

# ARNE T. ALSIN

ALSIN CAPITAL MANAGEMENT, INC  
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**This brochure provides supplemental information about Arne T. Alsin (“Arne Alsin”). This supplements the Alsin Capital Management, Inc. brochure, which should have also been provided to you. Please contact Arne Alsin at Alsin Capital Management, Inc. if you need the Alsin Capital Management, Inc. brochure or if you have any questions.**

**Additional information about Alsin Capital Management, Inc. is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (select “investment adviser firm” and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.**



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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: INDIVIDUAL

**Arne T. Alsin**

Year Born: 1957

### 2.B: EDUCATIONAL BACKGROUND

B.S., – Seattle Pacific University (1981)

Law Degree – University of Oregon School of Law (1984)

### 2.C: BUSINESS BACKGROUND

03/1993 – Present: *President*, Alsin Capital Management , Inc.

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 7, General Securities Representative Examination (1986)

Series 63, Uniform Securities Agent Laws (1986)

Series 65, Uniform Investment Adviser Law Examination (1993)

## ITEM 3 – DISCIPLINARY INFORMATION

Arne Alsin has no legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Alsin Capital Management, Inc. is that of a registered investment advisor.

## ITEM 5 – ADDITIONAL COMPENSATION

Other than work with Alsin Capital Management, Inc. and any disclosures made in Items 2 and 4 above, Arne Alsin receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

Arne Alsin is a supervising member of Alsin Capital Management, Inc. along with Glenn Surowiec. As such Arne Alsin is not supervised in the traditional sense, but works closely with the other partner in the firm. All supervising members remain aware of and keep us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Alsin Capital Management, Inc. has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted.

Alsin Capital Management, Inc. maintains and periodically updates a list of approved brokers and dealers, which is generally capable of providing best price and execution and is financially stable. Alsin Capital Management, Inc.'s traders are directed to use only brokers and dealers on the approved list, except in the case of client designations of brokers or dealers to effect transactions for such clients' accounts.

All of our supervising persons are located at 2891 Oro Blanco Circle, Escondido, California 92027 and can be reached by calling (800) 525-7222.

## ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Other than any disclosures made in Item 3 above, Arne Alsin has not been found liable in any additional arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Arne Alsin has never been the subject of a bankruptcy petition.