



**Kerry D. Lee**

**Altamira Financial Group, LLC  
1012 Marquez Place, Unit 204A  
Santa Fe, NM 87505  
Phone: 505-477-3335**

**March 25, 2022**

**Part 2B Brochure**

This brochure supplement provides information about Altamira Financial Group, LLC ("AFG") that supplements our brochure. You should have received a copy of that brochure. Please contact us at 505-477-3335 or [Kerry.lee@lpl.com](mailto:Kerry.lee@lpl.com) if you did not receive Altamira Financial Group, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Kerry D. Lee is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD# 2688537.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Kerry Lee**

**Year of Birth:** 1967

**Educational Background:**

- 1989: University of Redlands; Bachelor of Arts in History

**Business Background:**

- *Altamira Financial Group, LLC*, Investment Adviser Representative, 11/2021 - Present
- *LPL Financial, LLC*, Registered Representative, 11/2010 – Present
- *Financial Partners, LLC*, Registered Representative, 11/2013 – 11/2021
- *LPL Financial, LLC*, Investment Adviser Representative, 01/2011 – 10/2015

## ITEM 3 – DISCIPLINARY INFORMATION

Kerry Lee has no history of any legal or disciplinary events that deem to be material to a client's consideration of Kerry Lee to act as their investment adviser representative. FINRA's BrokerCheck® is a resource available to review the disciplinary history of Kerry Lee. <https://brokercheck.finra.org/>

## ITEM 4 – OTHER BUSINESS ACTIVITIES

Kerry Lee is a Registered Representative of LPL Financial, LLC ("LPL") a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC").

As a broker-dealer, LPL engages in a broad range of activities normally associated with securities brokerage firms. Pursuant to the investment advice given by Kerry Lee, investments in securities may be recommended for you. If LPL is selected as the broker-dealer, it will affect transactions in securities for you, a client of AFG and Kerry Lee. By serving as the broker-dealer, LPL and Kerry Lee will receive commissions for executing securities transactions.

You are advised that if LPL is selected as the broker-dealer, the transaction charges may be higher or lower than the charges you may pay if the transactions were executed at other broker-dealers. You should note, however, that you are under no obligation to purchase securities through Kerry Lee, AFG or LPL.

Kerry Lee may provide advice regarding investment company securities. You should be aware that, in addition to the advisory fees paid by you, each investment company also charges its own separate investment advisory fees and other expenses (internal management fees). In addition, you should be aware that mutual funds may be purchased separately independent of the investment management services of AFG.

Kerry Lee in his capacity as a registered representative of LPL or as an agent appointed with various life, disability or other insurance companies, receives commissions, 12(b)-1 fees, trails, or other compensation from the respective product sponsors and/or as a result of effecting securities transactions for you. However, you should note that you are under no obligation to purchase any investment products through Kerry Lee. He is able to offer a variety of advisory programs and services through LPL in addition to the advisory services he is able to offer through AFG.

Kerry Lee holds an insurance license to sell insurance products and offers them through various carriers. It is anticipated that a small portion, less than (10%) of his time, will be spent providing these insurance

products. He will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity may create a conflict of interests with clients. The client is under no obligation to purchase insurance through Kerry Lee on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

#### **ITEM 5 – ADDITIONAL COMPENSATION**

Kerry Lee does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

#### **ITEM 6 – SUPERVISION**

Kerry Lee is the Chief Compliance Officer of AFG. He supervises and oversees all activities conducted through the firm and maintains policies and procedures to guide his activities. Kerry Lee reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation.

Kerry Lee may be reached at 505-477-3334.

#### **ITEM 7: REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Kerry Lee has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.