



# OAKWOOD CAPITAL

**600 Highway 169 South  
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(952) 935-4601  
[www.oakwoodcapital.com](http://www.oakwoodcapital.com)**

## ***Douglas S. King, CFP®***

Chief Executive Officer, Chief Compliance Officer,  
and Investment Adviser Representative

12510 World Plaza Lane, Suite 1  
Fort Myers, FL 33907  
(239) 350-0245

### **Form ADV Part 2B – Brochure Supplement**

Effective: January 1, 2023

This brochure supplement (“Supplement Brochure”) dated January 2023 provides information about Douglas King that supplements Oakwood Capital, Inc.’s (“OC” or the “Firm”) Form ADV Part 2A (“Firm Brochure”). You should have received a copy of the Firm Brochure. If you did not receive OC’s Firm Brochure or if you have any questions about the contents of this Supplement Brochure, please contact Doug King at (952) 935-4601 or [compliance@oakwoodcapital.com](mailto:compliance@oakwoodcapital.com).

Additional information about Douglas King is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The site is searchable by a unique identifying number known as a CRD number. Douglas King’s CRD number is 1375683.

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

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**Douglas King**

**CRD No. 1375683**

**Born: 1963**

### EDUCATIONAL BACKGROUND

Mr. King is dedicated to advising clients of Oakwood Capital as the Chief Executive Officer. Mr. King attended Virginia Tech earning Bachelor of Science Degrees in Finance and Management, and the University of Minnesota's Carlson School of Management earning a Master of Business Administration (MBA). Additional information regarding Mr. King's business background is included below.

### BUSINESS BACKGROUND

04/2020 – Present	President & CEO	Oakwood Capital Insurance Solutions
04/2020 - Present	President, CEO & CCO	Oakwood Capital, Inc.
04/2020 - Present	President, CEO & CCO	Oakwood Capital Securities, Inc.
01/2020 – Present	President, CEO	Oakwood Capital Securities, LLC
04/2018 – Present	President, CEO, Investment Adviser	Oakwood Capital Advisors, LLC
04/2017 – 06/2020	President, CCO, Investment Adviser	Prosperity Capital Advisors

### PROFESSIONAL DESIGNATIONS

#### *CERTIFIED FINANCIAL PLANNER™ (“CFP®”)*

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience, agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards and complete 30 hours of continuing education every two (2) years.

## **Item 3: Disciplinary Information**

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**There are no legal, civil, or disciplinary events to disclose regarding Mr. King.** Mr. King has never been involved in any investment related regulatory, civil, or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. King.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair, or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. King.**

However, we do encourage you to independently view the background of Mr. King on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD No. 1375683.

#### **Item 4: Other Business Activities**

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Mr. King is the President & CEO of Oakwood Capital Advisors, LLC, a wealth management firm offering financial planning and investment services for high-net-worth individuals and small businesses. Advisory Services are offered through Oakwood Capital, Inc.

Mr. King is the sole owner and President of Oakwood Capital, Inc., a Registered Investment Advisory firm located in Minneapolis, Minnesota.

Mr. King is the sole owner and President of Oakwood Capital Securities, Inc., a full-service independent broker-dealer located in Minneapolis, Minnesota.

Mr. King is a board member of North Star Council, Boy Scouts of America. This is a volunteer role.

Mr. King offers consulting services to businesses and private equity companies through Oakwood Capital Advisors, LLC. The information provided is not related to securities products or services. Compensation is on a per consult basis. Less than two (2) hours per week is spent on this activity.

Mr. King is a licensed insurance agent through Oakwood Capital Insurance Solutions, LLC and may recommend and engage in the sale of insurance products offered by various insurance carriers for which he will receive additional compensation. Please be advised that there is a conflict of interest in that there is an economic incentive for Mr. King to recommend insurance products offered through such insurance carriers. Any commissions received through the sales of insurance policies do not offset advisory fees the client may pay for advisory services provided by Oakwood Capital. Mr. King strives to put his clients' interests first and foremost, and clients are not obligated to purchase insurance products through him and may seek similar services elsewhere.

#### **Item 5: Additional Compensation**

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Mr. King does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through the Firm. However, Mr. King receives commissions from sales of insurance products generated as an insurance agent and commissions for brokerage transactions effected through affiliate Oakwood Capital Securities, Inc.

#### **Item 6: Supervision**

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Supervision of Mr. King is performed by himself in his capacity as Chief Compliance Officer of Oakwood Capital. Oakwood Capital has implemented a policies and procedures manual and Code of Ethics which guides the Firm and its supervised persons in meeting their fiduciary obligations to Oakwood Capital' clients when providing investment advisory services. As Oakwood Capital' Chief Compliance Officer, Mr. King is responsible for the implementation of the Firm's policies and procedures and Code of Ethics. Mr. King may be contacted at (952) 935-4601 or [compliance@oakwoodcapital.com](mailto:compliance@oakwoodcapital.com) for more information about this Brochure Supplement.

Additionally, Oakwood Capital is subject to regulatory oversight by various agencies. These agencies require registration by Oakwood Capital and its supervised persons. As a registered entity, Oakwood Capital is subject to examinations by regulators, which can be announced or unannounced. Oakwood Capital is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.