



Samuel Wayne Gamble

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Brochure Supplement

March 15, 2021

This brochure provides information about S. Wayne Gamble that supplements the Saos Capital, LLC brochure. You should have received a copy of that brochure. Please contact Wayne Gamble if you did not receive Saos Capital, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about S. Wayne Gamble, CRD #5295335, is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

Samuel Wayne Gamble

Year of birth: 1979

Formal education:

- The Citadel, The Military College of South Carolina – BS, Business Administration (2001)

Designations:

Accredited Asset Management Specialist (SM) and AAMS® (2007)

The College for Financial Planning grants the **AAMS®** designation to applicants who complete the self-study program requiring 100-120 hours of study and pass a closed-book, proctored exam.

Applicants must comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions.

Continued use of the AAMS® designation is subject to ongoing renewal requirements including completing 16 hours of continuing education every two years; reaffirming to commitment to the Standards of Professional Conduct; and, paying a biennial renewal fee.

Business background:

- Saos Capital – Chief Compliance Officer, Investment Adviser Representative (2011 – Present)
- Kovack Securities, Inc. – Registered Representative (2014-2019)
- Resource Horizons Group, LLC – Registered Representative (2012 –2014)
- Linsco/Private Ledger Corp. – Registered Representative, Investment Adviser Representative (2007 – 2012)
- Prudential Carolina Real Estate – Marketing Representative (2003 – 2006)

Disciplinary Information

Mr. Gamble has not been the subject of any legal or disciplinary event.

Other Business Activities

Mr. Gamble is not engaged in any investment-related business or occupation (other than this advisory firm).

Additional Compensation

Other than salary, annual bonuses, or regular bonuses, Mr. Gamble does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Saos Capital.

Supervision

Mr. Gamble is supervised by O'Malley Avant, President of Saos Capital. Mr. Avant may be reached at 843.388.9925.

We supervise Mr. Gamble by requiring that he adhere to our processes and procedures as described in our firm's *Code of Ethics* and Compliance Procedures. We will monitor Mr. Gamble's advisory activities on a periodic and on-going basis by reviewing areas including, but not limited to, the following:

- Account opening documentation;
- Account transactions;
- Custodial information to assess account activity;
- Evidence that your financial situation, objectives, and individual investment needs are reviewed no less than annually; and
- Client communications.