

# Kawasaki Financial, LLC

## Form ADV Part 2B – Brochure Supplement

*For*

### **Curtis Kawasaki**

Principal, and Chief Compliance Officer

Dated January 19, 2022

This brochure supplement provides information about Curtis Kawasaki that supplements the Kawasaki Financial, LLC brochure. A copy of that brochure precedes this supplement. Please contact Mr. Kawasaki if the Kawasaki Financial, LLC brochure is not included with this supplement or if you have any questions about the contents of this supplement.

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

CRD: 6417850

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## Item 2: Educational Background and Business Experience

**Curtis Kawasaki**

Born: 1966

### **Educational Background**

- 2019 – Awarded Certified Financial Planner Designation
- 2014 – Passed Certified Financial Planner Examination
- 2014 – Capstone Personal Financial Planning Course, University of California Los Angeles
- 2001 – Licensed Certified Public Accountant in Oregon
- 1988 – B.S. in Accounting, University of Oregon

### **Business Experience**

- 2014 – Present, Kawasaki Financial, LLC, Principal and CCO
- 1995 –2021, JUGS Sports, Inc., Corporate Controller
- 1992 – 1995, SPM Portland, Inc., Division Controller
- 1988-1992, Arthur Andersen & Co., Audit Senior

## Item 3: Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

## Item 4: Other Business Activities

## Item 5: Additional Compensation

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

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## Item 6: Supervision

Mr. Kawasaki, as Principal and Chief Compliance Officer of Kawasaki Financial, LLC, is responsible for supervision. He may be contacted at the phone number on this brochure supplement.

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# Item 7: Requirements for State Registered Advisers

1. Mr. Kawasaki has NOT been involved in any of the events listed below.
    - a. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
      - i. An investment or an investment-related business or activity;
      - ii. Fraud, false statements, or omissions;
      - iii. Theft, embezzlement, or other wrongful taking of property;
      - iv. Bribery, forgery, counterfeiting, or extortion; or
      - v. Dishonest, unfair, or unethical practices.
    - b. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
      - i. An investment or an investment-related business or activity;
      - ii. Fraud, false statements, or omissions;
      - iii. Theft, embezzlement, or other wrongful taking of property;
      - iv. Bribery, forgery, counterfeiting, or extortion; or
      - v. Dishonest, unfair, or unethical practices.
  2. Mr. Kawasaki has NOT been the subject of a bankruptcy petition at any time.
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