



# OAKWOOD CAPITAL

**600 Highway 169 South  
Suite 1410  
St. Louis Park, MN 55426  
(952) 935-4601  
[www.oakwoodcapital.com](http://www.oakwoodcapital.com)**

***Jason King, CFP®, EA***

Investment Adviser Representative  
(612) 439-8400

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

Effective: January 22, 2024

This brochure supplement (“Supplement Brochure”) dated January 2024 provides information about Jason 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 Jason 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. Jason King’s CRD number is 6343030.

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

---

**Jason King**

**CRD No. 6343030**

**Born: 1994**

### EDUCATIONAL BACKGROUND

Mr. King is dedicated to advising clients of Oakwood Capital, Inc. as Financial Advisor with Oakwood Capital Advisors, LLC. Mr. King earned a bachelor's degree in Finance with Minors in Accounting and Entrepreneurship from the University of Minnesota, Carlson School of Management. Additional information regarding Mr. King's business background is included below.

### BUSINESS BACKGROUND

11/2023 – Present	Vice President and Manager	Oakwood Capital Partners, LLC
11/2023 - Present	Vice President and Manager	Oakwood Capital Accounting & Tax Advisors, LLC
09/2022 – Present	Vice President and Manager	Oakwood Capital Securities, LLC
06/2020 - Present	Investment Advisor Representative	Oakwood Capital, Inc.
06/2020 - Present	Registered Representative & Variable Insurance Agent	Oakwood Capital Securities, Inc.
06/2020 - Present	Fixed Insurance Agent	Oakwood Capital Insurance Solutions, LLC
06/2019 – Present	Financial Advisor	Oakwood Capital Advisors, LLC
07/2018 – 07/2020	Investment Adviser Representative	Prosperity Capital Advisors, LLC
08/2018 – 06/2020	Business Development Associate	C2P Enterprises, LLC
06/2016 – 07/2018	Registered Representative and Investment Adviser Representative	North Star Resource Group

### 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.

### ENROLLED AGENT – EA

An enrolled agent is a person who has earned the privilege of practicing, or representing taxpayers, before the IRS. Enrolled agents, like attorneys and certified public accountants (CPAs), are unrestricted as to which taxpayers they can represent and what types of tax matters they can handle. Enrolled Agents advise, represent, and prepare tax returns for individuals, partnerships, corporations, estates, trusts, and any entities with tax-reporting requirements. Enrolled Agents' expertise in the continually changing field of taxation enables them to effectively represent taxpayers audited by the IRS. To become an Enrolled Agent an applicant must pass the Special Enrollment Examination. This exam is a three-part exam that includes: Part 1 – Individual; Part 2 – Business; Part 3 - Representation, Practice and Procedures. All of the questions are weighted equally, and the test is graded on a bell curve so the number of students that pass is limited. A background check and review of tax compliance is conducted. The IRS also requires 72 hours of continuing professional education every three years. Enrolled Agents are required to abide by the provisions of the Department of Treasury's Circular 230, which provides the regulations governing the practice of Enrolled Agents before the IRS.

#### **Item 3: Disciplinary Information**

---

**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. 6343030.

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

---

Mr. King is the Vice President of Financial Planning and a Financial Advisor for 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. Brokerage services are offered through Oakwood Capital Securities, Inc.

Mr. King is a Vice President and Principle of Oakwood Capital, Inc., a Registered Investment Adviser firm with offices located in Minneapolis, Minnesota and Fort Myers, Florida.

Mr. King is a Vice President and minority owner of Oakwood Capital Accounting & Tax Advisors, LLC, an accounting firm located in Fort Myers, Florida that prepares tax returns for individuals and accounting services, payroll, corporate formation, and tax returns for small businesses.

Mr. King is a Vice President, Principle, a registered representative, and variable insurance agent with Oakwood Capital Securities, Inc. ("OCS"), an SEC registered broker-dealer, member of FINRA and the MSRB, and affiliate of Oakwood Capital, Inc. with offices in Minneapolis, Minnesota and Fort Myers, Florida. In such capacity, Mr. King sells securities through OCS and receives commissions. The potential for receipt of commissions and other compensation when Mr. King directs securities transactions for client

accounts through OCS may give Mr. King an incentive to recommend investment products based on the compensation received, rather than on the client's needs. However, Mr. King will only recommend securities transactions that he believes are suitable for the client's account and in the best interests of the client. Clients are not required to transact brokerage business with Mr. King. Clients should be aware that similar services are available elsewhere through entities not affiliated with Mr. King or Oakwood Capital, Inc.

Mr. King is also a licensed fixed 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.

Mr. King is a Vice President and minority owner of Oakwood Capital Securities, LLC., a financial services holding company located in Fort Myers, Florida.

Mr. King is a Vice President and minority owner of Oakwood Capital Partners, LLC., a management company located in Fort Myers, Florida that manages the employees and offices of all the "Oakwood Capital" firms.

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

---

Mr. King does not receive any economic benefit from any person, company, or organization, in exchange for providing advisory services other than through the Firm.

However, Mr. King does receive commissions from sales of insurance products generated as an insurance agent and commissions for brokerage transactions effected through affiliate Oakwood Capital Securities, Inc.

In addition to earning compensation as an investment adviser representative of Oakwood Capital, Inc., as a registered representative of Oakwood Capital Securities, Inc., as an insurance agent with Oakwood Capital Insurance Solutions, LLC, as a financial advisor with Oakwood Capital Advisors, LLC, and as an officer of Oakwood Capital Accounting & Tax Advisors, LLC and of Oakwood Capital Partners, LLC, Mr. King is also either a direct or indirect owner of these companies. This presents a conflict as he earns compensation through sharing in the profits and losses of these entities and may be incentivized to recommend more profitable products and services.

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

---

Mr. King serves as an investment adviser representative of Oakwood Capital, Inc. and is supervised by Douglas S. King, the Chief Compliance Officer of Oakwood Capital. Douglas S. King is also Mr. King's father and business partner.

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. Douglas S. King is responsible for the implementation of the Firm's policies and procedures and Code of Ethics. Mr. Douglas S. 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.