

**KEEBLE & PYKE**  
FINANCIAL ADVISORS LLC

**345 Corporate Center Court  
Stockbridge, Georgia 30281**

**770.507.0025**

**www.keeblepyke.com**

***Disclosure Brochure***

**July 19, 2011**

This brochure provides information about the qualifications and business practices of Keeble & Pyke Financial Advisors, LLC. If you have any questions about the contents of this brochure, please contact us at 770.507.0025. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Keeble & Pyke Financial Advisors, LLC. is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an adviser provide you with information about which you determine to hire or retain an adviser.

Additional information about Keeble & Pyke Financial Advisors, LLC. also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

## Material Changes

On August 12, 2010, the United State Securities and Exchange Commission (“SEC”) published “Amendments to Form ADV” which requires us to provide clients and prospective clients (“you, your, yours”) with a brochure and brochure supplements written in plain English. This brochure is prepared according to the SEC’s new requirements and rules. As a result, we are providing you with a brochure that not only looks different, but contains more information than our earlier disclosure documents.

In the past Keeble & Pyke Financial Advisors, LLC. (“Keeble & Pyke, we, us, our, ours”) have offered or delivered information about our qualifications and business practices to clients on an annual basis. Going forward, we will see that you receive a summary of any material changes to our brochures by April 29th of each year. We may also provide updated disclosure information about material changes on a more frequent basis. Any summaries of changes will include the date of our last annual update of

our brochure.

Currently, our brochure may be requested by contacting Shane Hunter, at 770.507.0025 or [shane.hunter@multifin.com](mailto:shane.hunter@multifin.com).

Our brochure is also available on our website [www.keeblepyke.com](http://www.keeblepyke.com). We will provide you with a new brochure at any time without charge.

Additional information about our company is also available via the SEC’s website:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

The SEC’s website also provides information about any persons affiliated with Keeble & Pyke who are registered as investment adviser representatives of Keeble & Pyke.

Information on our investment adviser representatives who work with your account can be found in our brochure supplements on the page shown in the table of contents to the right of this column.

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SEC File Number: 801-67808

CRD Number 125724

## ***Advisory Business***

Keeble & Pyke is a limited liability corporation organized under the laws of Georgia. John B. Keeble, IV and Charles B. Pyke, Jr founded the Stockbridge, Georgia-based investment advisory firm in 1999 and are the principal owners. Keeble & Pyke is a SEC registered investment advisory firm.

### ***Asset Management Program***

The Asset Management Program utilizes mutual funds and individual security selection. We review your financial affairs and plan a diversified portfolio for you. Our standard asset management and portfolio service involves each account being divided initially into two strategies, approximately 50% - 70% in a diversified mutual fund portfolio and 30% - 50% in individual securities (stocks, bonds and cash equivalents), either or both accounts could contain fixed income investments i.e. individual bonds. We will recommend the selection of mutual funds for your portfolio.

We assist you in selecting another Investment Adviser who will act as our sub-adviser. The sub-adviser that we choose will select stocks and bonds for the remaining 30% -50% of the account. The portion of the portfolio invested in individual securities is managed by the sub-adviser.

We currently recommend Academy Capital Management, Inc. ("Academy") as the sub-adviser to select individual

securities for client portfolios. See Academy's Part 2 brochure for important disclosure information about their management style.

In managing your investment portfolio, we consider your financial situation, risk tolerance, investment horizon, liquidity needs, tax considerations, investment objectives, and any other issues important to your state of affairs. You should notify us promptly if there are any changes in your financial situation or investment objectives or if you wish to impose any reasonable restrictions upon the management of your account.

As of July 18, 2011, approximately \$94.5 million in client assets were managed by Keeble & Pyke where our clients made the investment decisions based upon our recommendations (nondiscretionary).

## ***Fees and Compensation***

We offer our investment advisory services on a fee-only basis. Our fee is calculated based upon the market value of the assets in your account on the last day of the previous quarter.

Broker-dealers and other financial institutions that hold client accounts are referred to as custodians ("custodian/broker-dealer"). Your custodian/broker-dealer determines the values of the assets in your portfolio.

Fees for the initial quarter are based on the value of your cash and securities on the date the custodian/broker-dealer

receives them and are prorated based upon the number of calendar days in the calendar quarter that our agreement is in effect. Our fee schedule is described below:

<b><u>Assets Under Management</u></b>	<b><u>Advisory Fee<sup>1</sup></u></b>
\$0 to \$250,000	1.40%
\$250,001 to \$1,000,000	1.20%
\$1,000,001 to \$3,000,000	1.00%
\$3,000,001 and above	.80%

*<sup>1</sup> All fees are negotiable at our sole discretion. The fees are per account registration, i.e. husband has two IRAs they are combined together for breakpoint, but a husband's IRA and a wife's IRA are NOT combined for purpose of break point*

You must authorize us to have the custodian/broker-dealer pay us directly by charging your account. This authorization must be provided in writing. One-fourth of the annual fee is charged each calendar quarter.

Your custodian/broker-dealer provides you with statements that show the amount paid directly to us. You should review and verify the calculation of our fees. Your custodian/broker-dealer does not verify the accuracy of fee calculations.

In addition to our fee, you will be required to pay other applicable charges such as:

- custodial fees,
- brokerage commissions,
- transaction fees,

- internal fees and expenses charged by mutual funds or exchange traded funds ("ETFs"), and
- other fees and taxes on brokerage accounts and securities transactions.

Mutual fund companies, ETFs, and variable annuity issuers charge internal fees and expenses for their products. These fees and expenses are in addition to any advisory fees charged by us. Complete details of these internal fees and expenses are explained in the prospectuses for each investment. You are strongly encouraged to read these explanations before investing any money. You may ask us any questions you have about fees and expenses.

If you purchase mutual funds through the custodian/broker-dealer, you may pay a transaction fee that would not be charged if the transactions were made directly through the mutual fund company. Also, mutual funds held in accounts at brokerage firms may pay internal fees that are different from funds held at the mutual fund company.

While you may purchase shares of mutual funds directly from the mutual fund company without a transaction fee, those investments would not be part of our advisory relationship with you. This means that they would not be included in our investment strategies, investment performance monitoring, or portfolio reallocations.

Please be sure to read the section entitled “Brokerage Practices,” which follows later in this brochure.

Our advisory fees are charged in arrears. Should you terminate the advisory agreement we have entered into within five (5) business days from the date the agreement is executed, you will not be charged any fees.

Should either one of us terminate the advisory agreement we have entered into before the end of a billing period, you will be charged a pro-rata fee for that quarter. The amount to be charged to you is calculated by dividing the most recent advisory fee you paid by the total number of days in the quarter. This daily fee is then multiplied by the number of calendar days in the quarter that our agreement was in effect. This amount, which equals the amount we earned for the partial quarter, is charged for our fee for that quarter.

Our advisory representatives are also registered representatives and investment adviser representatives of Multi Financial Securities Corporation (“Multi Financial”), a registered broker/dealer, member FINRA/SIPC, and registered investment adviser. If you choose to implement your financial plan through Multi Financial, commissions may be earned by your financial advisor in addition to any fees paid for advisory services. In addition, the financial advisor may be entitled to a portion of the internal expense fees (such as 12b-1 fees) charged by mutual funds.

Our advisory representatives are also licensed with various insurance companies. Commissions may be earned by our financial advisors if insurance products are purchased through these insurance companies.

Our advisory representatives may also recommend various asset management firms. If you establish an investment advisory relationship with one of these firms, our financial advisors may share in the advisory fees you pay to these asset management firms.

The above arrangements present a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive rather than based upon your needs. We will explain the specific costs associated with any recommended investments with you upon request. We also recommend no-load and load-waived mutual funds to further reduce conflicts of interest. Additionally, you have the option to purchase investment and insurance products through other brokers or agents who are not affiliated with us.

### ***Performance-Based Fees***

Performance-based fees are designed to give a portion of the returns of an investment to the investment adviser as a reward for positive performance. The fee is generally a percentage of the profits made on the investments. We do not charge performance-based fees on any of our client accounts.



## ***Types of Clients***

We provide advisory services primarily to high net worth individuals, including their trusts, estates and retirement accounts.

## ***Methods of Analysis, Investment Strategies and Risk of Loss***

We select specific investments for your portfolios through the use of fundamental analysis. Fundamental analysis is a method of evaluating a company that has issued a security by attempting to measure the value of its underlying assets. It entails studying overall economic and industry conditions as well as the financial condition and the quality of the company's management. Earnings, expenses, assets, and liabilities are all important in determining the value of a company. The value is then compared to the current price of the issuing company's security to determine whether to purchase, sell or hold the security.

Additionally, we also utilize the recommendation of the services of third-party sub-advisers to help implement their investment advice as described above.

Although we manage your portfolio in a manner consistent with your risk tolerances, there can be no guarantee that our efforts will be successful. You should be prepared to bear the risk of loss.

Our investment strategies may include long-term and short-term purchases and sales, as well as the use of model portfolios. You may place reasonable restrictions on the strategies to be employed in your portfolio and the types of investments to be held in your portfolio.

All investments involve risks that can result in loss:

- loss of principal,
- a reduction in earnings (including interest, dividends and other distributions), and
- the loss of future earnings.

Additionally, these risks may include:

- market risk,
- interest rate risk,
- issuer risk, and
- general economic risk.

Although we manage your portfolio in a manner consistent with your risk tolerances, we cannot guarantee that our efforts will be successful. You should be prepared to bear the risk of loss.

## ***Disciplinary Information***

We have not been the subject of any legal or disciplinary events that would be material to your evaluation of our business or the integrity of our management.

## **Other Financial Industry Activities and Affiliations**

As explained under “Fees and Conditions” above, we are licensed as a registered representatives with Multi Financial. We are also licensed as an insurance agent with various insurance companies. These arrangements present a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation your advisory representative can receive rather than based upon your needs.

As previously noted, we will explain the specific costs associated with any recommended investments with you upon request. We also recommend no-load and load-waived mutual funds to further reduce conflicts of interest. You have the option to purchase investment and insurance products through other brokers or agents who are not affiliated with us.

Our advisory representatives may also recommend various asset management firms. If you establish an investment advisory relationship with one of these firms, our financial advisors may share in the advisory fees you pay to these asset management firms.

Because the compensation we receive may vary depending upon the adviser selected, we may have a conflict of interest in recommending certain advisers to you. To address this potential conflict we consider the following factors

in the selection of an unaffiliated manager:

- the management style, performance, reputation, pricing and reporting capabilities of the unaffiliated investment manager;
- your risk tolerance, goals and objectives, as well as investment experience;
- the amount of assets you have available for investment; and
- our familiarity and preference for a particular manager.

You are under no obligation to follow our recommendations.

The relationship of Keeble & Pyke, Pyke & Associates, PC (an estate planning law firm), and KP&B Tax Planning, LLC involves referring clients to each of the firms. A Disclosure and Authorization form is signed by all clients who wish to do business with any of the three firms. There is no compensation between the entities for referrals. Pyke & Associates PC and Keeble & Pyke co-sponsor seminars for marketing and educational purposes.

## **Code of Ethics; Participation or Interest in Client Transactions and Personal Trading**

We have adopted a *Code of Ethics* (“Code”) to address the securities-related conduct of our advisory representatives and employees. The *Code* includes our policies and procedures developed to protect your interests in relation to the following:

- the duty at all times to place your interests ahead of ours;
- that all personal securities transactions of our advisory representatives and employees be conducted in a manner consistent with the *Code* and avoid any actual or potential conflict of interest, or any abuse of an advisory representative's or employee's position of trust and responsibility;
- that advisory representatives may not take inappropriate advantage of their positions;
- that information concerning the identity of your security holdings and financial circumstances are confidential; and
- that independence in the investment decision-making process is paramount.

We will provide a copy of the *Code* to you or any prospective client upon request.

We do not buy or sell securities for our firm that we also recommend to clients. Our advisory representatives and employees are permitted to buy or sell the same securities for their personal and family accounts that are bought or sold for your account(s). The personal securities transactions by advisory representatives and employees may raise potential conflicts of interest when they trade in a security that is:

- owned by you or

- considered for purchase or sale for you.

We have adopted policies and procedures that are intended to address these conflicts of interest. These policies and procedures:

- require our advisory representatives and employees to act in your best interest,
- prohibit favoring one client over another, and
- provide for the review of transactions to discover and correct any same-day trades that result in an advisory representative or employee receiving a better price than a client.

Advisory representatives and employees must follow our procedures when purchasing or selling the same securities purchased or sold for you.

### ***Brokerage Practices***

If we recommend that your account be managed through our relationship with Multi Financial Securities Corp ("Multi Financial"), we recommend that your broker-dealer/custodian be Pershing, LLC ("Pershing"). Pershing will assist us in servicing your account. We are independently owned and operated and not affiliated with Pershing. Our use of Pershing is, however, a beneficial business arrangement for us and for Pershing. Information regarding the benefits of this relationship is described below.



In recommending Pershing as custodian and as the securities brokerage firm responsible for executing transactions for your portfolios, we consider, at a minimum, Pershing's:

- existing relationship with us,
- financial strength,
- reputation,
- reporting capabilities,
- execution capabilities,
- pricing, and
- types and quality of research.

The determining factor in the selection of Pershing to execute transactions for your accounts is not the lowest possible transaction cost, but whether Pershing can provide what is in our view the best qualitative execution for your account.

Pershing provides us with access to its institutional trading and custody services, which includes:

- brokerage,
- custody,
- research, and
- access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.

We are not required to effect a minimum volume of transactions or maintain a minimum dollar amount of client assets to receive these services.

Pershing also makes available to us other products and services that benefit us but may not benefit you directly. Some of these products and services assist us in managing and administering our client accounts, such as software and other technology that:

- provide access to account data such as:
  - duplicate trade confirmations,
  - bundled duplicate account statements, and
  - access to an electronic communication network for client order entry and account information;
- facilitate trade execution, including:
  - access to a trading desk serving advisory participants exclusively and
  - access to block trading which provides the ability to combine securities transactions and then allocate the appropriate number of shares to each individual account;
- provide research, pricing information and other market data;
- facilitate payment of our fees from client accounts; and
- assist with back-office functions, record keeping and client reporting; and
- receipt of compliance publications.

Pershing also makes available to us other services intended to help us manage and further develop our business. These services may include:

- consulting,
- publications and conferences on practice management,
- information technology,
- business succession,
- regulatory compliance, and
- marketing.

Pershing may also make available or arrange for these types of services to be provided to us by independent third parties. Pershing may discount or waive the fees it would otherwise charge for some of the services it makes available to us. It may also pay all or a part of the fees of a third party providing these services to us. Thus, we receive economic benefits as a result of our relationship with Pershing, because we do not have to produce or purchase the products and services listed above.

Because the amount of our compensation or the products or services we receive may vary depending on the custodian/broker-dealer we recommend to be used by our clients, we may have a conflict of interest in making that recommendation. Our recommendation of specific custodian/broker-dealers may be based in part on the economic benefit to us and not solely on the nature, cost or quality of custody and brokerage services provided to you and our other clients. We nonetheless strive to act in your best interests at all times.

Commissions and other fees for transactions executed through Pershing may be higher than commissions and

other fees available if you use another custodian/broker-dealer firm to execute transactions and maintain custody of your account. We believe, however, that the overall level of services and support provided to our clients by Pershing outweighs the benefit of possibly lower transactions cost which may be available under other brokerage arrangements.

Many of the services described above may be used to benefit all or a substantial number of our accounts, including accounts not maintained at through Pershing. We do not attempt to allocate these benefits to specific clients.

You may direct us in writing to use a particular broker-dealer to execute some or all of the transactions for your account. If you do so, you are responsible for negotiating the terms and arrangements for the account with that broker-dealer. We may not be able to negotiate commissions, obtain volume discounts, or best execution. In addition, under these circumstances a difference in commission charges may exist between the commissions charged to clients who direct us to use a particular broker or dealer and other clients who do not direct us to use a particular broker or dealer.

## ***Review of Accounts***

We perform an initial review of your overall financial condition that includes the following areas:

- asset protection,
- estate planning,
- retirement income,
- taxes, and
- investments

All accounts receive an internal review on an annual basis.

In addition to the internal review, we meet with you on a semiannual or annual basis to review your accounts. That review is documented as well. All reviews are performed by the Chief Compliance Officer or a designated investment advisor representative of Keeble & Pyke.

We monitor the performance of the sub-adviser. In the event we determine that the sub-adviser is not performing consistent with our expectations and your financial objectives, we will recommend to you that the sub-adviser be terminated or replaced. You will make the final determination as to the retention, termination, substitution, or replacement of any sub-adviser. You are required to execute an agreement with the sub-adviser in addition to the advisory agreement with us.

Subsequent to the initial review, we periodically review your financial affairs and the portfolio and then recommend adjustments, if needed, to the portfolio.

You will receive statements from the custodian/broker-dealer at least quarterly. These statements identify your

current investment holdings, the cost of each of those investments, and their current market values.

### ***Client Referrals and Other Compensation***

We receive certain economic benefits as a result of our participation in Pershing's institutional program. Those benefits are described in detail in the preceding section entitled "Brokerage Practices."

We do not directly or indirectly compensate any person who is not one of our advisory representatives or employees for client referrals.

### ***Custody***

You will receive statements from the custodian/broker-dealer that holds your investment account on at least a quarterly basis. We urge you to carefully review these statements. You should verify that the transactions in your account are consistent with your investment goals and the objectives for your account. We also encourage you to contact your advisory representative or our Chief Compliance Officer should you have any questions or concerns regarding your account.

### ***Investment Discretion***

We do not accept discretionary authority to manage securities accounts on your behalf. This means that we must seek advance approval from you to determine the type and amount of securities to be

bought and sold for your accounts or to choose the broker-dealer through which transactions will be executed.

Additionally, we do not have the ability to withdraw funds from your account (other than to withdraw our advisory fees which, may only be done with your prior written authorization.)

After consultation with you, and on a non-discretionary basis, we assist you in selecting another Investment Adviser who will act as our sub-adviser. The sub-adviser that we choose will select stocks and bonds for the remaining 30% - 50% of the account. We do not have discretion with respect to the selection of the securities or the selection of sub-advisers. The portion of the portfolio invested in individual securities is managed on a discretionary basis by the sub-adviser.

### ***Voting Client Securities***

We do not take any action or give any advice with respect to voting of proxies solicited by or with respect to the issuers of securities in which your accounts may be invested. In addition, we do not take any action or give any advice with respect

to any securities held in any accounts that are named in or subject to class action lawsuits. We will, however, forward to you any information received by us regarding proxies and class action legal matters involving any securities held in your accounts.

For accounts subject to the provisions of The Employment Retirement Income Security Act of 1974 (“ERISA”), the plan fiduciary specifically keeps the authority and responsibility for the voting of these proxies. The plan and its trustees agree to indemnify Keeble & Pyke against any and all liability that may incur under ERISA because of a failure to vote proxies with respect to securities held in the account.

### ***Financial Information***

We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to you and we have not been the subject of a bankruptcy proceeding.

**KEEBLE & PYKE**  
FINANCIAL ADVISORS LLC

John B. Keeble, IV, CFP®, CHFC

CRD # 2144411

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Stockbridge, Georgia 30281

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[www.keeblepyke.com](http://www.keeblepyke.com)

Brochure Supplement

July 19, 2011

**This brochure supplement provides information about John Keeble, IV that supplements the Keeble & Pyke brochure. You should have received a copy of that brochure. Please contact Shane Hunter, Chief Compliance Officer, if you did not receive Keeble & Pyke's brochure or if you have any questions about the contents of this supplement.**

**Additional information about John Keeble, IV is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ***Educational Background and Business Experience***

John B. Keeble, IV

*Year of birth:* 1957

*Formal education:*

- BBA – Finance; University of Georgia, 1979
- The School of Banking of the South at LSU, Banking Certificate; 1986

*Business background:*

- Keeble & Pyke Financial Advisors, LLC.; Owner; Advisory Representative; (1999 – Present)
- Multi-Financial Securities Corp.; Registered Representative; (1992 – Present)

*Professional Designations:*

***Certified Financial Planner™***, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent

code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;



- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### ***Disciplinary Information***

John Keeble, IV has not been the subject of any legal or disciplinary event.

### ***Other Business Activities***

Mr. Keeble is also a registered representative and investment adviser representative of Multi Financial Securities Corporation (“Multi Financial”), a registered broker/dealer, member FINRA/SIPC, and registered investment adviser. If you choose to implement your financial plan through Multi Financial, commissions may be earned by your financial advisor in addition to any fees paid for advisory services. In addition, the financial advisor may be entitled to a portion of the internal expense fees (such as 12b-1 fees) charged by mutual funds.

Mr. Keeble is also licensed with various insurance companies. Commissions may be earned by our financial advisors if insurance products are purchased through these insurance companies.

The above arrangements present a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive rather than based upon your

needs. We will explain the specific costs associated with any recommended investments with you upon request. We also recommend no-load and load-waived mutual funds to further reduce conflicts of interest. Additionally, you have the option to purchase investment and insurance products through other brokers or agents who are not affiliated with us.

Charles B. Pyke Jr. and John B Keeble are owners of KP&B Tax Planning, LLC, a tax planning and tax return preparation business. Services within this entity are provided by an individual not associated with Keeble & Pyke.

### ***Additional Compensation***

John Keeble is also a licensed real estate agent for the state of Georgia with Keller Williams Realty Cityside. As such, Mr. Keeble may refer clients and non-clients to another Keller Williams agent for a disclosed referral fee or commission.

Keeble & Pyke's representatives may receive compensation for these non-advisory services that they may provide. Such compensation would be in addition to the advisory and other fees that Keeble & Pyke may receive.

### ***Supervision***

Mr. Keeble is supervised by Shane Hunter. Mr. Hunter can be reached at 770.507.0025.

We supervise Mr. Keeble by requiring that he adhere to our processes and procedures as described in our firm's Code of Ethics. We will monitor the advice that Mr. Keeble gives to you by performing the following reviews:

- A review of relevant account opening documentation when the relationship is established
- A daily review of account transactions,
- Review custodial information on a quarterly basis to assess account activity,
- Perform annual oversight so that Mr. Keeble is aware of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.

**KEEBLE & PYKE**  
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Brochure Supplement

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**This brochure supplement provides information about Charles B. Pyke, Jr. that supplements the Keeble & Pyke brochure. You should have received a copy of that brochure. Please contact Shane Hunter, Chief Compliance Officer, if you did not receive Keeble & Pyke's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Charles B. Pyke, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Educational Background and Business Experience**

Charles B. Pyke, Jr.

*Year of birth:* 1965

*Formal education:*

- BA – Finance; Auburn University; 1988
- Emory University – Law School; Doctor of Law 1991

*Business background:*

- Pyke & Associates, P.C. , Attorney; (04/96 – Present)
- Keeble & Pyke Financial Advisors, LLC.; Owner; Advisory Representative; (1999 – Present)
- Multi-Financial Securities Corp.; Registered Representative; (2000 – Present)

## **Disciplinary Information**

Charles Pyke has not been the subject of any legal or disciplinary event.

## **Other Business Activities**

Charles Pyke is also a registered representatives and investment adviser representatives of Multi Financial Securities Corporation (“Multi Financial”), a registered broker/dealer, member FINRA/SIPC, and registered investment adviser. If you choose to implement your financial plan through

Multi Financial, commissions may be earned by your financial advisor in addition to any fees paid for advisory services. In addition, the financial advisor may be entitled to a portion of the internal expense fees (such as 12b-1 fees) charged by mutual funds.

Charles Pyke is also licensed with various insurance companies. Commissions may be earned by our financial advisors if insurance products are purchased through these insurance companies.

The above arrangements present a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive rather than based upon your needs. We will explain the specific costs associated with any recommended investments with you upon request. We also recommend no-load and load-waived mutual funds to further reduce conflicts of interest. Additionally, you have the option to purchase investment and insurance products through other brokers or agents who are not affiliated with us.

Charles Pyke is the sole owner of Pyke & Associates, PC an estate planning law firm. Charles Pyke and John Keeble are also owners of KP&B Tax Planning, LLC, a tax planning and tax return preparation business. Services within this entity are provided by an individual not associated with Keeble & Pyke.

## ***Additional Compensation***

Charles Pyke may receive compensation for non-advisory services that he may provide as disclosed above. Such compensation would be in addition to the advisory and other fees that Keeble & Pyke may receive.

## ***Supervision***

Mr. Pyke is supervised by John Keeble, Chief Compliance Officer. Mr. Keeble can be reached at 770.507.0025.

We supervise Mr. Pyke by requiring that he adhere to our processes and procedures as described in our firm's Code of Ethics. We will monitor the advice that Mr. Pyke gives to you by performing the following reviews:

- A review of relevant account opening documentation when the relationship is established
- A daily review of account transactions,
- Review custodial information on a quarterly basis to assess account activity,
- Perform annual oversight so that Mr. Pyke is aware of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.

**KEEBLE & PYKE**  
FINANCIAL ADVISORS LLC

J. Shane Hunter

**CRD # 2750226**

**345 Corporate Center Court  
Stockbridge, Georgia 30281**

**770.507.0025**

**www.keeblepyke.com**

**Brochure Supplement**

**July 19, 2011**

**This brochure supplement provides information about J. Shane Hunter that supplements the Keeble & Pyke brochure. You should have received a copy of that brochure. Please contact J. Shane Hunter, Chief Compliance Officer, if you did not receive Keeble & Pyke's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Shane Hunter is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**



## **Educational Background and Business Experience**

J. Shane Hunter

*Year of birth:* 1973

*Formal education:*

- BA – Finance; Georgia State University; 1995

*Business background:*

- Keeble & Pyke Financial Advisors, LLC.; Financial Planner; (05/05 – Present)
- Multi-Financial Securities Corp.; Registered Representative; (2005 – Present)
- SunTrust Bank; Investment Consultant; (1996 – 05/05)

*Professional Designations:*

**Certified Financial Planner™**, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that

govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;

- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### ***Disciplinary Information***

Shane Hunter has not been the subject of any legal or disciplinary event.

### ***Other Business Activities***

Shane Hunter is also a registered representatives and investment adviser representatives of Multi Financial Securities Corporation (“Multi Financial”), a registered broker/dealer, member FINRA/SIPC, and registered investment adviser. If you choose to implement your financial plan through Multi Financial, commissions may be earned by your financial advisor in addition to any fees paid for advisory services. In addition, the financial advisor may be entitled to a portion of the internal expense fees (such as 12b-1 fees) charged by mutual funds.

Shane Hunter is also licensed with various insurance companies. Commissions may be earned by our financial advisors if insurance products are purchased through these insurance companies.

The above arrangements present a conflict of interest because they create an incentive to make recommendations

based upon the amount of compensation we receive rather than based upon your needs. We will explain the specific costs associated with any recommended investments with you upon request. We also recommend no-load and load-waived mutual funds to further reduce conflicts of interest. Additionally, you have the option to purchase investment and insurance products through other brokers or agents who are not affiliated with us.

### ***Additional Compensation***

Shane Hunter may receive compensation for non-advisory services that he may provide as disclosed above. Such compensation would be in addition to the advisory and other fees that Keeble & Pyke may receive.

### ***Supervision***

Mr. Hunter is supervised by John Keeble, Chief Compliance Officer. Mr. Keeble can be reached at 770.507.0025.

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- Perform annual oversight so that Mr. Hunter is aware of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.