



**DIVIDEND ASSETS CAPITAL, LLC**

INVESTMENT ADVISORS

**Form ADV Part 2B  
Investment Adviser Brochure Supplement  
Dividend Assets Capital, LLC Portfolio Management Team**

**Team Members:**

**C. Troy Shaver, Jr.**

**Peter G. Gerry, III**

**James G. Haley, CFP®**

**Alex C. Meintel®**

**Ying 'Susie' Wang, CFA®, CIC®**

**Dated March 10, 2022**

**Dividend Assets Capital, LLC  
58 Riverwalk Boulevard  
Ridgeland, SC 29936  
(843) 645-9700**

**This brochure supplement provides information about the team members named above and supplements the Dividend Assets Capital, LLC brochure. You should have received a copy of the brochure. Please contact the Chief Compliance Officer, at (843) 645-9700 or toll free at (866) 348-4769 and/or [compliance@dacapital.com](mailto:compliance@dacapital.com) if you did not receive the Dividend Assets Capital, LLC's brochure or if you have any questions regarding the contents of this supplement.**

**Additional information about team members are also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **C. Troy Shaver, Jr.**

### **Educational Background and Business Experience**

Mr. Shaver was born in 1947 and co-founded Dividend Assets Capital, LLC ("DAC") in January 2004. Currently, Mr. Shaver holds the positions as Chief Executive Officer and Senior Portfolio Manager, and is a member of the Investment Committee. Prior to DAC, Mr. Shaver was the Vice Chairman/President & CEO of GoldK, Inc./GoldK Investment Services, and has held various executive positions with State Street Research Investment Services, Inc., John Hancock Funds, Inc., Oppenheimer Management Corporation, and Mosely Hallgarten Estabrook & Weeden, Inc.

Mr. Shaver earned his Bachelor of Arts degree in Geology from Dartmouth College in 1969.

### **Disciplinary Information**

Mr. Shaver has no reportable disciplinary history.

### **Other Business Activities**

Mr. Shaver is not actively engaged in other businesses or occupations (investment-related or otherwise) beyond his capacity as the CEO and Senior Portfolio Manager of DAC. Moreover, Mr. Shaver does not receive any commission, bonuses or other compensation based on the sale of securities or other investment products.

### **Supervision**

Mr. Shaver is supervised by the other members of DAC's Executive Management Team and DAC's independent Board of Directors. In addition, as a Supervised Person, Mr. Shaver's activities as the Senior Portfolio Manager takes place through regular Investment Committee meetings, as well as periodic reviews of client holdings and other documented information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and DAC's internal investment guidelines. Should you have any questions regarding Mr. Shaver's supervision, please contact John C. Swhear, J.D., CCO at (843) 645-9700.

## **Peter G. Gerry, III**

### **Educational Background and Business Experience**

Mr. Gerry was born in 1982 and joined Dividend Assets Capital, LLC (“DAC”) in October 2012 and currently serves as Client Portfolio Manager. From 2015 to 2021, Mr. Gerry held the position of MLP Analyst and Portfolio Manager. From 2012 to 2015 Mr. Gerry held the position of Research Analyst and Client Services Associate at DAC. Prior to joining DAC, Mr. Gerry was a Senior Auditor (Information Technology), with New Jersey’s Office of the State Auditor from 2008 to 2012.

Mr. Gerry earned his Masters in Accounting in 2011 and a Bachelor of Science in Accounting, summa cum laude, in 2007. Mr. Gerry earned both degrees from Rider University.

### **Disciplinary Information**

Mr. Gerry has no reportable disciplinary history.

### **Other Business Activities**

Mr. Gerry is not actively engaged in other businesses or occupations (investment-related or otherwise) beyond his capacity as Client Portfolio Manager at DAC. Moreover, Mr. Gerry does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

### **Supervision**

Mr. Gerry is supervised by C. Troy Shaver, Jr., CEO and Senior Portfolio Manager. Mr. Shaver is responsible for the supervision of all of DAC’s Supervised Persons. Management of these Supervised Persons’ activities on behalf of DAC and its advisory clients also takes place through regular investment committee meetings, as well as periodic reviews of client holdings and other documented information to provide reasonable assurance that the advice provided remains aligned with each client’s stated investment objectives and with DAC’s internal investment guidelines. Should you have any questions regarding Mr. Gerry’s supervision, please contact Mr. Shaver at (843) 645-9700.

## **James Haley, CFP®**

### **Educational Background and Business Experience**

Mr. Haley, Managing Director and Senior Portfolio Manager, Private Client Group, was born in 1975 and joined Dividend Assets Capital, LLC (“DAC”) in March 2017. Mr. Haley has 25 years of experience within the investment and wealth management industry servicing as Client Adviser, Portfolio Manager and Wealth Planner within regional/national banks, including Wilmington Trust, Bank of America-US Trust, and SunTrust Private Wealth.

Mr. Haley earned his Bachelor of Science Degree in Finance from Siena College (1997), a Master of Trust and Investment Management from Campbell University (2003) and is a graduate of Southeastern Trust School (2003).

In addition, Mr. Haley earned the designation of Certified Financial Planner (CFP®) in 2014. To obtain and maintain the CFP® designation, the candidate must pass a final certification examination and meet the continuing education requirements of 30 hours every two years.

### **Disciplinary Information**

Mr. Haley has no reportable disciplinary history.

### **Other Business Activities**

Mr. Haley is not actively engaged in other businesses or occupations (investment-related or otherwise) beyond his capacity as Managing Director of DAC. Moreover, Mr. Haley does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

### **Supervision**

Mr. Haley is supervised by C. Troy Shaver, Jr., CEO and Senior Portfolio Manager. Mr. Shaver is responsible for the supervision of all of DAC’s Supervised Persons. Investment Management of these Supervised Persons’ activities on behalf of DAC and its advisory clients also takes place through regular investment committee meetings, as well as periodic reviews of client holdings and other documented information to provide reasonable assurance that the advice provided remains aligned with each client’s stated investment objectives and with DAC’s internal investment guidelines. Should you have any questions regarding Mr. Haley’s supervision, please contact Mr. Shaver at (843) 645-9700.

## **Alex C. Meintel**

### **Educational Background and Business Experience**

Mr. Meintel, Portfolio Manager, Private Client Group, was born in 1985 and joined Dividend Assets Capital, LLC (“DAC”) in October 2021. Prior to joining DAC, Mr. Meintel held the position of Vice President in the Tactical Research Group at Goldman Sachs. From 2011 to 2018, Mr. Meintel held the position of Research Analyst and Director with Renaissance Macro Research, and Mr. Meintel was with International Strategy and Investments Group as a research analyst from 2009 to 2011.

Mr. Meintel earned his Bachelor of Arts Degree in Government in 2008 from Harvard University. In addition, Mr. Meintel earned the designation of Chartered Market Technician (CMT®). CMT is a designation for technical analysts awarded by the CMT Association. Those who earn a CMT designation must complete three levels of the CMT examination and work in a professional analytical or investment management capacity for a minimum of three years.

### **Disciplinary Information**

Mr. Meintel has no reportable disciplinary history.

### **Other Business Activities**

Mr. Meintel is not actively engaged in other businesses or occupations (investment-related or otherwise) beyond his capacity as Portfolio Manager of DAC. Moreover, Mr. Meintel does not receive any commission, bonuses or other compensation based on the sale of securities or other investment products.

### **Supervision**

Mr. Meintel is supervised by C. Troy Shaver, Jr., CEO and Senior Portfolio Manager. Mr. Shaver is responsible for the supervision of all of DAC’s Supervised Persons. Management of these Supervised Persons’ activities on behalf of DAC and its advisory clients also takes place through regular investment committee meetings, as well as periodic reviews of client holdings and other documented information to provide reasonable assurance that the advice provided remains aligned with each client’s stated investment objectives and with DAC’s internal investment guidelines. Should you have any questions regarding Mr. Meintel’s supervision, please contact Mr. Shaver at (843) 645-9700.

## **Ying 'Susie' Wang, CFA®, CIC®**

### **Educational Background and Business Experience**

Ms. Wang was born in 1983 and joined Dividend Assets Capital, LLC ("DAC") in 2008 following an internship with DAC. Ms. Wang currently serves as the Chief Investment Officer, Director of Investment Strategies and Portfolio Manager, as well as being a member of the Investment Committee.

Ms. Wang earned her Bachelor of Arts degree from Swiss Management University in 2005 and earned her MBA from Georgia Southern University in 2008.

Ms. Wang has been a Chartered Financial Analyst (CFA®) since 2011. The CFA® designates an international, professional certification offered by the CFA Institute. To obtain and maintain the CFP® designation, the candidate must pass a final certification examination and meet the continuing education requirements of 30 hours every two years.

Ms. Wang has also been a Sustainability and Climate Risk certification holder since 2021. The SCR certificate is offered by Global Association of Risk Professionals (GARP). To earn the SCR, the candidate must pass a multiple-choice examination. The SCR certificate is designed to prepare candidates for sustainability and Climate risk challenges. Professionals who complete this certificate will gain the knowledge to become Climate risk leaders and obtain the skills to advance effective change. They will also be able to lead their organization's incorporation of sustainability standards.

In addition, Ms. Wang has been a Chartered Investment Counselor (CIC®) since 2015. The CIC® charter is offered by the Investment Advisors Association (IAA). To earn the CIC®, the candidate must be a CFA®, be employed by a member firm of the IAA in an eligible occupational position for at least one (1) year; have a minimum of five (5) cumulative years' work experience in one or more eligible occupational positions; spend more than 50% of time in a position involving a combination of investment counseling and portfolio management activities; and submit a letter of reference from the CEO, managing principal or the candidate's senior supervisor, and three (3) additional letters of recommendation.

### **Disciplinary Information**

Ms. Wang has no reportable disciplinary history.

### **Other Business Activities**

Ms. Wang is not actively engaged in other businesses or occupations (investment-related or otherwise) beyond her capacity as CIO, Director of Investment Strategies and Portfolio Manager of DAC. Moreover, Ms. Wang does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

### **Supervision**

Ms. Wang is supervised by C. Troy Shaver, Jr., CEO and Senior Portfolio Manager. Mr. Shaver is responsible for the supervision of all of DAC's Supervised Persons. Management of these Supervised Persons' activities on behalf of DAC and its advisory clients also takes place through regular investment committee meetings, as well as periodic reviews of client holdings and other documented information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with DAC's internal investment guidelines. Should you have any questions regarding Ms. Wang's supervision, please contact Mr. Shaver at (843) 645-9700.