

*This brochure supplement provides information about Steven R. Pickard that supplements the Carswell Investments, LLC brochure. You should have received a copy of that brochure. Please contact Steven R. Pickard, Managing Member if you did not receive Carswell Investments, LLC's brochure or if you have any questions about the contents of this supplement.*

## **Carswell Investments, LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Steven R. Pickard**

Personal CRD Number: 4556595

Investment Adviser Representative

Carswell Investments, LLC  
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UPDATED: 6/6/2011

## **Item 2: Educational Background and Business Experience**

**Name:** Steven R. Pickard

**Born:** 1980

### **Education Background and Professional Designations:**

#### **Education:**

BA Finance, Mercyhurst College – 2002

#### **Designations:**

##### **AAMS – Accredited Asset Management Specialist**

###### **MINIMUM QUALIFICATIONS:**

- Complete a self study course,
- Pass an examination on asset management topics,
- Agree to a code of ethics, and
- Commit to annual continuing education.

#### **Business Background:**

06/2011 – Present	Managing Member Carswell Investments, LLC
05/2004 – Present	Financial Advisor Pinnacle Investments, LLC
08/2003 – 05/2004	Financial Advisor Morgan Stanley DW, Inc.
08/2002 – 09/2003	Financial Consultant A.G. Edwards & Sons, Inc.

### **Item 3: Disciplinary Information**

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**

Steven R. Pickard is a registered representative of Pinnacle Investments, LLC. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. CI always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of CI in their capacity as a registered representative.

### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Steven R. Pickard does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Carswell Investments, LLC.

### **Item 6: Supervision**

As a representative of Carswell Investments, LLC, Steven R. Pickard supervises all duties and activities of the firm. Steven R. Pickard's contact information is on the cover page of this disclosure document. Steven R. Pickard adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.