



IAPD Report

ENYINNAYA IHECHITURU KANU

CRD# 1863520

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ENYINNAYA IHECHITURU KANU (CRD# 1863520)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KANU ASSET MANAGEMENT, LLC	CRD# 168070	02/10/2014

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CAPITAL CITY SECURITIES, LLC	146001	Cincinnati, OH	07/04/2023 - 10/07/2025
B	CAPITAL CITY SECURITIES, LLC	146001	Cincinnati, OH	09/23/2017 - 06/30/2023
B	CALTON & ASSOCIATES, INC.	20999	CINCINNATI, OH	07/12/2013 - 09/18/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5




Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KANU ASSET MANAGEMENT, LLC**
Main Address: 4015 EXECUTIVE PARK DRIVE
SUITE 402
CINCINNATI, OH 45241
Firm ID#: 168070

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	08/01/2024
	Ohio	Investment Adviser Representative	Approved	02/10/2014
	Texas	Investment Adviser Representative	Restricted Approval	06/12/2021
	Virginia	Investment Adviser Representative	Approved	03/05/2021

Branch Office Locations

KANU ASSET MANAGEMENT, LLC
4015 EXECUTIVE PARK DRIVE
SUITE 402
CINCINNATI, OH 45241



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/22/2004
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/20/2004

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B AMEX Put and Call Exam (PC)	PC	11/11/1988
B General Securities Representative Examination (S7)	Series 7	09/17/1988
B National Commodity Futures Examination (S3)	Series 3	08/04/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/10/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/04/2023 - 10/07/2025	CAPITAL CITY SECURITIES, LLC	CRD# 146001	Cincinnati, OH
B	09/23/2017 - 06/30/2023	CAPITAL CITY SECURITIES, LLC	CRD# 146001	Cincinnati, OH
B	07/12/2013 - 09/18/2017	CALTON & ASSOCIATES, INC.	CRD# 20999	CINCINNATI, OH
IA	07/12/2013 - 09/18/2017	CALTON & ASSOCIATES, INC.	CRD# 20999	CINCINNATI, OH
IA	04/26/2004 - 07/12/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CINCINNATI, OH
B	04/23/2004 - 07/12/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CINCINNATI, OH
IA	05/18/1999 - 05/03/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	CINCINNATI, OH
B	06/21/1996 - 05/03/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	09/21/1988 - 06/28/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2014 - Present	KANU ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CINCINNATI, OH, United States
09/2013 - Present	KANU ASSET MANAGEMENT, LLC	MANAGING DIRECTOR	Y	CINCINNATI, OH, United States
09/2017 - 03/2024	Capital City Securities, LLC	Branch Manager & Registered Representative	Y	Columbus, OH, United States
07/2013 - 09/2017	CALTON & ASSOCIATES, INC.	BRANCH MANAGER / REP	Y	CINCINNATI, OH, United States



Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

KANU ASSET MANAGEMENT, LLC
4015 EXECUTIVE PARK DRIVE SUITE 102
CINCINNATI, OHIO 45241
MANAGING DIRECTOR
REGISTERED INVESTMENT ADVISORY FIRM
PERSONAL ASSETS
100% INTEREST
COMPENSATION BY MANAGEMENT FEES
40 HOURS PER WEEK 50% DURING MARKET HOURS

KANU INVESTMENTS LLC (BLUE CHIP PARKING)
4015 EXECUTIVE PARK DRIVE SUITE 402
CINCINNATI, OHIO 45241
Started 1/2/1996
Not Industry Related
MANAGING DIRECTOR
Partnership
50% Interest
Bank Loan
0 Current Income
2 Hours per week, none during market hours

ARETE CAPITAL PARTNERS, LLC
4015 EXECUTIVE PARK DRIVE SUITE 402
CINCINNATI, OHIO 45241
Started 2/1/2012
Not Industry Related
MANAGING DIRECTOR
Partnership
50% Interest
Personal Assets
0 Current Income
1 Hours per week, none during market hours



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CAPITAL CITY SECURITIES, LLC
Allegations:	The four customers of Kanu were [REDACTED]/Rossini Management Group, LTD, [REDACTED], [REDACTED], and [REDACTED] suffered option trading loses in their Kanu Asset Management, LLC (an IA that is unaffiliated to Capital City Securities, LLC) accounts in an option trading strategy that they did not approve.
Product Type:	Options
Alleged Damages:	\$525,000.00
Alleged Damages Amount Explanation (if amount not exact):	Capital City Securities, LLC (CCS) was informed verbally by Enyi Kanu that four customers of his unaffiliated to CCS Investment Advisory Firm, Kanu Asset Management, LLC (Kanu) had made complaints about trading loses in their accounts. The four customers of Kanu were [REDACTED]/Rossini Management Group, LTD, [REDACTED], [REDACTED], and [REDACTED]. [REDACTED]/Rossini Management Group, LTD, [REDACTED], [REDACTED], and [REDACTED] were not customers of Capital City Securities, LLC (CCS) nor were their accounts held with CCS' custody and clearing firm, RBC. [REDACTED] settled with Kanu for \$35,000 on 11/7/2023. [REDACTED] settled with Kanu for \$100,000 on 12/12/2023. [REDACTED] settled with Kanu for \$15,000 on 10/30/2023. [REDACTED]/Rossini Management Group, LTD settled with Kanu for \$375,000 on 1/15/2024. Before [REDACTED]/Rossini Management Group, LTD settled they filed an FINRA Arbitration case no. 23-03151 which was settled and therefore withdrawn.
Is this an oral complaint?	No
Is this a written complaint?	Yes



Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-03151

Filing date of arbitration/CFTC reparation or civil litigation: 10/26/2023

Customer Complaint Information

Date Complaint Received: 11/28/2023

Complaint Pending? No

Status: Settled

Status Date: 01/15/2024

Settlement Amount: \$525,000.00

Individual Contribution Amount: \$5,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-03151

Date Notice/Process Served: 11/28/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/15/2024

Monetary Compensation Amount: \$375,000.00

Individual Contribution Amount: \$5,000.00

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WELLS FARGO FINANCIAL NETWORK, LLC

Allegations: COMPLAINT: CLIENT'S ATTORNEY ALLEGED ACCOUNT WAS EXCESSIVELY TRADED ACCOUNT AND THAT THE INVESTMENTS WERE UNSUITABLE. (1/1/11-12/31/12) ARBITRATION: CLAIMANT ALLEGES CHURNING IN ACCOUNTS BETWEEN 2011 AND 2012.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$40,799.42

Is this an oral complaint? No

Is this a written complaint? Yes



Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/14/2013

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/11/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 13-01352

Date Notice/Process Served: 06/11/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/24/2014

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING ANY LIABILITY THE FIRM SETTLED THE MATTER FOR \$10,000.00 TO AVOID THE EXPENSE AND UNCERTAINTY OF FURTHER ARBITRATION AND LITIGATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO FINANCIAL NETWORK, LLC

Allegations: COMPLAINT: CLIENT'S ATTORNEY ALLEGED ACCOUNT WAS EXCESSIVELY TRADED ACCOUNT AND THAT THE INVESTMENTS WERE UNSUITABLE. (1/1/11-12/31/12) ARBITRATION:CLAIMANT ALLEGES CHURNING IN ACCOUNTS BETWEEN 2011 AND 2012.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$40,799.42

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

**Customer Complaint Information**

Date Complaint Received: 03/14/2013
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/11/2013
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 13-01352
Date Notice/Process Served: 06/11/2013
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/24/2014
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount: \$0.00
Broker Statement I STILL DENY THE CLAIM AND STRONGLY BELIEVE THERE WAS NO WRONGDOING ON MY PART. I UNDERSTAND WELLS FARGO FINANCIAL NETWORK, LLC SETTLED THE MATTER FOR \$10,000 TO AVOID THE EXPENSE AND UNCERTAINTY OF FURTHER ARBITRATION AND LITIGATION COSTS.

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES INC.

Allegations: BROKER ALLEGEDLY FAILED TO CHANGE COURSE IN MID 2000 WHEN CLIENT ALLEGEDLY ASKED TO REDUCE RISK IN HIS ACCOUNT BY MOVING SOME FUNDS OUT OF TECHNOLOGY STOCKS. DAMAGES UNSPECIFIED BUT THE CLIENT APPEARS TO SEEK MORE THAN \$5000.00. ADDITIONAL COMPLAINT RECEIVED 6/25/02 ALLEGING BROKER OVERCONCENTRATED ACCOUNT IN UNSUITABLE OTC AND LISTED COMMON STOCKS FROM ABOUT 3/99 TO ABOUT 7/01. SEEKS \$150,000.00

Product Type: Equity - OTC
Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 10/24/2001
Complaint Pending? No



Status: Denied

Status Date: 07/09/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement SENT CLIENT A LETTER DENYING HIS CLAIMS. 1/29/02.
DENIED ALLEGATIONS - 7/9/02.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES

Allegations: CLIENT ALLEGES FA FAILED TO FOLLOW INSTRUCTIONS TO KEEP \$5,000 LIQUID IN ACCOUNT; AND CLIENT BELIEVED THAT HER ACCOUNT, AT LEAST SOME OF THE TIME, WAS INVESTED IN AGGRESSIVE SECURITIES INSTEAD OF THE MAODERATE INVESTMENTS (WHICH CLIENT SAYS SHE WANTED) AND THAT ALLOCATION RESULTED IN LOSSES IN THE ACCOUNT.

Product Type: Mutual Fund(s)

Alleged Damages: \$45,000.00

Customer Complaint Information

Date Complaint Received: 08/03/2001

Complaint Pending? No

Status: Denied

Status Date: 11/30/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement MR. KANU'S FIRM DENIED THE CLIENT'S ALLEGATIONS IN A LETTER DATED 11/30/01.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER HAS ALLEGED THAT HER PURCHASE OF TWO SUN AMERICA FINANCIAL ANNUITIES WERE UNSUITABLE. SHE HAS DEMANDED THAT THE SURRENDER PENALTIES OF \$19,770 BE WAIVED SO SHE CAN TERMINATE THE POLICIES.

Product Type:

Alleged Damages: \$19,770.00

Customer Complaint Information



Date Complaint Received:	01/07/1998
Complaint Pending?	No
Status:	Denied
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM REVIEWED THE ALLEGATIONS AND FOUND NO MERIT TO THE CLAIMS OF WRONGDOING. THE DEMANDS HAVE BEEN DENIED IN THEIR ENTIRETY. Not Provided



End of Report

This page is intentionally left blank.