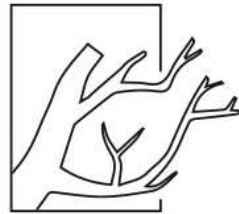


**Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
February 2019**

**Charles C. Hart**



**DRIFTWOOD**  
C A P I T A L L L C

**603 Munger Ave. #100-205  
Dallas, Texas 75202  
[www.driftwoodcap.com](http://www.driftwoodcap.com)**

**Firm Contact:  
Charles Hart  
Chief Compliance Officer**

This brochure supplement provides information about Mr. Hart that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Hart if you did not receive Driftwood Capital, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Hart is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #5540816.

## Item 2: Educational Background & Business Experience

**Charles C. Hart**  
**Year of Birth:** 1984

### **Educational Background:**

- 2006: Texas Christian University; Bachelor of Science in Political Science

### **Business Background:**

- 10/2018 – Present Driftwood Capital, LLC; Partner & Chief Compliance Officer
- 08/2017 – 08/2018 Syntal Capital Partners, LLC; Vice President
- 11/2017 – 04/2018 Purshe Kaplan Sterling Investments; Registered Representative
- 03/2015 – 08/2017 Bank of America, N.A.; Private Wealth Manager
- 10/2008 – 08/2017 Merrill Lynch Pierce Fenner & Smith Inc.; Private Wealth Manager
- 04/2008 – 10/2008 Neuberger Berman, LLC; Associate

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

- 05/2013: Chartered Alternative Investment Analyst
- 11/2008: Series 66
- 08/2008: Series 7

### **Chartered Alternative Investment Analyst (CAIA)**

The CAIA Charter is administered by the Chartered Alternative Investment Analyst Association and requires a comprehensive understanding of core and advanced concepts regarding alternative investments, structures, and ethical obligations. To qualify for the CAIA Charter, finance professionals must complete a self-directed, comprehensive course of study on risk-return attributes of institutional quality alternative assets; pass both the Level I and Level II CAIA examinations at global, proctored testing centers; attest annually to the terms of the Member Agreement; and hold a US bachelor's degree (or equivalent) plus have at least one year of professional experience or have four years of professional experience. Professional experience includes full-time employment in a professional capacity within the regulatory, banking, financial, or related fields. Once a qualified candidate completes the CAIA program, he or she may apply for CAIA membership and the right to use the CAIA designation, providing an opportunity to access ongoing educational opportunities.

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

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

<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. Hart is a licensed insurance agent/broker. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Hart, as a fiduciary, will act in the client's best interest.

Mr. Hart is involved in ADH DEARG Investments, LLC. He commits 2 hours annually to this job and 0 hours during trading hours. It's an estate planning vehicle that will hold personal assets.

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

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

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

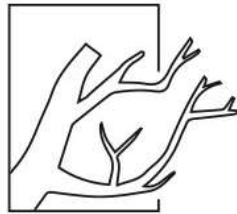
Erik Andersen is a principal of Driftwood Capital, LLC and as such supervises and monitors Mr. Hart's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Andersen if you have any questions about Mr. Hart's brochure supplement at 972-818-5094.

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

Mr. Hart 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.

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

**Erik E. Andersen**



**DRIFTWOOD**  
C A P I T A L L L C

**603 Munger Ave, #100-205  
Dallas, Texas 75202  
[www.driftwoodcap.com](http://www.driftwoodcap.com)**

**Firm Contact:  
Charles Hart  
Chief Compliance Officer**

This brochure supplement provides information about Mr. Andersen that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Hart if you did not receive Driftwood Capital, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Andersen is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #5258161.

## Item 2: Educational Background & Business Experience

**Erik Edward Andersen**

**Year of Birth:** 1983

### **Educational Background:**

- 2005: State University at Albany; Bachelor of Art in Business

### **Business Background:**

- 12/2018 – Present Driftwood Capital, LLC; Partner
- 01/2018 – 12/2018 JP Morgan Securities; Vice President
- 10/2016 – 04/2017 Overseas and domestic travel; not employed for this period of time
- 09/2007 – 10/2016 Merrill Lynch; Trader

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

- 05/2015: Series 53 Exam
- 05/2013: Series 55 (now 57) Exam
- 08/2009: Series 66 Exam
- 07/2009: Series 7 Exam

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

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

## Item 4: Other Business Activities

Mr. Andersen does not have any outside business activities to report.

## Item 5: Additional Compensation

Mr. Andersen 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**

Mr. Hart, Principal and Chief Compliance Officer of Driftwood Capital, LLC, supervises and monitors Mr. Andersen's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Hart if you have any questions about Mr. Andersen's brochure supplement at 971-818-5094.

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

Mr. Andersen 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.