

## Item 1: Cover Page

DJH CAPITAL MANAGEMENT, LLC

ADV Part 2A, Firm Brochure Dated: January 1, 2021

Contact: Dominique Henderson – Owner

Mailing Address: 1232 Summerside Drive

Desoto, TX 75115

<http://www.djh-capital.com>

This brochure provides information about the qualifications and business practices of DJH Capital Management, LLC. If you have any questions about the contents of this brochure, please contact us at (214) 699-7599 or [info@djh-capital.com](mailto:info@djh-capital.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about DJH Capital Management, LLC. is also available on the SEC's website at <http://www.adviserinfo.sec.gov>.

References herein to DJH Capital Management, LLC. as a "registered investment adviser" or any reference to being "registered" does not imply a certain level of skill or training.

## Item 2      Material Changes

### Outside Business Activities

Since the registrant's most recent annual amendment filing on January 1, 2019, this Brochure has been amended to reflect that the principal of DJH Capital Management, LLC ("DJHCM") acts as a coach and consultant to current and aspiring financial advisors under the d/b/a "The Jumpstart Coaching Lab" (legal name is DJ Henderson Consulting, LLC).

## Item 3 Table of Contents

Item 2	Material Changes .....	2
Item 3	Table of Contents .....	3
Item 4	Advisory Business .....	4
Item 5	Fees and Compensation .....	6
Item 6	Performance-Based Fees and Side-By-Side Management.....	7
Item 7	Types of Clients .....	7
Item 8	Methods of Analysis, Investment Strategies and Risk of Loss .....	7
Item 9	Disciplinary Information.....	9
Item 10	Other Financial Industry Activities and Affiliations .....	9
Item 11	Code of Ethics, Participation or Interest in Client Transactions and Personal Trading ..	10
Item 12	Brokerage Practices .....	11
Item 13	Review of Accounts.....	11
Item 14	Client Referrals and Other Compensation .....	12
Item 15	Custody .....	12
Item 16	Investment Discretion.....	12
Item 17	Voting Client Securities .....	12
Item 18	Financial Information .....	13
Item 19	Requirements for State-Registered Advisers.....	14

## Item 4 Advisory Business

A. DJHCM is dedicated to offering comprehensive financial planning and investment advisory services to individuals and other types of clients (e.g. businesses). DJHCM is a limited liability corporation formed under the laws of the State Texas in September 2015. DJHCM is owned by Dominique J. Henderson, Sr.

### B. Description of Services Offered

(1) Comprehensive Financial Planning: Clients can engage us in comprehensive financial planning services which usually consists of: (1) an one-time planning fee,(2) the annual subscription for ongoing financial planning services, and (3) tax preparation (***see Item 4 B4***). This service addresses the need of taking a personal and holistic view of the client's entire financial situation and creating a customized financial plan that serves as a roadmap or guidepost to achieving the client's goals. As part of the comprehensive financial planning process, we meet with clients to discuss the details of their financial situation, present recommendations to assist the client, ascertain their financial goals, and assist with implementing the financial plan. We also will update, monitor and modify the plan as needed. In forming a comprehensive financial plan we discuss four elemental aspects of financial planning: (1) cash flow management, (2) investment positioning, (3) tax planning and (4) asset protection.

Prior to engaging us to provide comprehensive financial planning services, clients are required to sign an Advisory Agreement. This document: (i) sets forth the terms and conditions of the engagement (including termination), (ii) describes the scope of the services to be provided, and (iii) outlines the fee that is due from the client for the planning service. Within the scope of the comprehensive financial planning service, DJHCM may provide tax planning strategies which the client is advised to consult a tax professional about. DJHCM does not provide tax preparation services.

(2) Investment Advisory Services: Clients can engage us for discretionary or non-discretionary investment advisory services. The fee will be based on a percentage (%) of the market value of the assets placed under management. Prior to engaging us to provide investment advisory services, clients are required to sign an Advisory Agreement. This document: (i) sets forth the terms and conditions of the advisory service (including termination), (ii) describes the scope of the services to be provided, and (iii) outlines the fee that is due from the client. In certain cases, our annual investment advisory fee shall include investment advisory services, and general financial planning and consulting services.

This fee may be charged with or without a comprehensive planning fee as described in B1.

We will allocate and/or recommend that the client allocate investment assets consistent with the designated investment objectives set forth in the client's Investment Policy Statement.

(3) Consulting/Implementation Services: In the event that the client requires or requests financial planning services that don't fit the scope of services described Item 4B(1) or 4B(2), these services will be billed at \$250- 500/hour.

Neither DJHCM, nor any of its representatives, serves as an attorney, and no portion of our services should be construed as legal services. To the extent requested by a client, we may recommend the services of other professionals for certain non-investment implementation purposes (i.e. attorneys, insurance salespersons, etc.), including representatives of DJHCM in their separate registered and/or licensed capacities as discussed below. The client is under no obligation to engage the services of any such recommended professional. The client retains absolute discretion over all such implementation decisions and is free to accept or reject any recommendation from us.

***Please Note: If the client engages any such recommended professional, and a dispute arises thereafter relative to such engagement, the client agrees to seek recourse exclusively from and against the engaged professional. It remains the client's responsibility to promptly notify us if there is ever any change in his/her/its financial situation or investment objectives for the purpose of reviewing/evaluating/revising our previous recommendations and/or services.***

- (4) Tax Preparation Services: From time to time, DJHCM may utilize third party tax professionals to prepare and file taxes on behalf of clients. At DJHCM's discretion the fees for filing and preparing of tax returns will be negotiated in advanced and included in the annual subscription fee arrangement which includes comprehensive financial planning and tax strategy planning. In the case that this service add-on is requested, the client will be required to sign a separate agreement with the third party tax professionals outlining the specific payment arrangements.
  
- C. Tailoring of Services Offered: We will provide investment advisory services specific to the needs of each client. Before providing investment advisory services, we will ascertain each client's investment objective(s) and assess the client's risk tolerance. Thereafter, we will allocate and/or recommend that the client allocate investment assets consistent with the designated investment objective(s). The client may, at any time, impose reasonable restrictions, in writing, with respect to our services.
  
- D. Participation in Wrap-Fee programs: We do not participate in a wrap fee program.

As of December 31, 2020, DJHCM had \$6,559,227 in assets under management on a discretionary basis and \$0.00 in assets under management on a non- discretionary basis.

# Item 5 Fees and Compensation

We are required to describe our advisory fees, as well as the brokerage, custody, and fund-related expenses you may be charged by independent third-parties, so you will know how much you are charged and by whom. Our fees are generally not negotiable.

## A. DJHCM’s Compensation for Services

(1) Comprehensive Financial Planning: Clients engaged with us in comprehensive financial planning are subject to the following fees:

- initial, one-time planning fee.....\$500 to \$20,000 per plan
- annual subscription fee .....\$1,200 to \$20,000 (billed monthly or quarterly)

(2) Investment Advisory Services: The client can engage us to provide discretionary or non-discretionary investment advisory services on a fee-only basis. Fees are billed quarterly in advance based on the value of the account on the last business day of the previous quarter. Our annual investment advisory fee shall be based upon a percentage (%) of the market value of assets placed under management as follows:

Market Value of Portfolio	Annual Fee %
\$0 to \$10,000,000.00	1.00%
\$10,000,000.00 +	negotiable

- a. Example 1: An account valued at \$1,000,000 on December 31<sup>st</sup>, would pay an annual fee of 1.00%, quarterly, calculated as follows:  $1,000,000 \times 1.0\% \times \text{total days in upcoming quarter} / \text{total days in year}$ .
- b. Example 2: An account initiated on December 15<sup>th</sup>, would pay the annual fee on a pro-rata based on the initial account balance, or as follows:  $1,000,000 \times 1.0\% \times \text{total days until end of current quarter} / \text{total days in year}$ .

(3) Consulting/Implementation Services: DJHCM charges \$250-500 per hour for services beyond the scope of service offerings in described in Item 5A(1) and 5A(2). These fees are negotiable, however client will be invoiced as services are rendered and invoices are payable upon receipt.

## B. How Clients are Billed

(1) Comprehensive Financial Planning: Upon signing the *Advisory Agreement*, clients will be invoiced and invoices are payable upon receipt by one of our accepted payment methods. The annual subscription fee is due monthly after the *Advisory Agreement* has been executed.

(2) Investment Advisory Services: We charge the advisory fee quarterly in advance and have them deducted from the client’s custodial account.

C. Other Fees

Our fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which may be incurred by the client. Clients may incur certain charges imposed by custodians, brokers, and other third parties such as custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual fund and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to our fee, and we shall not receive any portion of these commissions, fees, and costs.

D. Fees When Terminating Services

(1) Comprehensive Financial Planning: The initial planning fee is non-refundable, however upon terminating the agreement to provide comprehensive financial planning the client will cease to be billed on the last calendar day of either: (1) the month of their termination, or (2) the month of last payment by client.

(2) Investment Advisory Services: In the event the client decides to terminate our services per the Investment Advisory Agreement, we will refund the unearned portion of our advisory fee to you. To do this, you need to contact us in writing and state that you wish to terminate our services. Upon receipt of the letter of termination, we will start the process to close your account. The date of your written termination will be used to process a pro-rata refund of unearned advisory fees.

E. Commissionable Securities Sales: We may recommend products like annuities (fixed or variable), insurance products, etc. to clients than result in commissions paid by a third party company to DJHCM. This form of compensation (i.e. commission) is paid to us by the company offering the product and is addition to fees paid by the client. At all times, we will disclose to the client any arrangement where a product recommendation resulting in a commission being earned will take place.

F. Investment Management at Betterment (Outside Manager): In some instances, DJHCM may choose to custody assets through Betterment Securities.

The annual investment management fee is determined by the below schedule.

Market Value of Portfolio	Annual Fee %
\$0 to \$10,000,000.00	0.75%
\$10,000,000.00 +	negotiable

In addition, an annualized asset based fee of 0.25% will be charged to your account by Betterment Securities. Our firm will assess a fee starting at 0.75% (see above) for our investment management services, which we describe to you in your engagement with our firm.

(1) At the end of each 3-month period (a "quarter"), the value of the Account shall be determined by adding the value of the securities, cash equivalents and any cash balance in the Account. If the account has a negative cash balance, the fee will be charged on the total assets under management, which will not include any cash debit (borrowing). The advisory fee is based on the weighted, daily average balances

multiplied by your fee rate (as shown in the above chart) prorated over the period, and paid in arrears.

- (2) Outside Manager will deduct the advisory fee and forward Adviser's portion of the fee to the Adviser, pursuant to applicable custody rules. It is your responsibility to verify accuracy of the calculation of the advisory fee; the custodian will not do so.
- (3) Betterment clients pay, roughly once a calendar quarter (each a "Fee Period"), a fee generally equal to 0.25% per annum of the client's average daily account balance during the Fee Period for Betterment's and Betterment Securities' services. The fee is subject to waiver or reduction by Betterment in its sole discretion. Accounts are not charged a fee when they are unfunded. The value of the Account for fee calculation purposes will be determined by Betterment in accordance with its normal practices and procedures. You authorize such fees to be deducted directly from your Betterment account.
- (4) In addition to the Advisory Fee, unaffiliated third parties may impose certain charges. These charges may include, but are not limited to, fees charged by Independent Managers, custodial fees, brokerage commissions, transaction fees, charges imposed directly by a mutual, hedge, index or exchange traded fund, fees imposed by variable annuity providers, certain deferred sales charges, odd-lot differentials, transfer taxes, and wire transfer and electronic fund fees.

For our clients' accounts that Betterment Securities maintains, Betterment Securities generally does not charge you separately for custody services.

Item 12 further describes the factors that we consider in selecting or recommending broker-dealers for client's transactions and determining the reasonableness of their compensation (e.g., commissions). We do not accept compensation for the sale of securities or other investment products including asset-based sales charges or service fees from the sale of mutual funds.

## Item 6 Performance-Based Fees and Side-By-Side Management

DJHCM does not accept performance based fees at this time.

## Item 7 Types of Clients

We provide services to individuals, high net worth individuals and small businesses.

We do not have a minimum account size requirement.

## Item 8 Methods of Analysis, Investment Strategies and Risk of Loss

### Our Investment Method & Strategies:

We primarily practice passive investment management. Passive investing involves building portfolios that are comprised of various distinct asset classes. The asset classes are weighted in a manner to achieve a desired relationship between correlation, risk and return. Funds that passively capture the returns of the desired asset classes are placed in the portfolio.

The funds that are used to build passive portfolios are typically index mutual funds or exchange traded funds. Passive investment management is characterized by low portfolio expenses (i.e. the funds inside the portfolio have low internal costs), minimal trading costs (due to infrequent

trading activity), and relative tax efficiency (because the funds inside the portfolio are tax efficient and turnover inside the portfolio is minimal). In contrast, active management typically involves a single manager or managers who employ some method, strategy or technique to construct a portfolio that is intended to generate returns that are greater than the broader market or a designated benchmark. Academic research indicates most active managers underperform the market.

There are material risks involved all investing strategies that we offer that may result in a loss of your original investment which you should be prepared to bear. Many of these risks apply equally to stocks, bonds, commodities and any other investment or security.

Material risks associated with our investment strategies are listed below.

- **Market Risk:** Market risk involves the possibility that an investment's current market value will fall because of a general market decline, reducing the value of the investment regardless of the operational success of the issuer's operations or its financial condition.
- **Strategy Risk:** DJHCM's investment strategies and/or investment techniques may not work as intended.
- **Company Risk:** Securities of companies with small and medium market capitalizations are often more volatile and less liquid than investments in larger companies. Small and medium cap companies may face a greater risk of business failure, which could increase the volatility of the client's portfolio.
- **Interest Rate or Duration Risk:** Bond (fixed income) prices generally fall when interest rates rise, and the value may fall below par value or the principal investment. The opposite is also generally true: bond prices generally rise when interest rates fall. In general, fixed income securities with longer maturities are more sensitive to these price changes. Most other investments are also sensitive to the level and direction of interest rates.
- **Legal or Legislative Risk:** Legislative changes or Court rulings may impact the value of investments, or the securities' claim on the issuer's assets and finances.
- **Inflation Risk:** Inflation may erode the buying-power of your investment portfolio, even if the dollar value of your investments remains the same.

Apart from the general risks outlined above which apply to all types of investments, specific securities may have other risks.

*Commercial Paper* is, in most cases, an unsecured promissory note that is issued with a maturity of 270 days or less. Being unsecured the risk to the investor is that the issuer may default.

*Common stocks* may go up and down in price quite dramatically, and in the event of an issuer's bankruptcy or restructuring could lose all value. A slower-growth or recessionary economic environment could have an adverse effect on the price of all stocks.

*Corporate Bonds* are debt securities to borrow money. Generally, issuers pay investors periodic interest and repay the amount borrowed either periodically during the life of the security and/or at maturity. Alternatively, investors can purchase other debt securities, such as zero coupon bonds, which do not pay current interest, but rather are priced at a discount from their face values and their values accrete over time to face value at maturity. The market prices of debt securities fluctuate depending on such factors as interest rates, credit quality, and maturity. In general, market prices of debt securities decline when interest rates rise and

increase when interest rates fall. The longer the time to a bond's maturity, the greater its interest rate risk.

*Cryptocurrency* is a digital representation of value that functions as a medium of exchange, a unit of account, or a store of value, but it does not have legal tender status. Cryptocurrencies are sometimes exchanged for U.S. dollars or other currencies around the world, but they are not generally backed or supported by any government or central bank. Their value is completely derived by market forces of supply and demand, and they are more volatile than traditional currencies. Purchasing cryptocurrencies comes with a number of risks, including volatile market price swings or flash crashes, fraud, market manipulation, and cybersecurity risks. In addition, cryptocurrency markets and exchanges are not regulated with the same controls or customer protections available in equity, option, futures, or foreign exchange investing. There is no assurance that a person who accepts a cryptocurrency as payment today will continue to do so in the future.

*Bank Obligations* including bonds and certificates of deposit may be vulnerable to setbacks or panics in the banking industry. Banks and other financial institutions are greatly affected by interest rates and may be adversely affected by downturns in the U.S. and foreign economies or changes in banking regulations.

*Municipal Bonds* are debt obligations generally issued to obtain funds for various public purposes, including the construction of public facilities. Municipal bonds pay a lower rate of return than most other types of bonds. However, because of a municipal bond's tax-favored status, investors should compare the relative after-tax return to the after-tax return of other bonds, depending on the investor's tax bracket. Investing in municipal bonds carries the same general risks as investing in bonds in general. Those risks include interest rate risk, reinvestment risk, inflation risk, market risk, call or redemption risk, credit risk, and liquidity and valuation risk.

*Exchange Traded Funds ("ETFs")* prices may vary significantly from the Net Asset Value due to market conditions. Certain ETFs may not track underlying benchmarks as expected.

When a client invests in open end mutual funds or ETFs, the client indirectly bears its proportionate share of any fees and expenses payable directly by those funds. Therefore, the client will incur higher expenses, many of which may be duplicative. In addition, the client's overall portfolio may be affected by losses of an underlying fund and the level of risk arising from the investment practices of an underlying fund (such as the use of derivatives). ETFs are also subject to the following risks: (i) an ETF's shares may trade at a market price that is above or below their net asset value; (ii) the ETF may employ an investment strategy that utilizes high leverage ratios; or (iii) trading of an ETF's shares may be halted if the listing exchange's officials deem such action appropriate, the shares are de-listed from the exchange, or the activation of market-wide "circuit breakers" (which are tied to large decreases in stock prices) halts stock trading generally. The Adviser has no control over the risks taken by the underlying funds in which client's invest.

## Item 9 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 DJHCM or the integrity of our management. We have no information applicable to this item.

## Item 10 Other Financial Industry Activities and Affiliations

- A. Neither DJHCM, nor its representatives, are registered or have an application pending to register, as a broker-dealer or a registered representative of a broker-dealer.

- B. Neither DJHCM, nor its representatives, are registered or have an application pending to register, as a futures commission merchant, commodity pool operator, a commodity trading advisor, or a representative of the foregoing.
- C. Neither DJHCM, nor its representatives, recommend or select other investment advisers for clients and receive compensation directly or indirectly.

## Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

- A. DJHCM maintains an investment policy relative to personal securities transactions. This investment policy is part of our overall Code of Ethics, which serves to establish a standard of business conduct for all of our current and future representatives that is based upon fundamental principles of openness, integrity, honesty and trust, a copy of which is available upon request. In accordance with Section 204A of the Investment Advisers Act of 1940, DJHCM also maintains and enforces written policies reasonably designed to prevent the misuse of material non-public information by DJHCM or any person associated with DJHCM.
- B. Neither DJHCM nor any related person of ours recommends, buys, or sells for client accounts, securities in which DJHCM or any related person of ours has a material financial interest.
- C. From time to time, DJHCM and/or representatives of DJHCM will invest in securities that are also recommended to clients. This practice may create a situation where DJHCM and/or representatives of DJHCM are in a position to materially benefit from the sale or purchase of those securities. Therefore, this situation creates a potential conflict of interest. Practices such as “scalping” (i.e., a practice whereby the owner of shares of a security recommends that security for investment and then immediately sells it at a profit upon the rise in the market price which follows the recommendation) could take place if DJHCM did not have adequate policies in place to detect such activities. In addition, this requirement can help detect insider trading, “front-running” (i.e., personal trades executed before those of DJHCM’s clients) and other potentially abusive practices.

DJHCM has a personal securities transaction policy in place to monitor the personal securities transactions and securities holdings of each of DJHCM’s “representatives”. DJHCM’s securities transaction policy requires that each representative of DJHCM must provide a supervising person or his/her designee with transaction confirmations and/or account statements upon request. However, at any time that DJHCM has only one representative, he or she shall not be required to submit any securities report described above.

- D. From time to time, DJHCM and/or representatives of DJHCM will recommend securities to clients, at or around the same time as those securities are bought or sold by DJHCM and/or representatives. This practice creates a situation where DJHCM and/or representatives of DJHCM are in a position to materially benefit from the sale or purchase of those securities. Therefore, this situation creates a potential conflict of interest. As indicated above in Item 11C, DJHCM has a personal securities transaction policy in place to monitor the personal securities transaction and securities holdings of each of representative.

## Item 12 Brokerage Practices

### The Custodian and Brokers We Use

- A. DJHCM considers several factors when recommending a custodial broker-dealer for client transactions and determining the reasonableness of such custodial broker-dealer's compensation. Such factors include the custodial broker-dealer's industry reputation and financial stability, service quality and responsiveness, execution price, speed and accuracy, reporting abilities, and general expertise. Assessing these factors as a whole allows DJHCM to fulfil its duty to seek best execution for its clients' securities transactions. However, DJHCM does not guarantee that the custodial broker-dealer recommended for client transactions will necessarily provide the best possible price, as price is not the sole factor considered when seeking best execution. After considering the factors above, DJHCM recommends Pershing LLC, Betterment Securities or TradeStation Securities, Inc. as the custodial broker-dealer for client accounts.
- B. We recommend Pershing, LLC, Betterment Securities or TradeStation Securities, Inc. to investment advisory clients, however, financial planning or consulting clients may custody their assets at a custodian of their choice. Your assets must be maintained in an account at a "qualified custodian," generally a broker-dealer or bank. Clients may not direct us to use a specific broker-dealer to execute transactions. By not allowing clients to choose a specific custodian, we may be unable to achieve most favorable execution of client transaction and this may cost clients' money over using a lower-cost custodian.

### Block Trading/Trade Order Aggregation

- C. To the extent that DJHCM provides investment advisory services to its clients, the transactions for each client account generally will be effected independently, unless DJHCM decides to purchase or sell the same securities for several clients at approximately the same time. DJHCM may (but is not obligated to) combine or "bunch" such orders to obtain best execution, to negotiate more favorable commission rates or to allocate equitably among DJHCM's clients differences in prices and commissions or other transaction costs that might have been obtained had such orders been placed independently. Under this procedure, transactions will be averaged as to price and will be allocated among clients in proportion to the purchase and sale orders placed for each client account on any given day. DJHCM shall not receive any additional compensation or remuneration as a result of such aggregation.

## Item 13 Review of Accounts

### Client Account Reviews

- A. DJHCM will conduct one-on-one account reviews at least annually for clients retaining the firm for comprehensive financial planning or investment management. A summary of these reviews will be retained in the client's file in accordance to securities regulations.
- B. Review meetings will consist of at least a discussion of the objectives of the client's investment policy statement, and/or their written financial planning document. Client reviews will only be conducted by licensed and trained representatives that are supervised by DJHCM. Currently those individuals are:

Dominique J. Henderson, Sr. (Owner).

- C. All clients are advised that it remains their responsibility to advise us of any changes in their investment objectives and/or financial situation. All clients (in person or via telephone) are encouraged to review financial planning issues (to the extent applicable), investment objectives and account performance with us at least on an annual basis.
- D. We may conduct account reviews upon the occurrence of a triggering event, such as a change in client investment objectives and/or financial situation, market corrections and client request.
- E. Clients are provided, at least quarterly, with electronic or written transaction confirmation notices and regular electronic or written summary account statements directly from the broker-dealer/custodian for the client accounts. We may also provide an electronic or written periodic report summarizing account activity and performance.

## Item 14 Client Referrals and Other Compensation

- A. We do not receive an economic benefit from any non-clients for providing investment advice or financial planning services.
- B. We do not pay referral fees for client referrals.

## Item 15 Custody

DJHCM does not have custody except for in the limited instance of withdrawing client fees. Clients should receive at least quarterly statements from the broker dealer, bank or other qualified custodian that holds and maintains client's investment assets. We urge you to carefully review such statements and compare such official custodial records to the account statements or reports that we may provide to you. Our statements or reports may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

## Item 16 Investment Discretion

For those client accounts where we provide investment management services, we typically maintain discretion over client accounts with respect to securities to be bought and sold and the amount of securities to be bought and sold. Investment discretion is explained to clients in detail when an advisory relationship has commenced. At the start of the advisory relationship, the client will execute an advisory contract. A client may place limits on discretionary authority related to certain securities or the types of securities. The client may have religious, social, or environmental preferences which could limit the discretionary authority of DJHCM. These preferences would influence the construction of the client's portfolio and would be documented in the Investment Policy Statement and reviewed annually.

## Item 17 Voting Client Securities

- A. DJHCM does not vote client proxies. Clients maintain exclusive responsibility for:
  - directing the manner in which proxies solicited by issuers of securities owned by the client shall be voted, and
  - making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client's

investment assets.

- B. Clients will receive their proxies or other solicitations directly from their custodian. Clients may contact DJHCM to discuss any questions they may have with a particular solicitation.

## Item 18 Financial Information

- A. We do not have custody of client funds or securities or require or solicit prepayment of more than \$500 in fees per client six months in advance.
- B. DJHCM is unaware of any financial condition that is reasonably likely to impair its ability to meet its contractual commitments relating to its discretionary authority over certain client accounts.
- C. DJHCM has not been the subject of a bankruptcy petition.

## Item 19 Requirements for State-Registered Advisers

Dominique Henderson, Sr.

Born: 1976

### Educational Background

1998 – Bachelor of Arts, Finance, Prairie View A&M University

2015 – Master of Security Analysis and Portfolio Management, Creighton University

### Previous 5 Years Business Experience

04/2010 – 06/2016, McGowan Group Asset Management, Director of Trading/Co-Portfolio Manager

07/2016 – present, DJH Capital Management, LLC., Owner and Investment Adviser Representative

01/2018 – present, The Model FA, Performance Coach

01/2020 – present, DJ Henderson Consulting, LLC. d/b/a “The Jumpstart Coaching Lab”, Owner

### Professional Designations, Licensing & Exams

12/2016, Certified Financial Planner™, ID #249281 (2/28/22 expiry)

12/2019, General Lines – Life, Accident and Health (Texas)

Certified Financial Planner Board of Standards, Inc. (CFP Board) owns the CFP® certification mark, the CERTIFIED FINANCIAL PLANNER™ certification mark, and the CFP® certification mark (with plaque design) logo in the United States, which it authorizes use of by individuals who successfully complete CFP Board’s initial and ongoing certification requirements.

Dominique Henderson, Sr. is not involved with outside business activities other than those named in Item 2 of this document.

DJHCM is not compensated by performance-based fees.

No management person at DJHCM has ever been involved in an arbitration claim of any kind or

been found liable in a civil, self-regulatory organization, or administrative proceeding.  
Dominique Henderson, Sr. does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through DJHCM.

Dominique Henderson, Sr. as Managing Member of DJHCM, is responsible for supervision. He may be contacted at the phone number on this brochure supplement.

Dominique Henderson, Sr. has NOT been involved in an arbitration, civil proceeding, self-regulatory proceeding, administrative proceeding, or a bankruptcy petition.