

REGENCY CAPITAL MANAGEMENT INC.

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## Brochure

(Form ADV Part 2B)

Neil Rose

February 4, 2021

**This brochure supplement provides information about Neil Rose that supplements the Regency Capital Management Inc. brochure. You should have received a copy of that brochure. Please contact Neil Rose if you did not receive Regency Capital Management's brochure or if you have any questions about the contents of this supplement.**

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

Name: Neil Rose

Year of Birth: 1980

Experience: Neil Rose is the founder and chief executive officer of Regency Capital Management Inc. Mr. Rose was previous president and chief investment officer at Cadinha & Co., LLC, a registered investment adviser, from September, 2018 to December, 2020; Chief Investment Officer from January, 2007 to December, 2020; and Vice President and Portfolio Manager from January 2003 to August, 2006. Mr. Rose joined Cadinha in 2002.

Education: A.B. from Harvard University (with honors).

Professional Designations: Mr. Rose holds the Chartered Financial Analyst (CFA) designation from the CFA Institute, a global association of investment professionals. The CFA designation requires a rigorous curriculum with three, six-hour exams over a minimum of three calendar years; adherence specified ethical standards and commitment to abide by CFA Institute Code of Ethics and Standard of Professional Conduct; a specified minimum tenure of qualified work experience; and national and local membership with the CFA Institute while fulfilling duties required to remain in good standing.

## **ITEM 3: Disciplinary Information**

Mr. Rose does not have any legal or disciplinary events.

## **ITEM 4: Other Business Activities**

Mr. Rose is not engaged in any material outside business activities nor any relationships with any investment-related businesses.

## **ITEM 5: Additional Compensation**

Mr. Rose does not receive any third part compensation for providing investment advice or services.

## **ITEM 6: Supervision**

As Regency Capital Management Inc. is a new advisor and Mr. Rose is Chief Executive Officer. Mr. Rose and the firm rely on established compliance policies and procedures to direct, monitor, and document the activities of personnel and the firm. Personal trades are monitored and supervised by the Chief Compliance Officer.