

*This brochure supplement provides information about Thomas Wynne Watts IV that supplements the Watts Capital Partners LLC brochure. You should have received a copy of that brochure. Please contact Thomas Wynne Watts IV, Chairman if you did not receive Watts Capital Partners LLC's brochure or if you have any questions about the contents of this supplement.*

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

## **Watts Capital Partners LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Thomas Wynne Watts IV**

Personal CRD Number: 2598112

Investment Adviser Representative

Watts Capital Partners LLC

Times Square Tower

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New York, New York 10022

(212) 735-8921

[twatts@wattscapital.com](mailto:twatts@wattscapital.com)

UPDATED: 06/30/2015

## **Item 2: Educational Background and Business Experience**

**Name:** Thomas Wynne Watts IV

**Born:** 1958

### **Education Background and Professional Designations:**

#### **Education:**

AB Economics & German Studies, Stanford University - 1980

MBA Harvard Business School - 1984

#### **Designations:**

##### **CFA - Chartered Financial Analyst**

###### **CFA MINIMUM QUALIFICATIONS:**

- Bachelor's degree (or equivalent, as assessed by CFA institute)
- Must pass three six-hour exams
- Must have 48 months of qualified, professional work experience.
- CFA charter holders are also obligated to follow the CFA's Code of Ethics and Standards governing professional conduct.

##### **CAIA Curriculum - Chartered Alternative Investment Analyst**

- The Chartered Alternative Investment Analyst program provides a broad-based curriculum in alternative investments. The program covers the main areas of hedge funds, private equity, commodities, real estate and managed futures.
- The CAIA program is organized into two levels, with Level I using investment analytics to examine the fundamentals of each alternative asset class. Level II applies these analytics within an asset allocation and decision-making framework. Both incorporate segments on ethics and professional conduct - essential components of the CAIA program.

#### **Business Background:**

2008 – Present	Chairman Watts Capital Partners LLC
2009 – Present	Managing Member Watts Capital LLC
2002 - 2008	Managing Director Cowen and Company, LLC

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Mr. Watts is an owner of Watts Capital, LLC, a broker dealer. From time to time, he will offer clients advice or products from those activities. WCP will always act in the best interest of the client. WCP will also sponsor or create limited partnerships for clients to invest in.

### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Thomas Wynne Watts IV does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Watts Capital Partners LLC.

### **Item 6: Supervision**

As the majority owner and a representative of Watts Capital Partners LLC, Thomas Wynne Watts IV supervises all duties and activities. Thomas Wynne Watts IV's contact information is on the cover page of this disclosure document.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by New York securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Thomas Wynne Watts IV has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Thomas Wynne Watts IV has NOT been the subject of a bankruptcy petition at any time.