



Robert F. Keats

Form ADV Part 2B Brochure Supplement

March 27, 2020

This brochure supplement provides information about Robert F. Keats that supplements the Keats, Connelly and Associates, LLC firm brochure. You should have received a copy of that brochure. Please contact the Compliance Department if you did not receive the brochure, did not receive a copy of the brochure, or have any questions about the contents of this brochure. Additional information about Robert F. Keats (CRD# 1145582) is available on the SEC's website at www.adviserinfo.sec.gov.

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Robert F. Keats, CEO/CCO

Educational Background and Business Experience

Year of Birth

1950

Education

Mr. Keats graduated from University of Manitoba in 1972 with a Bachelor of Science in Mechanical Engineering. Mr. Keats graduated from the College of Financial Planning in 1990 with a Master of Science in Financial Planning. Mr. Keats is a registered financial advisor with National Association of Personal Financial Advisors.

Professional Designations

Certified Financial Planner™ (CFP®, Canada) certification in 1996 from the Financial Planning Standards Council of Canada¹

Certified Financial Planner™ (CFP®) certification in 1986 from Certified Financial Planner Board of Standards²

Chartered Financial Planner (CFP) in 1981 from the Institute for Financial Planning (Canada)³

Business Background

Sole owner Keats Connelly and Associates , LLC	02/2020 to Present
Executive Director at Keats, Connelly and Associates, LLC	09/2016 to 05/2018
Director, Owner and Officer at Keats Connelly and Associates, Inc	1/1990 to Present
Partner and Officer at Cross Border Planning Partners, LLC	03/2010 to 05/2013
President, Owner and Officer at Keats, Connelly and Associates, LLC	01/2009 to 08/2016
Chairman of the Board at Keats, Connelly and Associates, LLC	05/2018 to 01/2020
Board Member and Audit Committee Chair National Advisors Trust Company Ltd	05/2002 Present

Disciplinary Information

Mr. Keats does not have any history of disciplinary, regulatory or legal events to disclose.

Other Business Activities

Keats, Connelly and Associates, LLC

Keats, Connelly and Associates, LLC (“KeatsConnelly”) is a subsidiary of Keats, Connelly and Associates, Inc. (“Keats Connelly, Inc.”). KeatsConnelly was formed and registered in 1/2009 as a new advisory firm and to transition Keats Connelly, Inc.'s advisory business to Keats, Connelly and Associates LLC (KeatsConnelly). The transition was accomplished in 2010, and Keats Connelly, Inc. was de-registered as a registered investment advisory firm with the SEC. Keats Connelly, Inc. continues to exist as the parent company of KeatsConnelly.

National Advisor Holdings, Inc.

Robert F. Keats of Keats Connelly, Inc. is a shareholder of National Advisor Holdings, Inc. (“NAH”), a Delaware corporation organized in August of 1999. He holds approximately 1.0%, in the aggregate, of the outstanding stock of NAH. NAH has chartered an institution through the Office of the Comptroller of the Currency (OCC) known as National Advisers Trust Company (“NATC”). NATC provides trust services to clients of registered investment advisory firms, such as KeatsConnelly, across the United States. Robert F. Keats is a member of the NATC Board of Directors and their Audit Committee Chair receiving nominal compensation for his time.

Other Business Activities – Robert F. Keats

Mr. Keats devotes substantially all his time and efforts to KeatsConnelly for services to its clients. Mr. Keats does receive compensation as a Board of Director and Audit Committee Chair for NATC. Mr. Keats is Founder, President and Director of the Keats Foundation, his own family foundation created to support family charitable giving, he receives no compensation for his services to this foundation. In addition, Mr. Keats has authored books relating to his expertise in cross border financial planning.

Additional Compensation

The officers and principals of KeatsConnelly devote substantially all their time and efforts to KeatsConnelly and its affiliate KeatsConnelly ULC, as well as the professionals and staff that provide the services to our clients. The principals of KeatsConnelly do not receive separate and distinct compensation in their capacities as officers, members and/or owners of KeatsConnelly ULC.

Supervision

As the sole principal of KeatsConnelly, Mr. Keats is responsible for all supervision, formulation and monitoring of advisory services offered to clients as well as the general direction and business strategy of the firm. Mr. Keats can be reached at 602-955-5007

Requirements for State-Registered Advisers

Mr. Keats has never filed for bankruptcy or been involved with any arbitration hearings or proceedings by any civil, administrative or self-regulatory bodies.

Definition of Terms

1 Certified Financial Planner™ (CFP®)

The Program is administered by the Financial Planning Standards Council™ of Canada. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on numerous topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the two-staged CFP® certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Code of Ethics and CFP Financial Planning Practice Standards.

2 Certified Financial Planner™ (CFP®)

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.

3 Chartered Financial Planner® (CFP®)

The Program is administered by the Financial Planning Standards Council™ of Canada. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on numerous topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the two-staged CFP® certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Code of Ethics and CFP Financial Planning Practice Standard