

## Item 1 – Cover Page

Kenneth L. Hooker  
Capital Growth & Shelter, Inc.  
PO Box 226 Ballston Spa, NY 12020

(518) 399-3372

December 31, 2022

**This Brochure Supplement provides information about Kenneth L. Hooker that supplements the Capital Growth & Shelter, Inc. Brochure. You should have received a copy of that Brochure. Please contact Capital Growth & Shelter, Inc. if you did not receive Capital Growth & Shelter, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

Additional information about Kenneth L. Hooker is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 – Educational Background and Business Experience

Kenneth L. Hooker, b. 1950; Education: Herkimer Community College, American College for Financial Planning - Chartered Financial Consultant Certificate 2003. Employment: Registered Principal (series 24,27,7,6,63, 53, 26) w/Cetera Advisors, Jan. 2014 - present Registered Principal (series 24,27,7,6,63, 53, 26) w/Multi-Financial Securities Corporation, Jan. 2004 – Jan 2014. Registered Principal (series 24,27,7,6,63) w/VESTAX Securities Corporation, May 1999 - Jan. 2004. Registered Principal (series 24,27,7,6,63) w/FSC Securities Corporation, May 1996 - Apr. 1999. President/Owner of Capital Growth & Shelter, Inc., Oct. 1986 - present. Co-owner, CGS Accounting, Jan. 1993 - present.

## Item 3 – Disciplinary Information

Aetna Investment Services, Inc. Licensed with Aetna (no dates available as Aetna could not confirm dates) but not employed by Aetna. There was a situation where Aetna owed Mr. Hooker commissions and sent it out with taxes and social security withheld in error. This was never corrected by Aetna.

## Item 4 – Other Business Activities

Kenneth L. Hooker also sells Life, Accident and Health Insurance as licensed by New York State on a full time basis. Approximately 15% of annual business is Insurance related.

Kenneth L. Hooker is a Registered Principal with Cetera Advisors and President/Owner of Capital Growth & Shelter, Inc. and utilizes Cetera Advisors as Compliance oversight on all accounts.

### **Item 5 – Additional Compensation**

We do not receive any compensation from any third party in connection with providing investment advice to you nor do we compensate any individual or firm for client referrals.

### **Item 6 – Supervision**

Kenneth L. Hooker is the President of Capital Growth & Shelter, Inc.; therefore, he is responsible for his own supervision. Kenneth L. Hooker is a Registered Principal with Cetera Advisors LLC and President/Owner of Capital Growth & Shelter, Inc. and Cetera Advisors LLC performs supervision of the trading activity directed through Capital Growth & Shelter, Inc's RIA but they do not own or control it. Cetera Advisors LLC monitors Kenneth L. Hooker's personal trades in accordance with the firm's Code of Ethics. Cetera Advisors can be contacted by phone at (800) 929-3485 or by email at [advisorycompliance@cetera.com](mailto:advisorycompliance@cetera.com).

### **Item 7 – Requirements for State-Registered Advisers**

Kenneth L. Hooker, b. 1950; Education: Herkimer County Community College, American College for Financial Planning - Chartered Financial Consultant Certificate 2003. Employment: Registered Principal (series 24,27,7,6,63, 53, 26) w/Cetera Advisors, Jan. 2014 - present Registered Principal (series 24,27,7,6,63, 53, 26) w/Multi-Financial Securities Corporation, Jan. 2004 – Jan 2014. Registered Principal (series 24,27,7,6,63) w/VESTAX Securities Corporation, May 1999 - Jan. 2004. Registered Principal (series 24,27,7,6,63) w/FSC Securities Corporation, May 1996 - Apr. 1999. President/Owner of Capital Growth & Shelter, Inc., Oct. 1986 - present. Co-owner, CGS Accounting, Jan. 1993 - present.

## **Item 1 – Cover Page**

**Colleen Tobey**  
**Capital Growth & Shelter, Inc.**

PO Box 226 Ballston Spa, NY 12020

(518) 399-3372

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Additional information about Colleen Tobey is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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

Colleen Tobey, b. 1967; Education: SUNY@Cobleskill, SUNY@Albany. Employment: Registered Representative (SIE, Series 6,7,63,65,24, 52, 53) w/ Cetera Advisors LLC, Apr. 2016 - Present. Business Manager of Capital Growth & Shelter, Inc., Feb. 1999 - present.

## **Item 3 – Disciplinary Information**

None.

## **Item 4 – Other Business Activities**

Colleen Tobey is a Registered Admin with Cetera Advisors and Business Manager of Capital Growth & Shelter, Inc.

Colleen Tobey also sells Life, Accident and Health Insurance as licensed by New York State on a full time basis. Approximately 5% of annual business is Insurance related.

## **Item 5 – Additional Compensation**

We do not receive any compensation from any third party in connection with providing investment advice to you nor do we compensate any individual or firm for client referrals.

## **Item 6 – Supervision**

Colleen Tobey is the Business Manager of Capital Growth & Shelter, Inc.; she is responsible for administration of Capital Growth & Shelter Investment Advisor program. Colleen Tobey is a Registered Admin with Cetera Advisors LLC and Business Manager of Capital Growth & Shelter, Inc. Cetera Advisor LLC performs supervision of the trading activity directed through Capital Growth & Shelter, Inc's RIA but they do not own or control it. Cetera Advisors LLC. monitors Colleen Tobey's personal trades in accordance with the firm's Code of Ethics. Cetera Advisors can be contacted by phone at (800) 929-3485 or by email at [advisorycompliance@cetera.com](mailto:advisorycompliance@cetera.com).

#### **Item 7 – Requirements for State-Registered Advisers**

Colleen Tobey, b. 1967; Education: SUNY@Cobleskill, SUNY@Albany. Employment: Registered Admin (SIE, Series 6,7,63,65,24,52,53) w/ Cetera Advisors LLC, Apr. 2016 - Present. Business Manager of Capital Growth & Shelter, Inc., Feb. 1999 - present.