

**Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
October 2015**

**Kai Chen**

**OceanIQ Capital, LLC  
333 Twin Dolphin Dr., Suite 100  
Redwood Shores, CA, 94065  
[www.oceaniqcapital.com](http://www.oceaniqcapital.com)**

This brochure supplement provides information about Mr. Chen that supplements our brochure. You should have received a copy of that brochure. Please contact our Chief Compliance Officer, Kai Chen, if you did not receive OceanIQ Capital, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Chen is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background & Business Experience

**Kai Chen**

**Year of Birth:** 1976

**Educational Background:**

- 1998: UCLA; Bachelor of Arts in Business Economics

**Business Background:**

- 10/2013 – Present OceanIQ Capital, LLC; CEO & Chief Compliance Officer
- 10/2013 – 07/2015 SF Sentry Securities, Inc.; Registered Representative and Managing Director
- 11/2003 – 09/2013 Credit Suisse Securities (USA), LLC; Director

**Exams, Licenses & Other Professional Designations:**

- 2014: Series 79 Examination
- 2014: Life-Only Insurance License
- 2002: Chartered Financial Analyst Designation
- 2001: Series 7, Series 63, and Series 66 Examination

**CFA - Chartered Financial Analyst:**

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct. The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession. To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Mr. Chen.

<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

#### Item 4: Other Business Activities

Mr. Chen has an equity interest in OceanIQ Partners. OceanIQ Partners is the investment manager for two venture capital funds (OceanIQ Partners/Base Venture Series LLC and OceanIQ Partners/Paxata Series LLC). As well as always acting in the clients best interest, in order to mitigate the risk of this potential conflict of interest, OceanIQ Capital has engaged a third-party, independent auditor to provide an annual, unqualified review of the fund's holdings.

Mr. Chen is licensed to offer insurance products and may receive customary fees as a result of insurance sales. A conflict of interest exists as these insurance sales creates an incentive to recommend products based on the compensation he may earn. To mitigate this potential conflict, he will act in the client's best interest. Clients are under no obligation to purchase Mr. Chen's recommendation.

#### Item 5: Additional Compensation

Mr. Chen does not receive any other economic benefit for providing advisory services in addition to advisory fees and carried interest.

#### Item 6: Supervision

Mr. Chen is the firm's Chief Compliance Officer and has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

#### Item 7: Requirements for State-Registered Advisers

Mr. Chen has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

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**Ying Ying “Lucy” Jing**

**OceanIQ Capital, LLC  
333 Twin Dolphin Dr., Suite 100  
Redwood Shores, CA, 94065  
[www.oceaniqcapital.com](http://www.oceaniqcapital.com)**

This brochure supplement provides information about Ms. Jing that supplements our brochure. You should have received a copy of that brochure. Please contact our Chief Compliance Officer, Kai Chen if you did not receive OceanIQ Capital, LLC’s brochure or if you have any questions about the contents of this supplement. Additional information about Ms. Jing is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2: Educational Background & Business Experience

**Ying Ying Jing**

**Year of Birth:** 1977

### **Educational Background:**

- 2002: San Francisco State University; Majored in Hospitality Management

### **Business Background:**

- 01/2014 – Present OceanIQ Capital, LLC; Director & Chief Operating Officer
- 01/2014 – 07/2015 SF Sentry Securities, Inc.; Operations Associate
- 09/2012 – 12/2013 Credit Suisse Securities (USA) LLC; Relationship Associate
- 10/2009 – 07/2012 Merrill Lynch, Pierce, Fenner & Smith, Inc.; Mass Transfer
- 06/2009 – 10/2009 Bank of America Investment Services, Inc.; Sales Assistant

### **Exams, Licenses & Other Professional Designations:**

- 12/2009: Series 66 Exam
- 06/2003: Series 63 Exam
- 04/2003: Series 7 Exam

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Ms. Jing.

## Item 4: Other Business Activities

Ms. Jing does not have any reportable outside business activities.

## Item 5: Additional Compensation

Ms. Jing does not receive any other economic benefit for providing advisory services in addition to advisory fees.

<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

### Item 6: Supervision

Kai Chen, CEO and Chief Compliance Officer of OceanIQ Capital, LLC, supervises and monitors Ms. Jing's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Chen if you have any questions about Ms. Jing's brochure supplement at (415) 432-7580.

### Item 7: Requirements for State-Registered Advisers

Ms. Jing has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, she has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.