



Capital City Asset Management Group, LLC  
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Part 2B of Form ADV  
Brochure Supplement  
For: Clint Keener

DBA

Keener Wealth Management  
470 Old Worthington Road  
Suite 200  
Columbus, Ohio 43082  
Phone 614-307-3204

Updated October 2016

This brochure supplement provides information about Clint Keener that supplements the Capital City Asset Management Group, LLC brochure. You should have received a copy of that brochure. Please contact Capital City Asset Management Group, LLC if you did not receive Capital City Asset Management Group, LLC's brochure or if you have any questions about the contents of this supplement.

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

## ***Education Background and Experience***

Clint Keener was born on September 3, 1972. He attended The Ohio State University from 1990-1995 majoring in Economics. Clint has passed the Financial Industry Regulatory Authority (FINRA) 'Series 7' General Securities Registered Representative Examination, FINRA 'Series 63' Uniform Securities Agent State Law Examination and FINRA 'Series 65' Uniform Investment Adviser Law Examination. These examinations test minimum levels of competency and are required to conduct certain types of business in the securities industry. Since 2012 Mr. Keener has been a Registered Representative of Capital City Securities, LLC (CCS) and an Investment Adviser Representative with Capital City Asset Management Group, LLC (CCAMG). From March of 2009 to May of 2012 he was a Registered Representative and an Investment Adviser Representative with WRP Investments and a Financial Adviser with CAFGI Wealth Management. He also was a part owner of Clickacoupon.com in 2009. From October of 2008 to March of 2009 he was registered with LPL Financial Corporation. From November of 2001 to October of 2008 he was a Registered Representative with Stifel, Nicolaus & Company, Inc.

## ***Disciplinary Information***

### *10-15-2010, Regulatory Action initiated by: State of Ohio - Division of Securities*

*Employing Firm when activity occurred which led to the regulatory action:*  
Stifel, Nicolaus & Company, Inc.

*The allegations related to this regulatory action:*

NASD Rules 2110, 2310, 2510(B) & 3110: Mr. Keener made unsuitable trade recommendations in the accounts of a customer. He recommended purchases resulting in an over-concentration of non-investment grade bonds and other equities for an over 60 year-old couple with no previous investment experience. In addition, he incorrectly marked order tickets for purchases for these customers and other customers as "unsolicited" when they were "solicited." Further, he exercised discretion with verbal, but not written authorization, in the accounts of at least six customers. Although he frequently spoke to these customers, he did not speak to them every time he entered a transaction in their accounts. He did not have written authorization from these customers or from his member firm to engage in such discretionary trading.

*Sanction Type:* Suspension

*Registration Capacities affected:* All Capacities

*Duration:* 10 days starting 02/18/2011 and ending 02/28/2011

### *07/13/2010, Regulatory Action initiated by: FINRA*

*Employing Firm when activity occurred which led to the regulatory action:*  
Stifel, Nicolaus & Company, Inc.

*The allegations related to this regulatory action:*

NASD Rules 2110, 2310, 2510(B) & 3110: Mr. Keener made unsuitable trade recommendations in the accounts of a customer. He recommended purchases resulting in an over-concentration of non-investment grade bonds and other equities for an over 60 year-old couple with no previous investment experience. In addition, he incorrectly marked order tickets for purchases for these customers and other customers as “unsolicited” when they were “solicited.” Further, he exercised discretion with verbal, but not written authorization, in the accounts of at least six customers. Although he frequently spoke to these customers, he did not speak to them every time he entered a transaction in their accounts. He did not have written authorization from these customers or from his member firm to engage in such discretionary trading. Without admitting or denying the findings, he consented to the described sanctions and to the entry of findings.

*Sanction Type:* Suspension

*Registration Capacities affected:* All Capacities

*Duration:* Two months starting 08/16/2010 and ending 10/15/2010.

*Monetary Related Sanction Type:* Civil and Administrative Penalty/Fine

\$ 7,500.00

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

Clint Keener is also a Registered Representative of Capital City Securities, LLC and may do business through one or all of Capital City Partners, Inc. (CCP) wholly owned subsidiaries listed below.

The following practices present a conflict of interest and gives CCAMG and or it's supervised persons an incentive to recommend investment products based on compensation received, rather than on a client's needs. Capital City Asset Management Group, LLC (CCAMG) is a registered investment advisory firm, Capital City Consulting Group, LLC (CCCG) engages in investment banking activities, Capital City Insurance Group, LLC (CCIG) is an Insurance Agency and Capital City Securities, LLC (CCS) is a FINRA securities broker-dealer all are wholly owned subsidiaries of Capital City Partners, Inc. (CCP). Todd Crawford, CEO of CCAMG and Timothy Shear Senior Vice President of CCAMG are beneficial shareholders, board of director members and Timothy Shear CEO and Todd Crawford Chairman of the Board of Directors of Capital City Energy Group, Inc. a public company.

Your Investment Advisor Representative may have a financial interest in one or more of the above mentioned companies or its' investment products and/or services. In addition, your Advisor may be licensed with and or provide services for and receive commissions and or fees for products used in the management of your account.

Your Advisor may recommend an investment in or a product from one or more of the above mentioned companies. This may create a conflict of interest between you and your Advisor, as your Advisor may have an ownership interest in some or all of the above mentioned companies and or receive commissions and or fees from these companies. The client may have the option to purchase the products CCAMG recommends through other brokers or agents that are not affiliated with CCAMG. CCAMG does not reduce advisory fees to offset commissions and or mark ups paid by the client. All advisory fees are separate from the fees and expenses charged by

each hedge fund, mutual fund, insurance company and other investments for their services. These fees and expenses are described in the prospectus or offering documents of each investment. These fees will generally include a management fee, other fund expenses and a possible distribution fee. If the investment also imposes a sales charge, then the client may pay an initial or a deferred sales charge. A client could invest in hedge funds, mutual funds, annuities and/or life insurance policies and other investments directly, without the services of CCAMG. Accordingly, the client should review both the fees charged by the hedge funds, mutual funds, insurance companies and other investments, as well as the fees charged by CCAMG to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

Capital City Asset Management Group and their Investment Adviser Representatives are subject to and intend to comply with standards of fiduciary duty requiring CCAMG and the representative to act solely in the best interest of the client when making investment recommendations.

### ***Additional Compensation***

CCAMG has relationships with various unaffiliated RIAs and Hedge Funds to offer their services to CCAMGs' clients. As a result of these relationships, CCAMG receives compensation in exchange for introducing its clients to such unaffiliated RIAs and Hedge Funds. CCAMG may share a portion of the compensation with its representatives. CCAMG typically receives a percentage of the fee charged to the client by the unaffiliated RIA and or Hedge Fund for its services, which fees are typically based upon assets under management. The relationship of CCAMG IARs, and the RIA and or Hedge Fund is clearly communicated to all relevant clients in an agreement signed by the client and in a disclosure statement provided by the RIA and or Hedge Fund.

### ***Supervision***

CCAMG supervises its representatives' advisory services from the home office located at 1335 Dublin Road, Suite 122-D, Columbus, Ohio 43215. CCAMG monitors the advice provided to clients from its representatives by reviewing client account opening documents, client servicing account documents, client accounts and client account transactions on a periodic basis. Principals of the firm review client accounts to whom it and its IARs provide investment advice on a periodic basis. Such reviews include monitoring whether the IAR is complying with applicable laws and regulations, and whether the IAR is reviewing client account forms for appropriate disclosure of the client's financial means and goals when executing transactions for the client. CCAMG also reviews the trading in clients' accounts to ensure that the investment recommendations are suitable. Trades placed on a full discretionary basis are reviewed by a principal of the firm's home office.

A client account may be reviewed more than on a periodic basis. The review of an account may be triggered by trading activity, objectives set forth by the client, security transactions placed over certain dollar amount thresholds, or irregular trading activity.

The following persons supervise the firms' representatives' advisory activities from the home office located at 1335 Dublin Road, Suite 122-D, Columbus, Ohio 43215

Todd Crawford	CEO & Chief Compliance Officer	614-485-0803
James Roland	Compliance Officer	614-485-0803

***Requirements for State Registered Advisors***

Registration does not imply a certain level of skill or training.