargo Advisors, LLC. While at Wells Fargo Advisors, John headed a total wealth planning team focusing on wealth transition, retirement planning, and executive planning.

John has helped his clients navigate one of the most challenging decades by using one simple philosophy: "Do not take more risk than you need to accomplish your goals". This mantra he learned while developing his practice with A.G. Edwards & Sons, has served his clients well through the some of the most volatile times in financial history.

John is a graduate of Hampden-Sydney College in Virginia, where earned a degree in Managerial Economics. John is a CERTIFIED FINANCIAL PLANNER™ professional\* and an Accredited Asset Management Specialist\*\* (AAMS®).

John is an advocate of healthy living and an active lifestyle. Whether it's hiking, running, triathlon, or round of golf, John enjoys the outdoors. In 2006, John became a certified Boot Camp & Crossfit Instructor. One of his passions is educating individuals on how to lead healthier lifestyles through exercise and nutrition. He is also an alumnus of the Leukemia & Lymphoma's Team in Training.

He is committed to the advancement of children through his non-profit and philanthropic efforts. He currently serves on the Executive Committee of the Board of Trustee for the Children's Museum of Atlanta, a former Board Member of the Boys and Girls Clubs of Metro Atlanta, and was a founding Trustee of a private foundation that gives ongoing support to orphanages worldwide.

\* The CFP® certification is granted by Certified Financial Planner Board of Standards, Inc. (CFP Board). To attain the certification, the candidate must complete the required educational, examination and experience requirements set forth by CFP Board. Certain designations, such as the CPA, CFA and others may satisfy the education component, and allow a candidate to sit for the CFP® Certification Examination. The Examination tests the candidate's ability to apply financial planning knowledge to client situations. The 10-hour exam is divided into three separate sessions over a 2-day period. At least 3 years of qualifying full-time work experience are required for certification. Qualifying experience includes work in the area of the delivery of the personal financial planning process to clients, the direct support or supervision of others in the personal financial planning process, or teaching all, or any portion, of the personal financial planning process.

\*\* Individuals who hold the AAMS® designation have completed a course of study encompassing investments, insurance, tax, retirement, and estate planning issues. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

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

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however John has no such disciplinary information to report.

### ***Item 4 - Other Business Activities***

John Williams is a Registered Representative of a registered broker/dealer. As such, he is entitled to receive commissions or other remuneration on the sale of insurance and other products. In order to protect client interests, LCM's policy is to fully disclose all forms of compensation before any such transaction is executed. Clients will not pay both a commission to John and also pay an advisory fee to LCM on assets held in the same account. These fees are exclusive of each other.

Other than being a registered representative of a broker/dealer, John is not engaged in any other investment-related business or occupation, and does not earn compensation for the sale of any other products or services.

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

Other than as stated above, John has no other income or compensation to disclose.

***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising John and for reviewing accounts. Scott can be reached at (404) 841-2224.

**Item 1 - Cover Page**  
**of**  
**Brochure Supplement for**  
**James Philip Funk, CFP®**  
**CRD# 4140260**

**of**  
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June 25, 2013

This brochure supplement provides information about Jim Funk, and supplements the Lakeview Capital Partners, LLC ("LCP") brochure. You should have received a copy of that brochure. Please contact LCP at (404) 841-2224 if you did not receive LCP's brochure, or if you have any questions about the contents of this supplement.

Additional information about Jim Funk is available on the SEC's website at  
[www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

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***Item 2 - Educational Background and Business Experience***

Jim Funk (year of birth 1968) joined LCP in May of 2013 as a Managing Director. Prior to that Jim worked for Smith Barney and Morgan Stanley for 12 years, where he was a Financial Advisor and CERTIFIED FINANCIAL PLANNER™ professional\*. Jim's approach to managing client wealth is a direct result of his prior 9 year career in the United States Army Infantry. He saw that the best leaders listened first, led when it was time to lead, and were continually increasing their knowledge through professional development. Jim has incorporated these same attributes into his wealth management practice and enjoys leading his client families through an ever-changing market and global economy.

After his time in the Army, Jim entered the financial services industry to continue to help and lead people, but also sought to learn all the "secrets" about the industry and all the ways that money was really made. It turned out there were no secrets, just a lack of information and education Jim tries to impart information and education upon all of his clients. Starting his career in one of the "big

firms” was helpful because of the depth and breadth of products and services available to Jim and his clients. Over time, he became increasingly frustrated with the “big firm” model and its inefficiencies, and wanted to get back to a client-centered practice with a firm whose primary function was to support the advisor-client relationship, and not investment banking. After numerous conversations with Lakeview Capital Partners, he realized that their vision matched his vision.

Jim lives in Smyrna with his wife Marla and daughter Hayley (4). Jim and Marla met when they were pushed together in a crowd of Georgia fans because they were the only Tennessee graduates in the room. Go Vols! Marla is the president of Clientek Resources LLC, an HR software consulting firm. Jim coaches little league soccer and enjoys outdoor sports and time at the beach with his girls.

\* The CFP® certification is granted by Certified Financial Planner Board of Standards, Inc. (CFP Board). To attain the certification, the candidate must complete the required educational, examination and experience requirements set forth by CFP Board. Certain designations, such as the CPA, CFA and others may satisfy the education component, and allow a candidate to sit for the CFP® Certification Examination. The Examination tests the candidate’s ability to apply financial planning knowledge to client situations. The 10-hour exam is divided into three separate sessions over a 2-day period. At least 3 years of qualifying full-time work experience are required for certification. Qualifying experience includes work in the area of the delivery of the personal financial planning process to clients, the direct support or supervision of others in the personal financial planning process, or teaching all, or any portion, of the personal financial planning process.

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

Advisers are required to disclose any material facts regarding certain legal or disciplinary events that would be material to your evaluation of an adviser; however Jim has no such disciplinary information to report.

### ***Item 4 - Other Business Activities***

Jim Funk is a Registered Representative of a registered broker/dealer. As such, he is entitled to receive commissions or other remuneration on the sale of insurance and other products. In order to protect client interests, LCP’s policy is to fully disclose all forms of compensation before any such transaction is executed. Clients will not pay both a commission to Jim and also pay an advisory fee to LCP on assets held in the same account. These fees are exclusive of each other.

Other than being a registered representative of a broker/dealer, Jim is not engaged in any other investment-related business or occupation, and does not earn compensation for the sale of any other products or services.

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

Other than as stated above, Jim has no other income or compensation to disclose.

### ***Item 6 - Supervision***

Scott Wilder, Chief Compliance Officer and Manager of LCP, is responsible for supervising Jim and for reviewing accounts. Scott can be reached at (404) 841-2224.