

## **Brochure Supplement**

### **Item 1- Cover Page**

Tony W. Sigmon  
D. Grant Walker  
Cory B. Capps  
Daniel C. Sigmon

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**October 20, 2016**

This Brochure Supplement provides information about Tony W. Sigmon, D. Grant Walker, Cory B. Capps, and Daniel C. Sigmon. The information contained in this document is intended to supplement Part 2A of our firm's Brochure. You should have received a copy of that Brochure. Please contact our firm if you did not receive Collegiate Capital Management, Inc.'s Part 2A or if you have any questions about the contents of this supplement.

Additional information about Tony W. Sigmon, D. Grant Walker, Cory B. Capps, and Daniel C. Sigmon is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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

***Tony W. Sigmon***

Year of Birth: 1951

Education: Dr. Sigmon has a Master's Degree in Business Administration from the Fuqua School at Duke University and Bachelor's, Master's and Ph.D. degrees in Engineering Science and Mechanics from North Carolina State University.

Background: Dr. Sigmon began his career in the securities business with a one-year tenure at Marion Bass Securities in July of 1993. He has been President and sole-owner of Collegiate Capital Management, Inc. (CCM) since the firm's inception in July 1994. Previous to entering the securities industry, Dr. Sigmon was employed at RTI International, where his responsibilities included marketing of engineering research and development services to government and private industry. Dr. Sigmon also served as an adjunct professor at North Carolina State University and Duke University during his tenure at RTI International. In addition to Dr. Sigmon's roles as owner of CCM and Investment Advisor Representative, he also serves on the firm's Board of Directors as Corporate President and Chief Compliance Officer.

## **Item 3- Disciplinary Information**

Dr. Sigmon has no disciplinary information to disclose.

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

Dr. Sigmon provides investment advice as an Investment Advisor Representative of Collegiate Capital Management, Inc. In addition, Dr. Sigmon is a Registered Representative of Securities Service Network, Inc. (SSN) and, in that capacity, is licensed with the Financial Industry Regulatory Authority (FINRA). SSN is a broker/dealer through which the firm conducts brokerage activities for clients.

## **Item 5 - Additional Compensation**

The additional compensation that Dr. Sigmon may receive is outlined above in ***Item 4 – Other Business Activities***.

## **Item 6 - Supervision**

Collegiate Capital Management, Inc. takes great care to avoid or mitigate conflicts of interest in the firm's operation. Because of the organizational structure of our firm and the relationships of individuals within the firm, there are certain conflicts associated with the oversight of Dr. Sigmon's activities. These conflicts are addressed by using Mr. D. Grant Walker of our firm.

Mr. Walker has access to email accounts used by Dr. Sigmon for securities related communications and provides oversight and review of all securities-related U.S. mail communications. Dr. Sigmon and Mr. Walker are in frequent communication regarding issues relevant to the firm and its clients through normal conversations during the course of business, planned conversations to discuss these issues and structured

meetings to discuss topics alone or with other staff members. Dr. Sigmon and Mr. Walker are both members of the Investment Committee of the firm and therefore meet regularly to discuss asset management approaches. Dr. Sigmon's management of his clients' accounts undergoes a peer review at least annually as a test to determine if the client's assets are being managed consistent with the client's investment objective.

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

### ***D. Grant Walker***

Year of Birth: 1969

Education: Mr. Walker has Bachelor's degrees in both Economics and Accounting from North Carolina State University. He has also attained the designation of Accredited Asset Management Specialist (AAMS) from the College for Financial Planning. The AAMS designation is offered by the College for Financial Planning. The curriculum is a significant component of the Certified Financial Planner (CFP) designation, which encompasses areas unrelated to investment management.

The Accredited Asset Management Specialist ("AAMS") designation is issued by The College for Financial Planning. To earn the designation, each AAMS candidate must complete a 12 module self-study program, pass a proctored final exam, and complete a minimum of 16 hours of continuing education every two years. Designees must agree to adhere to the issuing organization's Standards of Professional Conduct and are subject to a disciplinary process. More information regarding the AAMS is available at:

<http://www.cffpdesignations.com/Designee/Requirements>.

Background: Mr. Walker has served the investment community since 1992. Before joining Collegiate Capital Management, Inc. in 1999, Mr. Walker was associated with Lincoln Financial Group as a Registered Representative, where he managed retirement portfolios for faculty and staff at North Carolina State University and the University of North Carolina at Chapel Hill. In addition to Mr. Walker's role as an Investment Advisor Representative, he also serves on the firm's Board of Directors as Corporate Vice President and Chief Investment Officer.

## **Item 3 - Disciplinary Information**

Mr. Walker has no disciplinary information to disclose.

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

Mr. Walker provides investment advice as an Investment Advisor Representative of Collegiate Capital Management, Inc. In addition, Mr. Walker is a Registered Representative of Securities Service Network, Inc. (SSN) and, in that capacity, is licensed with the Financial Industry Regulatory Authority (FINRA). SSN is a broker/dealer through which the firm conducts brokerage activities for clients.

Mr. Walker is also licensed to offer life and health insurance products. This license is held primarily for the purpose of engaging in general discussions regarding the suitability of life insurance products, and in limited cases, recommending the purchase of annuity products. While Collegiate Capital Management, Inc. does not receive any commissions for insurance recommendations, Mr. Walker receives commissions on the sale of insurance products. This presents a conflict of interest because Mr. Walker may have an incentive to recommend insurance products as a result of the commission received, rather than on the client's needs. In all cases, Mr. Walker will fully disclose any insurance commissions to the client. The insurance commissions are separate from and in addition to any fees that CCM receives for investment advisory services. Clients are not obligated to act upon any insurance recommendations or effect any transactions through Mr. Walker if they

decide to follow their recommendations. Less than 5% of Mr. Walker's time is allocated to this business activity.

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

The additional compensation that Mr. Walker may receive is outlined above in *Item 4 – Other Business Activities*.

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

Mr. Walker is supervised at the firm by Dr. Tony W. Sigmon, who is President of Collegiate Capital Management, Inc. He can be reached at: Phone: (919) 838-0101/ Toll Free: (800) 333-1701. Dr. Sigmon has access to all email accounts used by Mr. Walker for securities-related communications and provides oversight and review of all securities-related U.S. mail communications. Dr. Sigmon and Mr. Walker are in frequent communication regarding issues relevant to the firm and its clients through normal conversations during the course of business, planned conversations to discuss these issues and structured meetings to discuss topics alone or with other staff members. Trading in client accounts is supervised through a review of client trade tickets by Sigmon or a designee on the day of the trade. Dr. Sigmon and Mr. Walker are both members of the Investment Committee of the firm and therefore meet regularly to discuss asset management approaches. Mr. Walker's management of his clients' accounts undergoes a peer review at least annually as a test to determine if the client's assets are being managed consistent with the client's investment objective.

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

***Cory B. Capps***

Year of birth: 1977

Education: A Bachelor's degree in Business Management with concentrations in both Finance and Information Systems from North Carolina State University.

Business Background: Mr. Capps joined the firm in September 2002. He has developed several analytical tools that have become critical components in the management of our clients' assets. In addition to his role as an Investment Advisor Representative of the firm, Mr. Capps is the firm's Vice President of Investment Management. Mr. Capps continues to serve a vital role in developing methods for tracking the performance of client accounts and developing reports that allow the clients to understand and evaluate our firm's asset management approach. Mr. Capps also serves on the firm's Board of Directors at Corporate Secretary.

## **Item 3 - Disciplinary Information**

Mr. Capps has no disciplinary information to disclose.

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

Mr. Capps provides investment advice as an Investment Advisor Representative of Collegiate Capital Management, Inc. In addition, Mr. Capps is a Registered Representative of Securities Service Network, Inc. (SSN) and, in that capacity, is licensed with the Financial Industry Regulatory Authority (FINRA). SSN is a broker/dealer through which the firm conducts brokerage activities for clients.

Mr. Capps is also licensed to offer life and health insurance products. This license is held primarily for the purpose of engaging in general discussions regarding the suitability of life insurance products, and in limited cases, recommending the purchase of annuity products. While Collegiate Capital Management, Inc. does not receive any commissions for insurance recommendations, Mr. Capps receives commissions on the sale of insurance products. This presents a conflict of interest because Mr. Capps may have an incentive to recommend insurance products as a result of the commission received, rather than on the client's needs. In all cases, Mr. Capps will fully disclose any insurance commissions to the client. The insurance commissions are separate from and in addition to any fees that Collegiate Capital Management, Inc. receives for investment advisory services. Clients are not obligated to act upon any insurance recommendations or effect any transactions through Mr. Capps if they decide to follow their recommendations. Less than five percent of Mr. Capps' time is allocated to this business activity.

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

The additional compensation that Mr. Capps may receive is outlined above in *Item 4 – Other Business Activities*.

### **Item 6 - Supervision**

Mr. Capps is supervised at the firm by Dr. Tony W. Sigmon, who is President of CCM. He can be reached at: Phone: (919) 838-0101/ Toll Free: (800) 333-1701. Dr. Sigmon has access to all email accounts used by Mr. Capps for securities related communications and provides oversight and review of all securities-related U.S. mail communications. Dr. Sigmon and Mr. Capps are in frequent communication regarding issues relevant to the firm and its clients through normal conversations during the course of business, planned conversations to discuss these issues and structured meetings to discuss topics alone or with other staff members. Trading in client accounts is supervised through a review of client trade tickets by Sigmon or a designee on the day of the trade. Dr. Sigmon and Mr. Capps are both members of the Investment Committee of the firm and therefore meet regularly to discuss asset management approaches. Mr. Capps' management of his clients' accounts undergoes a peer review at least annually as a test to determine if the client's assets are being managed consistent with the client's investment objective.

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

***Daniel C. Sigmon***

Year of birth: 1985

Education: A Bachelor's degree in Textiles Management with a concentration in Marketing from North Carolina State University. He has also attained the designation of CERTIFIED FINANCIAL PLANNER™.

The CERTIFIED FINANCIAL PLANNER™ and CFP® (collectively, the “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. The CFP® is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To earn the credential, each CFP® candidate must have a bachelor's degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. In addition, candidates must take the CFP® Certification examination and complete a CFP® -board registered program or hold an accepted designation, degree or license. Every two years, CFP® certificate holders must complete a minimum of 30 hours of continuing education. More information regarding the CFP® is available at <http://www.cfp.net/default.asp>.

Business Background: Mr. Sigmon joined the firm in May 2008 and began working as an Investment Advisor Representative in 2011. Mr. Sigmon also serves as the Vice President for Financial Planning at the firm.

## **Item 3 - Disciplinary Information**

Mr. Sigmon has no disciplinary information to disclose.

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

Mr. Sigmon provides investment advice as an Investment Advisor Representative of Collegiate Capital Management, Inc. In addition, Mr. Sigmon is a Registered Representative of Securities Service Network, Inc. (SSN) and, in that capacity, is licensed with the Financial Industry Regulatory Authority (FINRA). SSN is a broker/dealer through which the firm conducts brokerage activities for clients.

Mr. Sigmon is also licensed to offer life and health insurance products. This license is held primarily for the purpose of engaging in general discussions regarding the suitability of life insurance products, and in limited cases, recommending the purchase of annuity and life insurance products. While Collegiate Capital Management, Inc. does not receive any commissions for insurance recommendations, Mr. Sigmon receives commissions on the sale of insurance products. This presents a conflict of interest because Mr. Sigmon may have an incentive to recommend insurance products as a result of the commission received, rather than on the client's needs. In all cases, Mr. Sigmon will fully disclose any insurance commissions to the client. The insurance commissions are separate from and in addition to any fees that Collegiate Capital Management, Inc. receives for investment advisory services. Clients are not obligated to act upon any insurance recommendations



or effect any transactions through Mr. Sigmon if they decide to follow their recommendations. Less than 15 percent of Mr. Sigmon's time is allocated to this business activity.

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

The additional compensation that Mr. Sigmon may receive is outlined above in *Item 4 – Other Business Activities*.

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

Mr. Sigmon is supervised at the firm by Dr. Tony W. Sigmon, who is President of CCM. He can be reached at: Phone: (919) 838-0101/ Toll Free: (800) 333-1701. Dr. Sigmon has access to all email accounts used by Mr. Sigmon for securities related communications and provides oversight and review of all securities-related U.S. mail communications. Dr. Sigmon and Mr. Sigmon are in frequent communication regarding issues relevant to the firm and its clients through normal conversations during the course of business, planned conversations to discuss these issues and structured meetings to discuss topics alone or with other staff members.

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