

Part 2B of Form ADV: Brochure Supplement

Capital Ideas, Inc.
Clifford J. Brott, Jr., CFP®
12720 Hillcrest Road, #910
Dallas, TX 75230
214-750-4400

Item 1 - Cover Page

This brochure supplement provides information about Clifford J. Brott, Jr. that supplements the Capital Ideas, Inc. brochure. You should have received a copy of that brochure. Please contact Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer, if you did not receive Capital Ideas, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Clifford J. Brott, Jr. is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: April 17, 2024



Item 2 - Educational Background and Business Experience

Education History:

Clifford John Brott, Jr., born 1949, attended the University of Texas in Austin, Texas and received his Bachelor of Arts ("B.A.") degree in Economics.

Professional Licenses:

Clifford J. Brott, Jr. has a CERTIFIED FINANCIAL PLANNER™ ("CFP®") professional designation. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services



at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business Background:

EMPLOYER	START DATE	END DATE	POSITION
Capital Ideas, Inc.	April, 1984	Current	Chairman Emeritas
Rhodes Securities, Inc.	April, 2020	Current	Registered Rep
Alliance Financial Group, Inc.	May, 2006	April, 2020	Principal

Item 3 - Disciplinary Information

Clifford J. Brott, Jr. does not have any material disciplinary information to disclose.

Item 4 - Other Business Activities

Clifford J. Brott, Jr. is also a registered representative of Rhodes Securities, Inc. (Member FINRA/SIPC), but he remains doing business as Alliance Financial with securities offered through Rhodes Securities, Inc. In this capacity, he does sell securities through Rhodes Securities, Inc. and receives normal and customary commissions as a result of such purchases and sales. This presents a conflict of interest to the extent that he recommends that you invest in a security which results in a commission being paid to him.

Item 5 - Additional Compensation

Clifford J. Brott, Jr. does not receive any economic benefits for providing advisory services from someone who is not a client of Capital Ideas, Inc.

Item 6 - Supervision

All new accounts undergo careful analysis and review as to appropriateness of assets held and asset allocation and compared to the investment objectives stated by you. After an account has been approved for a specific investment program, the Chief Compliance Officer will monitor the trading activities in the account to ensure that the securities purchased or sold are consistent with your investment objectives.

The Chief Compliance Officer will review the activity in each account at least quarterly to determine if the account has been managed in a manner consistent with investment objectives. The Chief Compliance Officer will also look for any evidence of excessive trading or conflicts of interest between the advisor and you.



Our Firm has established written policies and procedures that it will utilize to supervise. In addition, a Code of Ethics has been adopted, which we have agreed to follow and comply with.

The confidence and trust placed in our Firm and its employees is something we value and endeavor to protect.

The Supervisor for Clifford J. Brott, Jr. is Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer of Capital Ideas, Inc. Andrew P. Kerai, Sr. can be reached at 214-750-4400 should you have any additional questions or concerns.



Capital Ideas, Inc.
Karen R. Burns
12720 Hillcrest Road, #910
Dallas, TX 75230
214-750-4400

Item 1 - Cover Page

This brochure supplement provides information about Karen R. Burns that supplements the Capital Ideas, Inc. brochure. You should have received a copy of that brochure. Please contact Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer, if you did not receive Capital Ideas, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Karen R. Burns is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: April 17, 2024



Item 2 - Educational Background and Business Experience

Education History:

Karen Rayburn Burns, born 1962, attended the University of Texas in Dallas, Texas and received her Bachelor of Science ("B.S.") degree in Economics and Finance.

Business Background:

EMPLOYER	START DATE	END DATE	POSITION
Capital Ideas, Inc.	September, 1999	Current	President
Rhodes Securities, Inc.	April, 2020	Current	Registered Rep
Alliance Financial Group, Inc.	May, 2006	April, 2020	Principal

Item 3 - Disciplinary Information

Karen R. Burns does not have any material disciplinary information to disclose.

Item 4 - Other Business Activities

Karen R. Burns is also a registered representative and principal of Rhodes Securities, Inc. (Member FINRA/SIPC), but she remains doing business as Alliance Financial with securities offered through Rhodes Securities, Inc. In this capacity, she does sell securities through Rhodes Securities, Inc. and receives normal and customary commissions as a result of such purchases and sales. This presents a conflict of interest to the extent that she recommends that you invest in a security which results in a commission being paid to her.

Karen R. Burns is a minority shareholder of Alpha Capital Dallas, LLC, which is the legal entity that owns Capital Ideas, Inc. As an equity owner, she is entitled to receive distributions from Alpha Capital Dallas, LLC.

Item 5 - Additional Compensation

Karen R. Burns does not receive any economic benefits for providing advisory services from someone who is not a client of Capital Ideas, Inc.

Item 6 - Supervision

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The Chief Compliance Officer will review the activity in each account at least quarterly to determine if the account has been managed in a manner consistent with investment objectives. The Chief Compliance Officer will also look for any evidence of excessive trading or conflicts of interest between the advisor and you.

Our Firm has established written policies and procedures that it will utilize to supervise. In addition, a Code of Ethics has been adopted, which we have agreed to follow and comply with.

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The Supervisor for Karen R. Burns is Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer of Capital Ideas, Inc. Andrew P. Kerai, Sr. can be reached at 214-750-4400 should you have any additional questions or concerns.



**Capital Ideas, Inc.
Andrew P. Kerai, Sr., CFA
12720 Hillcrest Road, #910
Dallas, TX 75230
214-750-4400**

Item 1 - Cover Page

This brochure supplement provides information about Andrew P. Kerai, Sr. that supplements the Capital Ideas, Inc. brochure. You should have received a copy of that brochure. Please contact Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer, if you did not receive Capital Ideas, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Andrew P. Kerai, Sr. is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: April 17, 2024



Item 2 - Educational Background and Business Experience

Education History:

Andrew P. Kerai, Sr., born 1987, attended the Kogod School of Business at American University in Washington, D.C. and received his Bachelor of Science in Business Administration (B.S.B.A) degree with a dual major of International Finance and Accounting.

Professional Licenses:

Andrew P. Kerai has received the Chartered Financial Analyst (CFA) designation. We must provide you with a sufficient explanation of the minimum qualifications required for this designation to allow you to understand the value of the designation.

The Chartered Financial Analyst (CFA) charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

Business Background:

EMPLOYER	START DATE	END DATE	POSITION
Capital Ideas, Inc.	January, 2022	Current	Chairman, Managing Partner, and Chief Compliance Officer
River North Capital Management	November, 2015	December, 2021	Portfolio Manager
Foreside Fund Services, LLC	December, 2014	October, 2015	Senior Portfolio Manager & Managing Director

Item 3 - Disciplinary Information

Andrew P. Kerai, Sr. does not have any material disciplinary information to disclose.

Item 4 - Other Business Activities

Andrew P. Kerai, Sr. serves as Managing Partner of Alpha Capital Dallas, LLC, which is the legal entity that owns Capital Ideas, Inc. As an equity owner, he is entitled to receive distributions from Alpha Capital Dallas, LLC. He also serves as a partner in Alpha Capital Partners, LLC and is entitled to receive distributions from the business.

Andrew P. Kerai, Sr. serves as a Board Member for the America-Israel Friendship League, which is a non-profit founded in 1971 to support a strong relationship between Americans and Israelis. He also serves on the Investor Board for Gift of Adoption Fund, which is a non-profit that provides



adoption assistance grant funding for qualifying families. He is a member of Forbes Finance Council, which is an invitation-only organization for senior-level financial services executives and leaders.

Item 5 - Additional Compensation

Andrew P. Kerai, Sr. does not receive any economic benefits for providing advisory services from someone who is not a client of Capital Ideas, Inc.

Item 6 - Supervision

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The confidence and trust placed in our Firm and its employees is something we value and endeavor to protect.

The Supervisor for Andrew P. Kerai, Sr. is Karen R. Burns, President of Capital Ideas, Inc. Karen R. Burns can be reached at 214-750-4400 should you have any additional questions or concerns.



**Capital Ideas, Inc.
James Jacobson
12720 Hillcrest Road, #910
Dallas, TX 75230
214-750-4400**

Item 1 - Cover Page

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Additional information about James Jacobson is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: April 17, 2024



Item 2 - Educational Background and Business Experience

Education History:

James Jacobson, born 1989, attended Northern Illinois University and received his Bachelor of Science ("B.S.") degree in Business Management.

Business Background:

EMPLOYER	START DATE	END DATE	POSITION
Capital Ideas, Inc.	December, 2021	Current	Investment Advisor Representative
Strategic Portfolio Managers	August, 2021	November, 2023	Partner, Private Wealth Advisor
JP Morgan Securities	August, 2018	August, 2021	Private Client Advisor

Item 3 - Disciplinary Information

James Jacobson does not have any material disciplinary information to disclose.

Item 4 - Other Business Activities

James Jacobson serves as a Member of Alpha Capital Dallas, LLC, which is the legal entity that owns Capital Ideas, Inc. As an equity owner, he is entitled to receive distributions from Alpha Capital Dallas, LLC.

James Jacobson has an ownership interest in Alpha Capital Partners, through which he conducts business consultation services such as loan acquisitions, private valuations, and cash flow analysis. Clients should be aware that this can involve a possible conflict of interest, as Alpha Capital Partners is paid a fee based on the total loan acquisition size giving James Jacobson an economic incentive to refer clients with a business to Alpha Capital Partners. James Jacobson will only recommend these services when it is in the best interest of the client. The client always has the right to decide whether to act on the recommendation and if the client decides to do so, the client can choose the professional of their choosing.

Item 5 - Additional Compensation

James Jacobson does not receive any economic benefits for providing advisory services from someone who is not a client of Capital Ideas, Inc.

Item 6 - Supervision

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The Supervisor for James Jacobson is Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer of Capital Ideas, Inc. Andrew P. Kerai, Sr. can be reached at 214-750-4400 should you have any additional questions or concerns.



Capital Ideas, Inc.
Jeremy Grant, CFP®
12720 Hillcrest Road, #910
Dallas, TX 75230
214-750-4400

Item 1 - Cover Page

This brochure supplement provides information about Jeremy Grant that supplements the Capital Ideas, Inc. brochure. You should have received a copy of that brochure. Please contact Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer, if you did not receive Capital Ideas, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Jeremy Grant is available on the SEC's website at www.adviserinfo.sec.gov.

Dated: April 17, 2024



Item 2 - Educational Background and Business Experience

Professional Licenses:

Jeremy Grant has a CERTIFIED FINANCIAL PLANNER™ (“CFP®”) professional designation. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

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- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

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- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.



CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business Background:

EMPLOYER	START DATE	END DATE	POSITION
Capital Ideas, Inc.	January, 2024	Current	Director of Operations
Rhodes Securities, Inc.	April, 2020	Current	Registered Rep
Alliance Financial Group, Inc.	May, 2006	April, 2020	Assistant

Item 3 - Disciplinary Information

Jeremy Grant does not have any material disciplinary information to disclose.

Item 4 - Other Business Activities

Jeremy Grant is a registered representative of Rhodes Securities, Inc. (Member FINRA/SIPC), but he remains doing business as Alliance Financial with securities offered through Rhodes Securities, Inc. In this capacity, he sells securities through Rhodes Securities, Inc. and receives normal and customary commissions as a result of such purchases and sales. This presents a conflict of interest to the extent that he recommends that you invest in a security which results in a commission being paid to him.

Item 5 - Additional Compensation

Jeremy Grant does not receive any economic benefits for providing advisory services from someone who is not a client of Capital Ideas, Inc.

Item 6 - Supervision

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The Supervisor for Jeremy Grant is Andrew P. Kerai, Sr., Chairman and Chief Compliance Officer of Capital Ideas, Inc. Andrew P. Kerai, Sr. can be reached at 214-750-4400 should you have any additional questions or concerns.

