

# SUPERVISED PERSON BROCHURE

FORM ADV PART 2B

Kathleen Osborne-Davis



**CAPITAL ASSET MANAGEMENT, LLC**  
— PRIVATE WEALTH ADVISORS —

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This brochure supplement provides information about Kathleen Osborne-Davis and supplements the Capital Asset Management, LLC brochure. You should have received a copy of that brochure. Please contact Kathleen Osborne-Davis if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Kathleen Osborne-Davis (CRD #2277081) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**March 2024**

## Brochure Supplement (Part 2B of Form ADV)

**Kathleen Osborne-Davis**

- ☐ Year of birth: 1957

### Item 2: Educational Background and Business Experience

#### Educational Background:

- ☐ Western Michigan; Master of Arts, Sports Medicine; 1982
- ☐ L.S.U.; Bachelor of Science, Education; 1981

#### Business Experience:

- ☐ Capital Asset Management, LLC; Investment Advisor Representative; 06/2019 to Present
- ☐ First Allied Securities, Inc.; Registered Representative; 05/2019 to Present
- ☐ Independent Insurance Agent; 07/2003 to Present
- ☐ Unemployed; 04/2018 to 05/2019
- ☐ Valic Financial Advisors, Inc.; Investment Advisor Representative; 07/2003 to 03/2018
- ☐ Valic Financial Advisors, Inc.; Registered Representative; 04/1999 to 03/2018

### Item 3: Disciplinary Information

- ☐ *Criminal or Civil Action:* None to report.
- ☐ *Administrative Proceeding:* None to report.
- ☐ *Self-Regulatory Proceeding:* None to report.

### Item 4: Other Business Activities Engaged In

Kathleen Osborne-Davis is a Registered Representative of First Allied Securities, Inc. This entity is not affiliated with CAM. Approximately 30% of Ms. Osborne-Davis' time will be spent on this business.

Ms. Osborne-Davis is also an independent insurance agent. From time to time she will offer clients advice or products from this activity. She spends approximately 10% of her time in this business practice.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received rather than on client's needs. This conflict is mitigated by disclosures, procedures, and the firm's fiduciary obligation to place the best interest of the client first and will act in accordance with those responsibilities. Clients have the right to purchase these products through another registered representative or insurance agent of their choosing.

### Item 5: Additional Compensation

Ms. Osborne-Davis receives additional compensation as a registered representative of a broker dealer and as an insurance agent, but she does not receive any performance-based fees.

### Item 6: Supervision

Kathleen Osborne-Davis is supervised by Matthew Hickey Owner/Chief Compliance Officer of Capital Asset Management, LLC. He reviews Kathleen's work through client account reviews, quarterly personal transaction reports, as well as face-to-face and phone interactions.

Matthew Hickey can be contacted by phone at 303-832-7770 or email at mhipkey@capasset.net.

**Item 7: Requirements for State-Registered Advisors**

Arbitration Claims: None to report.

Self-Regulatory Organization or Administrative Proceeding: None to report.

Bankruptcy Petition: None to report.