

SC Capital Management LLC

1901 Atlantic Shores Blvd #1
Hallandale, FL 33009
650.922.9387
<https://sccapital.co>

Form ADV Part 2A Firm Brochure March 29, 2022

This brochure provides information about the qualifications and business practices of SC Capital Management LLC. If you have any questions about the content of this brochure, please contact Simons Chase at 650.922.9387.

The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (SEC) or any state securities administrator. Additional information about SC Capital Management LLC is available on the SEC's website at www.adviserinfo.sec.gov. Click on the "Investment Adviser Search" link and then search for "Investment Adviser Firm" using the firm's IARD ("CRD") number 300364.

Registration and/or licensing in any jurisdiction in itself does not imply an endorsement by any regulatory authority, nor does it imply a certain level of skill or training on the part of the firm or its associated personnel.

Item 2 – Material Changes

Since the last version was filed on March 25, 2021, there are no material changes to describe.

Clients and prospective clients should review this brochure in its entirety and are encouraged to ask questions at any time prior to or throughout the engagement.

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Important Information

In this document SC Capital Management LLC may also be referred to as “the Firm,” “Firm,” “our,” “we” or “us.” The client or prospective client may be also referred to as “you,” “your,” “client,” and refers to a client engagement involving a single *person* as well as two or more *persons*, and may refer to natural persons and legal entities. In addition, the term “advisor” and “adviser” are used interchangeably where accuracy in identification is necessary (i.e., internet address, etc.).

Our firm maintains a business continuity and succession contingency plan that is integrated within the organization to ensure it appropriately responds to events that pose a significant disruption to its operations. A statement concerning the current plan is available under separate cover.

Item 4 - Advisory Business

Description of the Firm

SC Capital Management LLC is a Florida domiciled limited liability company formed in December of 2018. The firm is not a subsidiary of nor does it control another financial services industry entity.

Simons Chase is the firm's owner, principal and Chief Compliance Officer (supervisor). He is also sole member and maintains controlling interest in the firm. Mr. Chase has previously been a registered investment advisor in the States of Virginia and New York. Additional information about Mr. Chase and his background may be found toward the end of this brochure.

Description of Advisory Services Offered

The Firm provides fee-based discretionary investment management and portfolio management services to individuals, retirement accounts, trusts, estates, and business entities. The Firm's most important obligation to its clients is its fiduciary duty to manage assets based on the client's individual tolerance for risk and related parameters such as time horizon and investment objectives as may be described in the Investment Advisory Agreement.

The Firm's focus is on growing assets through the selection of individual stocks and related equity securities and managing a portfolio on a continuous basis based on the *unique, individual needs of each client*. Risk categories for growing assets could be a combination of the following investment styles: growth & income, growth, speculative & trading. The Firm is not qualified to advise clients relative to portfolios containing a majority of fixed income assets.

We do not offer financial planning services.

In some cases, clients may restrict investing in certain securities or types of securities. If you wish, the Firm will invest client assets with an added dimension of impact investing where social or environment investment parameters shape portfolios by excluding stocks from certain industries and overweighting other companies that meet preferences related to environmental and social progress.

Wrap Fee Programs

Our Firm does not sponsor or serve as a portfolio manager in an investment program involving wrapped (bundled) fees.

Client Assets Under Management

As of December 31, 2020, the Firm managed client assets of **\$2,379,934** on a discretionary basis and **\$670,766** on a nondiscretionary basis for a total of **\$3,050,700**.

Item 5 - Fees and Compensation

The Firm charges an investment management fee quarterly, in arrears, based on the market value of the account(s) at the end of each calendar quarter except for the first billing period which will be billed pro-rata at the end of the current quarter. All managed accounts are subject to the following tiered fee schedule:

Assets under \$1 million

1.25% per annum

Assets between \$1 million and \$3 million
Assets over \$3 million

1.00% per annum
0.75% per annum

Clients may elect to have advisory fees deducted directly from their accounts or they may pay by separately upon receipt of an advisory fee invoice. All fee arrangement must be agreed to in writing and may include executing documents to meet the requirements of the client's broker/dealer for limited power of attorney and direct deduction of fees. The Firm under no circumstances accepts custody of client assets of any type. You should always compare the Firm's invoices and billing statements for accuracy compared to the statements you receive from your custodian. Fees are due and payable within ten (10) business days of receipt of invoice.

We accept clients with a minimum of \$250,000 in assets under management. Fees are negotiable.

Termination

If you do not receive our Form ADV Part 2A & 2B Firm brochure at least 48 hours prior to entering into the Firm's agreement, you will have the right to terminate the engagement without fee or penalty within five business days after entering into the agreement. Such termination must be in writing.

Upon termination or expiration after the above 5-day period, SC Capital will invoice Investor for all unpaid services rendered pro-rata to the date of termination or expiration, and SC Capital shall pay to Investor any unearned fees pro-rata to the date of termination or expiration. Termination or cancellation upon expiration require a 15-day advance written notice.

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

The Firm does not charge performance-based fees. Our fees will also not be based on side-by-side management, which refers to a firm simultaneously managing accounts that do pay performance-based fees (such as a hedge fund) and those that do not.

Item 7 - Types of Clients

We provide our services to individuals, trusts and corporations.

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

The Firm may use the following methods of securities analysis:

Fundamental: Analysis performed on historical and present data, with the goal of estimating firm value and making financial forecasts;

Thematic: Thematic investors seek to capitalize on rapidly changing trends typically caused by innovation in such things as technology, environmental conservation and demographics;

Charting: Analysis performed using patterns to identify current trends and trend reversals to forecast the direction of securities prices;

Technical: Analysis performed on historical and present data, focusing on price and trade volume, to forecast the direction of securities prices;

Cyclical: Analysis performed on historical relationships between price and market trends, to forecast the direction of securities prices;

Other: The value and trading pattern of a company's debentures, discrepancy in valuation between public and private companies in the same industry, management's communication style and tone in public settings and earning calls.

Potential Risk of Loss

We believe our tactics and investment strategies are designed to produce the highest potential return for a given level of risk. We cannot guarantee that an investment objective or portfolio strategy will be achieved. Investing in securities involves the risk of loss that an investor must be able to bear. Some risks may include:

Market risk – When the stock market as a whole or an industry as a whole falls (“systemic risk”), it can cause the prices of all individual securities to fall indiscriminately.

Company risk – When investing in equity securities, there is always a certain level of company or industry-specific risk inherent in each company or issuer (“unsystematic risk”), that a company will perform poorly or have its value reduced based on factors specific to the company or its industry.

Management risk – Investments vary with the success and failure of the Firm's investment strategies, research, analysis, and determination of a portfolio.

Active management strategies – A portfolio that employs active management strategies may, at times, outperform or underperform various benchmarks or other strategies. In an effort to meet or surpass these benchmarks, active portfolio management may require more frequent trading.

Socially-responsible or impact investing – A portfolio invested according to these principles carries a risk that returns on investments of this type may be limited and not be as well diversified. The number of publicly traded companies that meet certain parameters may be limited, and such a portfolio could be more volatile than a diversified portfolio.

Derivatives Risk: The Firm's use of equity options is subject to correlation risk, leverage risk, liquidity risk and market risk. Correlation risk is the risk that changes in the value of the derivative may not correlate perfectly with the underlying asset, rate or index. Moreover, certain derivative instruments can magnify the extent of losses incurred due to changes in the market value of the securities to which they relate.

Concentrated positions: The Firm may direct positions for the benefit of our clients that represents a significant risk of loss due to non-diversification. A concentrated position is any one security that represents greater than 10% of the value of the account.

Specific investment objectives and risk tolerances will be agreed to in writing at the time of engagement and will be updated as requested by the client. The Firm uses a measurement of portfolio beta as one tool to track risk exposure. Other tools include tracking of risk signals in credit markets to compensate for the shortcomings of modern portfolio theory.

Risks Associated with Investment Strategies and Methods of Analysis

Management Risk. We apply investment techniques and risk analysis in making investment decisions for a client's portfolio, but there is no guarantee that these techniques and SC Capital's judgment will produce the intended results.

Quantitative Tools Risk. Some of our investment techniques may incorporate and or rely upon quantitative analysis. There is no guarantee that this analysis will generate accurate forecasts, reduce risks or otherwise produce the intended results. Data is provided by outside vendors and while we believe the information to be correct, we do not independently verify its accuracy.

Allocation Risk. The allocation of investments among different asset classes may have a significant effect on portfolio value when one of these asset classes performs poorly relative to the others. In addition, there is a risk that certain asset allocation decisions may not achieve desired results and as a result your portfolio may incur significant losses.

Item 9 - Disciplinary Information

Neither the Firm nor any of its related persons have been involved in any criminal or civil action or an administrative or self-regulatory organization proceeding involving any investment-related misconduct, statutory or regulatory violation, any bar or suspension from engaging in any investment-related business activities.

Item 10 - Other Financial Industry Activities and Affiliations

Our policies require our Firm and its associates to conduct business activities in a manner that avoids or mitigates conflicts of interest between the Firm, its employees, and its clients, or that may be contrary to law. We provide disclosure to you prior to and throughout the term of our engagement regarding any conflicts of interest that might in our reasonable judgment compromise our impartiality or independence. Other financial industry activities or affiliations could be a source of potential conflicts of interest, so our Firm does not engage in or maintain them.

Upon request, we may provide referrals to various professionals we know and trust, such as accountants, attorneys, insurance agents, or real estate and mortgage brokers. We do not have any agreements with nor receive fees from these professionals for these referrals. The hiring or engagement of any of such referrals is at the client's risk. You should make your own determination of suitability for any referrals.

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

We have committed to a Code of Ethics for high standard of business conduct and fiduciary duty to our clients. This includes: putting the clients' interests first, objectivity, confidentiality, competence, fairness and suitability, integrity and honesty, regulatory compliance, full disclosure, and professionalism. The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

The Firm and/or its access persons may at times buy or sell securities that we recommend and are also held simultaneously by our clients. We will not trade our own securities ahead of client trades ("frontrunning") or use client orders as "inside information." Access persons must comply with the provisions of the Firm's Code of Ethics and Supervisory Procedures Manual. Access persons are required to submit an inventory of all securities trades on a quarterly basis for transactions that include securities the Firm has recommended or in which our clients have a position in Firm-directed accounts. All access persons at the Firm must acknowledge the terms of the Code of Ethics annually or as amended.

We will not affect any principal or agency cross securities transactions for client accounts.

Material Non-Public Information

The Firm's and /or its employees, in the course of research and other related activities, may from time to time acquire confidential or material, non-public information that may prevent the Firm and /or its employees from purchasing or selling particular securities for certain clients. As a result, certain clients could realize a positive or negative impact to overall performance. The Firm maintains policies and procedures for proper handling material, non-public information.

The Firm's Chief Compliance Officer is Simons Chase. Mr. Chase reviews all access persons' trades at least quarterly. These quarterly trade reviews ensure that the personal trading of access persons is not based on inside information or other potential conflicts, that clients of the firm receive preferential treatment, and that the trades are not of a significant enough value to affect the securities markets. The Firm's clients or prospective clients may request a copy of the Firm's Code of Ethics by contacting Mr. Chase at sc@sccapital.co.

Privacy Policy Statement

We respect the privacy of all our clients and prospective clients, both past and present. We recognize that clients have entrusted us with non-public personal information, and we require that all employees and clients know our policy concerning that information.

We do not disclose non-public personal information about our clients to anyone, except with the express written authorization of the client and under limited circumstances – unless such disclosure is required by law. Our privacy principles are detailed in our Business Continuity Privacy Policy, which we provide clients on an annual basis as per federal and state law. Clients will be notified in advance should our Business Continuity and Privacy Policy change.

To ensure security and confidentiality, we maintain strict and strong physical, electronic, and procedural safeguards to protect the privacy of client information.

Investment Recommendations Involving a Material Financial Interest

The Firm and/or its employees do not recommend to a client any security in which our Firm or employees have a material financial interest. This could include serving in the capacity as an underwriter, advisor to the issuer, and similar conflict. The Firm does not borrow from or lend to clients, and our employees are prohibited from borrowing from or lending to a client.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

The Firm or its employees may personally buy or sell the same (or related) securities as those which we recommend to clients or are simultaneously owned by clients in Firm-directed accounts. Also, recommendations made to one client may be different in nature or in timing from a recommendation made to another client, as clients often have different objectives, risk tolerances, and time horizons. At no time, however, will our firm or any of its employees receive preferential treatment over our clients, or provide preferential treatment to one client over another.

We maintain and review for compliance access persons' personal securities transaction records as required by law and by Firm policy.

Item 12 - Brokerage Practices

The Firm may recommend a registered broker/dealer, bank or trust company to act as a separate custodian to take possession of the cash, securities, and other assets for clients. The Firm's clients direct the Firm to place all trades for client account(s) solely through the custodian selected and appointed by the client. The Firm maintains an institutional master account with Interactive Brokers as one option for custodians of client assets to consider. The Firm regularly reviews its custodial brokerage recommendations and believes that its recommendations are consistent with its fiduciary duty. Clients may select any brokers/dealer it chooses and the Firm will accommodate accordingly. The Firm is independently owned and operated and not affiliated with any broker/dealer or custodian.

The Firm may not have authority to negotiate commissions or obtain volume discounts, and best execution may not be achieved because a client has decided to direct the use of a particular broker. As such, the Firm generally recommends discount brokerage firms to its clients. By assigning a custodian for the assets, the client directs the Firm to execute all trades solely through the selected bank or registered broker/dealer. The Firm will not seek best execution through other broker dealers on the client's behalf. In instances where multiple banks or broker/dealers are used, trades will be placed with the custodian who holds the assets for the account in which trades are being executed.

Other Economic Benefits

In general, the Firm may receive software, services, and/or products from the broker/dealers we recommend. These services generally are available to institutional clients (ie. registered investment advisors) on an unsolicited basis. Some of these other products and services assist the Firm in managing and administering clients' accounts. These include software and other technology that provide access to client account data (such as trade confirmations and account statements); facilitate trade execution (and allocation of aggregated trade orders for multiple client accounts); provide research, pricing information and other market data; facilitate payment of the Firm's fees from its clients' accounts; and assist with back-office functions, recordkeeping, and client reporting. Interactive Brokers also makes available to the Firm other services intended to help the Firm manage and further develop its business enterprise. These services may include consulting, publications, information technology, regulatory compliance, and marketing. In addition, these broker/dealers may make available, arrange, and/or pay for these types of services rendered to the Firm by independent third parties. They may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to the Firm. Other brokers with whom the Firm deals may not have this policy. The Firm's recommendation that clients maintain their assets in accounts at any particular broker/dealer may be based in part on the benefit to the Firm of the availability of some of the foregoing products and services and not solely on the nature, cost, or quality of custody and brokerage services provided by such broker/dealers, *which may create a conflict of interest*.

Disclosure for Interactive Brokers

The Firm participates in the institutional advisor program (the "Program") offered by Interactive Brokers. Interactive Brokers is a member of FINRA/SIPC and is an unaffiliated SEC-registered broker/dealer. Interactive Brokers offers to independent investment advisors services which include custody of securities, trade execution, clearance and settlement of transactions. The Firm receives some benefits from Interactive Brokers through its participation in the Program. There is no direct link between the Firm's participation in the Program and the investment advice it gives to its clients, although the Firm receives economic benefits through its participation in the Program that are typically not available to Interactive Brokers' retail investors. These benefits may include the following products and services (provided without cost or at a discount):

receipt of duplicate client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving institutional participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to client accounts); the ability to have advisory fees deducted directly from client accounts; access to an electronic communications network for client order entry and account information; access to mutual funds and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to the Firm by third party vendors. Some of the products and services made available by Interactive Brokers through the Program may benefit the Firm but may not benefit its client accounts. These products or services may assist the Firm in managing and administering client accounts, including accounts not maintained at Interactive Brokers. Other services made available through the Program are intended to help the Firm manage and further develop its business enterprise. The benefits received by the Firm through participation in the Program do not depend on the amount of brokerage transactions directed to Interactive Brokers. As part of its fiduciary duties to clients, the Firm aspires at all times to put the interests of its clients first. Clients should be aware, however, that the receipt of economic benefits by the Firm or its employees in and of itself *creates a potential conflict of interest and may indirectly influence the Firm's choice of Interactive Brokers for custody and brokerage services.*

Aggregation

Transactions for your accounts will generally be made independently of transactions in other client accounts, unless the Firm decides to purchase or sell the same securities for multiple clients at approximately the same time. The Firm may, in its discretion, combine transactions in the same securities for multiple clients at approximately the same time to obtain the best execution, negotiate more favorable commission rates or fairly allocate differences in prices, commissions and other transaction costs among multiple clients. When the Firm aggregates transactions, it will, or via instructions to the custodian, average the executed prices of the aggregated transactions and allocate the transactions in proportion to the orders placed for each client on any given day. The Firm will not receive any additional compensation or remuneration from aggregating multiple client orders. If you direct the Firm to use a specific broker-dealer to execute some or all of your transactions, the Firm is not obligated to seek better execution services or prices from other broker-dealers or to aggregate client transactions for execution through other broker-dealers with orders for other client accounts managed the Firm, particularly since they may not be using the same broker-dealer. As a result, you may pay higher commissions or other transaction costs or greater spreads, or receive less favorable net prices on transactions for your accounts than would otherwise be the case when transactions are aggregated.

Item 13 – Review of Accounts

We review portfolios in our client's investment accounts on a quarterly basis and usually more often than quarterly. Reviews may also be triggered by new information related to a specific holding, a change in our view of the investment merits of a holding, or news related to the macroeconomic climate affecting a related sector or an individual holding. Accounts may also be rebalanced in accordance with changes to your investment plan or risk tolerance, and be reviewed for an additional holding or when an increase or decrease in a current position is under consideration. Account cash levels above or below what we deem appropriate, given the client's stated tolerance for risk and investment objectives, may also trigger a review.

The custodian provides clients with periodic written reports on account status and activity. The Firm may provide written or electronic portfolio updates and performance summary reports, as well as annual realized gains/loss reports for client accounts. Some clients may receive additional reports

depending on their specific requirements and risk tolerances.

Item 14 – Client Referrals and Other Compensation

Client Referrals

The Firm may receive referrals from current clients, friends, attorneys, accountants, and the like. We do not engage in nor pay for investment advisor solicitation.

We do not provide the names of our clients as references.

Other Compensation

We do not receive any economic benefits from persons that are not clients for providing investment advice or other advisory services, such as sales awards or prizes, except as otherwise disclosed herein.

Item 15 – Custody

Client accounts are maintained by an unaffiliated, qualified custodian, such as a bank, trust company, or broker/dealer. Assets are never maintained by the Firm or any associate of our firm. Our policies:

- Restrict the Firm or an employee from serving as trustee or having general power of attorney over a client account;
- Prohibit the Firm or any employee from having authority to directly withdraw securities or cash assets from a client account other than for payment of our advisory fees. Arrangements for fee payment will be accomplished through the custodian maintaining your assets and will require your written authorization.
- Does not accept or forward client securities (i.e., stock certificates) erroneously delivered to our firm;
- Require that each time a fee is deducted from a client account, the Firm must: send the qualified custodian an invoice of the amount of the fee to be deducted from the client's account, and send the client an invoice itemizing the fee. Itemization includes the formula used to calculate the fee, the amount of assets under management on which the fee is based, and the time period covered by the fee.

The Firm will not:

- collect advance fees of \$500 or more for services that are to be performed six months or more into the future; and
- authorize an associate to have knowledge of a client's account access information (i.e., online 401(k), brokerage or bank accounts) if such access would allow physical control over account assets.

Your custodian of record will provide transaction confirmations and account statements. Statements are provided on at least a quarterly basis or as transactions occur within the account. Our Firm will not create an account statement for a client or serve as the sole recipient of an account statement.

Item 16 - Investment Discretion

We generally provide our investment management services under discretionary authority. A limited power of attorney allows us to have discretionary authority to manage your accounts, implement investment decisions, such as the purchase or sale of a security on behalf of your account, without requiring your authorization for each transaction. Our limited power of attorney only extends to the placement of trade orders and the deduction of advisory fees. You may limit our discretion by notifying us in writing to that effect.

Item 17 - Voting Client Securities

The firm does not vote proxies on your behalf. You have the exclusive responsibility for proxy voting, as well as making other elections relative to mergers, acquisitions, tender offers or other events pertaining to your holdings. You will receive proxies or other similar solicitations directly from your custodian or broker/dealer. We do not generally forward proxy statements or other correspondence relating to the voting of securities, class action litigation, or other corporate actions for securities you hold. We urge you to contact the issuer, the transfer agent, or legal counsel with questions regarding any proxy or other communications you receive.

Item 18 – Financial Information

The Firm does not take physical custody of client assets, nor do we have the type of account authority to have such control.

The Firm does not require nor does it accept prepayments of more than \$500 in fees from any existing or new client, six or more months in advance.

Neither our firm nor its management serve as general partner for a partnership or trustee for a trust in which the firm's advisory clients are either partners of the partnership or beneficiaries of the trust.

The Firm and its management do not have any financial condition likely to impair its ability to meet commitments to clients, nor has the firm and its management been the subject of a bankruptcy petition in the last 10 years.

Due to the nature of our Firm's advisory services and operational practices, an audited balance sheet is not required nor included in this brochure.

Item 19 - Requirements for State-Registered Advisers

For further information involving the Firm's principal executive and management personnel, our business activities as well as material potential conflicts of interest, please refer to areas previously disclosed in Items 11 and 12 as well as the accompanying Form ADV Part 2B brochure supplement that immediately follows this page. As per Item 11 of this brochure, neither the firm nor a member of its management has a material relationship with the issuer of a security. The Firm's Designated Principal is Simons Chase.

This brochure supplement provides information about Simons Chase that supplements the SC Capital Management LLC. brochure. You should have received a copy of that brochure. Please contact Simons Chase if you did not receive SC Capital Management LLC.'s brochure or if you have any questions about the contents of this supplement. Additional information about Simons Chase is also available on the SEC's website at www.adviserinfo.sec.gov.

SC Capital Management LLC

Form ADV Part 2B
Individual Disclosure Brochure
March 29, 2022

For

Simons Chase
Personal CRD#: 4453068

1901 Atlantic Shores Blvd #1
Hallandale, FL 33009
650.922.9387
<https://sccapital.co>

Item 2

Simons Chase

DOB July 30, 1968

PROFESSIONAL EXPERIENCE

Senior Strategist ✧ **Systematic Alpha Management LLC** 2018
New York, NY

- CTA Hedge Fund Founded in 1997

Owner ✧ **MIGHTY Media** 2012-2018
Miami, FL & New York

Digital strategy and media development with a focus on niche verticals:

- CubaJournal.co: Co-founder and editor of the leading business and travel site for Cuba. Speaker, thinker and adventurer on all things Cuba. Developed key clients and grew native advertising revenue from zero with a variety of leading luxury cruise companies, law firms and adventure travel companies including Long form journalism, video, social, newsletter, copy writing and events. Web analytics, SEO, and site optimization.
- High.co: Publisher and editor, cannabis-focused media site. More than just easy laughing, elation and heightened awareness.
- dotRIP: gTLD dedicated to digital memorials, the last remaining core human tradition unexpressed on the internet. Sold to Demand Media.
- Advisor to a variety of digital media projects that involve technology development, content creation (long-form journalism, short + vertical video, storytelling), audience development, competitive benchmarking, SEO, capital raising, digital acquisitions, native advertising, analytics (conversions, funnel creation, engagement, KPIs).
- Skills: Frontend development (HTML, CSS), CMS (Wordpress, Adobe), SEO & Web Analytics

Interim CEO ✧ **Intra Corporation** 2012
Auckland, New Zealand

- Provided leadership through a transition period while focusing on product P&L, scrum implementation and sales team development.
- Instra, a 40-person digital marketing company, has a 15-year history of leadership in the domain industry, selling and promoting gTLD and ccTLD domain names and servicing corporate and consumer customers in more than 200 countries and six websites.
- Launched gTLD application service for corporate clients including a public bank and Publicis.

CEO ✧ Performance Beverage Group, Inc (Angel-Funded)

W. Palm Beach, FL

2009-2011

- Managed production and sales operations focusing on a rapid multi-state sports drink rollout supported by grass-roots, viral marketing strategy.
- Developed marketing initiatives and brand vision to attract customers and partners.
- Managed sales team targeting multiple retail channels and outlets.
- Developed business plan along with detailed financial model and operating metrics including beverage-industry comps, P&L/breakeven objectives, product margin and profitability goals
- Completed series A capital raise at \$2.2m pre-money valuation
- Dramatically increased distribution in retail channels

Owner & Chief Investment Officer ✧ SC Capital Management LLC

2003-2011

- Registered Investment Advisor in Virginia & New York
- Managed discretionary equity portfolios for individuals, trusts and high net worth clients

CFO, CEO ✧ VC-Backed Mining Company

Green Technology Group ✧ Washington, DC & Amman, Jordan

1998-2007

- P&L responsibility for product development, sales and corporate development.
- Raised \$5 million venture capital investment from \$4 billion U.S. investor (Jerry Zucker, Intertech Group, Forbes List) to develop pilot plant and start-up costs
- Organized and managed scientific research efforts for new product development.
- Developed CPG brand that gained acceptance at Britain's #1 grocery retailer.

Financial Analyst ✧ Finance Department

Overseas Private Investment Corporation ✧ Washington, DC

1997-1998

- Negotiated and structured limited-recourse senior loans for foreign projects up to \$200 million in OPIC debt and up to \$3 billion in total project costs
- Credit trained transaction banker with emphasis on modeling transactions targeting NPV, IRR and free cash flow.
- Gained broad international exposure to oil and gas, hotel, power and telecom sectors in Russia, Middle East & South America.

EDUCATION

General Assembly ✧ New York City

Web Development Immersive - Coding (3-month boot camp) 2015

Languages: JavaScript, Ruby

Frameworks: Ruby on Rails, Express, Angular.js, Bootstrap

Libraries/Tools: jQuery, JSON, AJAX

Databases/ORM's: SQL, PostgreSQL, Sequelize, ActiveRecord

Deployment-PaaS: Heroku, GitHub

Version Control & Group Development: Git/GitHub

SC Capital Management LLC

Form ADV Part B2

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March 2022

American University ✧ Washington, DC.

MA Economics

George Mason University ✧ Fairfax, Virginia.

BA English

Instituto Allende ✧ San Miguel, Mexico.

Intensive language course

ADDITIONAL INFORMATION

Frequent Public Speaker

Series 3

Patent: Digital Memorialization, Australia (#2013900106), filed January 14, 2013

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

Investment advisor representatives are required to disclose outside business activities that account for a significant portion of their time or income, or that may present a conflict of interest with their advisory activities.

Simons Chase occasionally works as a part-time consultant in operating companies requiring help with internal financial management, technical development and leadership development. There are no conflicts of interest to report.

Item 5: Additional Compensation

Simons Chase does not receive any compensation for providing investment advisory services outside of SC Capital Management LLC

Item 6: Supervision

As the Chief Compliance Officer of SC Capital Management LLC., Simons Chase supervises all the Firm's duties and activities related to state and federal law. Mr. Chase's contact information is on the cover page of this disclosure document. Mr. Chase adheres to applicable state and federal regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manuals.

Item 7: Requirements for State Registered Advisors

This disclosure is required by Florida securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

A. Simons Chase has not been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following: a) an investment or an investment-related business or activity; b) fraud, false statement(s), or omissions; c) theft, embezzlement, or other wrongful taking of property; d) bribery, forgery, counterfeiting, or extortion; or e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: a) an investment or an investment-related business or activity; b) fraud, false statement(s), or omissions; c) theft, embezzlement, or other wrongful taking of property; d) bribery, forgery, counterfeiting, or extortion; or e) dishonest, unfair, or unethical practices.

B. Simons Chase has not been the subject of a bankruptcy petition in the past ten years.