



## Firm Brochure

### Part 2B of Form ADV

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*An Investment Advisor Representative of:*  
CAPITAL INVESTMENT ADVISORS, INC.

This brochure supplement provides information about Thomas Arnold Bucklin that supplements the Capital Investment Advisors, Inc. firm brochure. You should have received a copy of that brochure. Please contact us using the information above if you did not receive the firm brochure or if you have any questions about the contents of this supplement. Additional information about Thomas Arnold Bucklin is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

*Thomas Arnold Bucklin*

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## Item 2: Educational Background, and Business Experience

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**Thomas Arnold Bucklin, born 1956**

### **Formal Education after High School:**

Graduated from Michigan State University in 1978 with a B.A in Criminal Justice/Social Sciences

Graduated from Central Michigan University in 1982 with a M.A in Public Administration

Numerous military schools to include Squadron Officer School, Air Command & Staff College, Marine Corps Command & Staff, Air War College, AFRTOC Instructor School 1978-1998

### **Employment History:**

Commissioned into Air Force, June 1978, completed air crew training in 1979

United States Air Force, 21 years in numerous assignments flying various military aircraft, with several HQ assignments and command positions, from 1978 - 1999.

### **Business Background:**

Registered Representative of Cambridge Investment Research from 8/10 - Present

Investment Advisor Representative of Capital Investment Advisors 8/08 - Present

President & Owner, Fortress Financial from 06/06 - Present

Registered Representative of National Planning Corporation from 04/06-07/10

Registered Representative of 1717 Capital Management Corp. from 2004-2006

Registered Representative of Edward D. Jones & CO from 05/99-04/04

## Item 3: Disciplinary Information

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

## Item 4: Other Business Activities

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### **Broker/Dealer Relationship**

Mr. Bucklin is a Registered Representative of Cambridge Investment Research, Inc (CIR), a securities broker-dealer, a member of the Financial Industry Regulatory Authority (FINRA), and a member of the Securities Investor Protection Corporation (SIPC).

Approximately 75% of Mr. Bucklin's time may be engaged in this activity.

As a broker-dealer, CIR engages in a broad range of activities normally associated with securities brokerage firms. Pursuant to the investment advice given by Mr. Bucklin, investments in securities may be recommended for clients. If CIR is selected as the broker-dealer, it may affect transactions in securities for Mr. Bucklin's clients. By serving as the broker-dealer, CIR and its Registered Representatives, including Mr. Bucklin, may receive commissions and, with regard to mutual funds, service fees for executing securities transactions. When commissions are received by Mr. Bucklin in connection with the advice given to advisory clients, we may reduce our fee by the sum or total commission earned by Mr. Bucklin.

Clients are advised that if CIR is selected as the broker-dealer, the transaction charges may be higher or lower than the charges the client may pay if the transactions were executed at other broker-dealers. Clients should be aware the client may pay if the transactions were executed at other broker-dealers. Clients should be aware that Mr. Bucklin could have an incentive to recommend investment products based on the compensation received, rather than on the client's needs, and this could potentially create a

conflict of interest. Clients are under no obligation to purchase securities through Mr. Bucklin or CIR.

#### **Other Investment Advisor Relationship**

The education emphasis of Capital Investment Advisors' financial consultation services is marketed as the Institute for Financial Independence (IFI). IFI is disclosed as an Other Business Name for Capital Investment Advisors.

Approximately 1% of Mr. Bucklin's time may be engaged in these IFI related activities.

#### **Insurance Agency Relationship**

Thomas Bucklin is a licensed insurance agent. Mr. Bucklin may receive compensation for his activities as an insurance agent for insurance contracts he might sell to clients of Capital Investment Advisors.

Approximately 10% of Mr. Bucklin's time is spent in connection to this activity.

Mr. Bucklin is also appointed with various life, disability, and other insurance companies. As such, he may recommend the products offered by these insurance companies. If clients purchase these products through Mr. Bucklin, we or he may receive the normal commissions or fees for affecting such sales. When commissions or fees are received by us or Mr. Bucklin in connection with the advice given to advisory clients, we may reduce our fee by some or all of the commission or fee earned by Mr. Bucklin. However, clients are under no obligation to purchase any life, disability, or other insurance product through us or Mr. Bucklin.

## **Item 5: Additional Compensation**

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Mr. Bucklin receives economic benefit for providing advisory services only from clients. These compensation arrangements are more fully described in Capital Investment Advisors' Firm Brochure, Form ADV Part 2-A.

## **Item 6: Supervision**

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Capital Investment Advisors requires client sales to be promptly reviewed by the firm's chief compliance officer. This review will be based upon information that Mr. Bucklin gathered about the suitability of the investment for the client. Materials used in presenting financial consultation services to a client will also be approved for use by the chief compliance officer. Conversations and correspondence in follow-up to the sales and presentations relating to the client are reviewed by the firm's chief compliance officer. Because of his relationship as a registered representative of Cambridge Investment Research the proceeding materials are also reviewed by one or more compliance principals at Cambridge.

Mr. Bucklin's advisory activities are supervised by John E. Girouard, the firm's President, CEO & CCO. Mr. Girouard may be reached at 240-482-4000.

Executive Staff may be reached at 240-482-4000, Richard Weinberg (CFO) or Cambridge Investment Management & Research at 800-777-6080.



*Thank you for reviewing the Capital Investment Advisors, Inc. Part 2B of Form ADV for this representative.*

September 2017