

# Brochure Supplement

SEPTEMBER 24, 2015

## **DAEJOON "DAVID" KIM**

CRD #: 4351580

3731 Wilshire Blvd., Suite 630  
Los Angeles, CA 90010

(213) 915-0086

This Brochure Supplement provides information about Daejoon "David" Kim that supplements the Disclosure Brochure of M3 Asset Management, Inc. (hereinafter "M3 Asset Management"), a copy of which you should have received. Please contact M3 Asset Management's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Daejoon "David" Kim is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**M3 Asset Management, Inc., a Registered Investment Adviser**

3731 Wilshire Blvd., Suite 630, Los Angeles, CA 90010 | (213) 915-0086  
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### Item 2. Educational Background and Business Experience

Born 1965

#### Post-Secondary Education

Long Island University | B.A., Economics | 1989

#### Recent Business Background

M3 Asset Management, Inc. | Chief Executive Officer – Chief Compliance Office | January 2014 – Present

Wells Fargo Advisors, LLC | Registered Representative | December 2012 – January 2014

Morgan Stanley Smith Barney | Vice President / Financial Advisor | September 2005 – December 2012

### Item 3. Disciplinary Information

M3 Asset Management is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Daejoon "David" Kim. M3 Asset Management has no information to disclose in relation to this Item.

### Item 4. Other Business Activities

M3 Asset Management is required to disclose information regarding any investment-related business or occupation in which Daejoon "David" Kim is actively engaged.

#### Licensed Insurance Agent

Daejoon "David" Kim is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that M3 Asset Management recommends the purchase of insurance products where Daejoon "David" Kim receives insurance commissions or other additional compensation. M3 Asset Management seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

### Item 5. Additional Compensation

M3 Asset Management is required to disclose information regarding any arrangement under which Daejoon "David" Kim receives an economic benefit from someone other than a client for providing investment advisory services. M3 Asset Management has no information to disclose in relation to this Item.

### **Item 6. Supervision**

Daejoon "David" Kim is the President of M3 Asset Management and is generally responsible for his own supervision. Daejoon "David" Kim seeks to ensure that investments are suitable for his individual clients and consistent with their individual needs, goals, objectives and risk tolerance, as well as any restrictions requested by M3 Asset Management's clients.

### **Item 7. Requirements for State Registered Advisers**

M3 Asset Management is required to disclose information regarding Daejoon "David" Kim's involvement in certain civil, self-regulatory organization or administrative proceedings, arbitration awards or findings, or bankruptcy proceedings. M3 Asset Management has no information to disclose in relation to this Item.