
Form ADV Part 2B: Brochure Supplement for Nat DiCarlo
Item 1: Cover Page
March 2014

Crossmarket Capital, LLC
3595 Inland Empire Blvd., Building 1 - Suite 1100
Ontario, CA 91764

Firm Contact:
Nat DiCarlo
Chief Compliance Officer

This brochure supplement provides information about Nat DiCarlo that supplements our brochure. Please call us at (866) 508-4453 or e-mail nat@crossmarketcapital.com if you did not receive it or if you have any questions about the contents of this supplement.

Additional information about Nat DiCarlo is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2: Educational Background & Business Experience

Nat DiCarlo | *Year of Birth:* 1970

Educational Background:

- 1992; Loyola Marymount University; B.A. – Business Administration and Finance

Business Background:

- 2013 - Present Crossmarket Capital, LLC;
Chief Compliance Officer and Investment Adviser Representative
- 1992 – 2013 Morgan Stanley Smith Barney LLC
Senior Vice President – Investments and Senior Portfolio Manager

Exams, Licenses & Other Professional Designations:

- 1992; Series 7, Series 63 and Series 65
- 1992; California Life & Health Insurance

Item 3: Disciplinary Information¹

Mr. DiCarlo has a regulatory event to disclose, the details of which we are able to provide upon your request. Additional information about Mr. DiCarlo is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD# 2252396.

Item 4: Other Business Activities

Mr. DiCarlo is a consultant for DCI Investments, LLC—a real estate investment firm. He spends less than 50% of his time per month in this capacity. Clients are welcome but never obligated to utilize the services available through this outside business. Any non-advisory services provided by DCI Investments, LLC will be pursuant to a separate agreement with the appropriate entity.

Item 5: Additional Compensation

Mr. DiCarlo does not receive any additional compensation or economic benefit outside of his regular salary such as any sales awards or other prizes.

Item 6: Supervision

Nat DiCarlo is the sole principal and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

Item 7: Requirements for State-Registered Advisers

A. In addition to the events listed in Item 3 of Part 2B, if Nat DiCarlo has been involved in one of the events listed below, we disclose all material facts regarding the event.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

(a) Through his affiliation with Citi Group Global Markets Inc. f/k/a Salomon Smith Barney, Inc. Mr. DiCarlo was the subject of three customer disputes, the details of which we are able to provide upon your request. Further information is also available on the SEC's website at www.adviserinfo.sec.gov by searching CRD# 2252396.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

B. If [supervised person] has been the subject of a bankruptcy petition, we must disclose that fact, the date the petition was first brought, and the current status.

We have nothing to disclose in this regard.