

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**April 2019**

**Saul Richard Greene, JD, CFS®**

**Kaizen Financial Strategies, LLC**  
**2105 South Bascom Ave, Suite 295**  
**Campbell, CA 95008**  
**[www.kfstrategies.us](http://www.kfstrategies.us)**

**Firm Contact:**  
**John Stachnick**  
**Chief Compliance Officer**

This brochure supplement provides information about Saul R. Greene that supplements our brochure. You should have received a copy of that brochure. Please contact John Stachnick if you did not receive Kaizen Financial Strategies, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Greene is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #4453934.

## Item 2: Educational Background & Business Experience

**Saul Richard Greene, JD, CFS®**

**Year of Birth:** 1953

### **Educational Background:**

- 1976: University of California at Santa Cruz; Bachelor of Arts in Political Science
- 1980: Santa Clara University; Juris Doctor

### **Business Background:**

- 11/2018 – Present Kaizen Financial Strategies, LLC; Principal Advisor
- 02/2017 – Present Cyberpress; Consultant
- 06/2009 – 11/2018 Waddell & Reed; Financial Advisor
- 09/2001 – 05/2009 Ameriprise Financial; Financial Advisor

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

- 10/2001: Series 66 Exam
- 09/2001: Series 7 Exam
- 12/2003: Certified Fund Specialist (CFS®)

### **Certified Fund Specialist (CFS®)**

The CFS® designation is made available through the Institute of Business & Finance (“IBF”). Candidates must have a Bachelor's degree or 2,000 hours of financial services work experience. The CFS program consists of 6 modules: (1) Regulation, Structure, Expenses, and Titling; (2) Management and Fund Selection, Risk Management, Equities, Fixed-Income & Hybrids; (3) Tax-Free Bonds, Money Market, Specialty Categories, and Time Value Analysis; (4) Asset Categories, Market Indicators, CEFs, ETFs, and REITs; (5) Risk, Timing the Market, When to Sell, and Taxation; (6) Basics of Asset Allocation, The Efficient Frontier, Optimal Asset Allocation, Core-Satellite Strategy, Modern Portfolio Theory (“MPT”). 30 hours of continuing education are required every 2 years in order to maintain this designation.

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

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

<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**

In February 2017 Mr. Greene started consulting part-time for Cyberpress, a commercial printer located in Santa Clara, CA. He focuses on strategic planning and A/R management.

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

Mr. Greene has received assistance covering transition-related legal, software and accounts transfer costs from Charles Schwab & Co. Inc. ("Schwab") in order to transition his business to the Schwab custodial platform. Our firm examined this potential conflict of interest when our firm chose to recommend Schwab and has determined that the recommendation is in the best interest of our firm's clients and satisfies our fiduciary obligations, including our duty to seek best execution.

#### **Item 6: Supervision**

John Stachnick, Chief Compliance Officer of Kaizen Financial Strategies, LLC, supervises and monitors Mr. Greene's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Stachnick if you have any questions about Mr. Greene's brochure supplement at (408) 819-9010 x 1003.

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

Saul Greene 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.