

## Part 2B of Form ADV: Brochure Supplement

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Additional information about James Percy-Caldwell is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

James Percy-Caldwell CRD number 6387568

Date 03/27/2023

This brochure supplement provides information about James Percy-Caldwell that supplements Aisa Financial Planning's brochure. You should have received a copy of that brochure. Please contact Claire Worsdell, Service Manager for compliance of Aisa Financial Planning, if you did not receive Aisa Financial Planning's brochure or if you have any questions about the contents of this supplement.

## Item 2: Educational, background and business experience Continued

**Full legal name** James Pearcy-Caldwell **Born** 1966

### **Recent business experience**

Managing Director, Aisa Financial Planning from 09/1998 – Present.  
Director Aisa International s.r.o. from 01/2008 – 12/2015

### **Professional designations**

Mr Pearcy-Caldwell is a CERTIFIED FINANCIAL PLANNER<sup>CM</sup>. The CFP<sup>®</sup> designation is an international professional certification conferred by the Certified Financial Planner Board of Standards, Inc (FPSB) to financial planners who qualify on the basis of the four E's: Education, Examination, Experience and Ethics. To become a CFP<sup>®</sup> designee, candidates must possess a bachelor's degree (or equivalent), demonstrate knowledge to deliver professional, competent and ethical financial planning services, pass a ten-hour exam, and have professional work experience. CFP<sup>®</sup> are obligated to adhere to a strict Code of Ethics and Standards governing their professional conduct.

Mr Pearcy-Caldwell has earned the Chartered Financial Planner designation, a UK based international professional certification offered by the CII who complete a series of examinations to Level 6 adviser status (the highest), and qualified, professional work experience. Charter holders are also obligated to adhere to a strict Code of Ethics and Standards governing their professional conduct. October 2019 obtained CySEC Advanced qualification (MiFID). May 2020 obtained Examination Pursuant to Capital Market Enterprising Act Securities ZPKT/OCP-2020-00628. Mr Pearcy-Caldwell is also a CertPFS(DM) "Discretionary Management" and G60 "Pension Transfer Specialist" and "Chartered Wealth Manager".

(\*\* CERTIFIED FINANCIAL PLANNER<sup>CM</sup>, CFP<sup>®</sup>, CFP<sup>CM</sup> licence/designation is available to financial planners through membership of the Chartered Institute of Securities & Investment (CISI) in the United Kingdom, through agreement with FPSB.)

## Item 3: Disciplinary information

James Pearcy-Caldwell has no reportable disciplinary history.

## Item 4: Other business activities

### **Investment-Related Activities**

James Pearcy-Caldwell is not engaged in any other investment-related activities that provides substantial compensation or involves a substantial amount of his time.

### **Non-Investment-Related Activities**

James Pearcy-Caldwell is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5: Additional compensation

James Pearcy-Caldwell may receive certain economic benefits from a non-client in connection with the provision of advice. There are no conflicts of interest as a result.

## Item 6: Supervision

The executive management team of Aisa Financial Planning is responsible for the supervision of all employees and the Aisa Financial Planning investment committee is responsible for the oversight of investment advice provided to clients. The executive management team includes Clive Tutton and James Pearcy-Caldwell, Chief Compliance Officer at Aisa Financial Planning.

James Pearcy-Caldwell can be reached at +44 (0) 1672 569 111.

## Additional Information

- Qualified Airline Transport Pilot and ex-RAF pilot
- Good command of spoken Czech, Authorized for employment and resident in EU
- Interests include golf, soccer, snowboarding, travel, flying
- Member of Personal Finance Society and Chartered Institute of Securities & Investment