

ITEM 1 COVER PAGE

**SUPERVISED PERSON BROCHURE**  
FORM ADV PART 2B

Tammi A. Dauby



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Jeffersonville, IN 47130

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[www.brookstonefinancial.com](http://www.brookstonefinancial.com)

This brochure supplement provides information about Tammi Dauby and supplements the PMB Capital Management LLC DBA Brookstone Financial brochure. You should have received a copy of that brochure. Please contact Tammi Dauby if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Tammi A. Dauby (CRD #4632144) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**MARCH 13, 2023**

## Brochure Supplement (Part 2B of Form ADV)

### Supervised Person Brochure

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#### Tammi A. Dauby

- Year of birth: 1980
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#### Item 2 - Educational Background and Business Experience

##### Educational Background:

- No post-secondary education

##### Business Experience:

- PMB Capital Management LLC dba Brookstone Financial; Investment Advisor Representative; 08/2021 – Present
  - Brookstone Financial, LLC; Insurance Agent; 07/2021 – Present
  - L&N Federal Credit Union; Employee; 01/2016 – 05/2021
  - LaSalle St. Investment Advisors, L.L.C.; Investment Advisor Representative; 12/2017 – 06/2021
  - LaSalle St. Securities, L.L.C.; Registered Representative; 12/2017 – 06/2021
  - Invest Financial Corporation; Investment Advisor Representative/Registered Representative; 02/2016 – 12/2017
  - Unemployed; 09/2015 – 12/2015
  - U.S. Bancorp Investments, Inc; Investment Advisor Representative/Registered Representative; 06/2011 – 08/2015
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#### Item 3 - Disciplinary Information

- A. Ms. Dauby has never been involved in a criminal or civil action in a domestic, foreign or military court of competent jurisdiction for which he:
1. Was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. Is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. Was found to have been involved in a violation of an investment-related statute or regulation; or
  4. Was the subject of any order, judgement or decree permanently or temporarily enjoining, or otherwise limiting, him from engaging in any investment related activity, or from violating any investment-related statute, rule, or order.
- B. Ms. Dauby never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which he:

1. Was found to have caused an investment-related business to lose its authorization to do business; or the subject of an order by the agency or authority;
  2. Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority (a) denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than \$2,500 on him.
- C. Ms. Dauby has never been the subject of a self-regulatory organization (SRO) proceeding in which he:
1. Was found to have caused an investment-related business to lose its authorization to do business; or
  2. Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members, or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than \$2,500.
- D. Ms. Dauby has not been involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

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**Item 4 - Other Business Activities**

Tammi Dauby is a licensed insurance agent. Approximately 50% of her time is spent on this activity. She will offer Clients products or services from this activity and receive separate compensation.

This practice represents a conflict of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

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**Item 5 - Additional Compensation**

Tammi Dauby receives commissions on the insurance she sells. She does not receive any performance-based fees.

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**Item 6 - Supervision**

Jermetria Robey is the Chief Compliance Officer of Brookstone Financial. Ms. Robey reviews Ms. Dauby's work through Client account reviews and quarterly personal transaction reports, as well as face-to-face and phone interactions. Ms. Robey can be reached at jrobey@brookstonefinancial.com or 812-288-9000.

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**Item 7 - Requirements for State-Registered Advisors**

- A. Ms. Dauby has not been involved in any of the following:
1. 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;
  - e) Dishonest, unfair or unethical practices.
2. been 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;
  - e) Dishonest, unfair or unethical practices.
- B. Ms. Dauby has never been the subject of a bankruptcy petition.