

*This brochure supplement provides information about Warren Bradford Cornell that supplements the Cornell Capital Group LLC brochure. You should have received a copy of that brochure. Please contact Shaun Clinton Cornell if you did not receive Cornell Capital Group LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Warren Bradford Cornell is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Cornell Capital Group LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Warren Bradford Cornell**

Personal CRD Number: 7139444

Investment Adviser Representative

Cornell Capital Group LLC  
1305 El Camino Ct  
Encinitas, CA 92024  
(858) 395-6387  
[shaun@cornell-capital.com](mailto:shaun@cornell-capital.com)

UPDATED: 03/24/2020

## Item 2: Educational Background and Business Experience

**Name:** Warren Bradford Cornell                      **Born:** 1947

### **Educational Background and Professional Designations:**

#### **Education:**

Ph.D., Financial Economics, Stanford University 1975

M.S., Statistics, Stanford University 1974

B.A., Physics, Philosophy, and Psychology, Stanford University 1970

#### **Business Background:**

08/2019 - Present                      Managing Director, Berkeley Research Group LLC

06/2009 - Present                      Emeritus Professor of Finance,  
UCLA Anderson School of Management

07/2009 - 07/2018                      Professor of Finance, Caltech

01/2011 - 01/2019                      Senior Consultant, Compass Lexecon

01/2003 - 01/2009                      Senior Consultant, Charles Rivers Associates

## 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**

Warren Bradford Cornell is an Emeritus Professor of Finance at the UCLA Anderson School of Management. He also is a Managing Director of Berkeley Research Group LLC where he provides service as a consultant and expert witness in litigation.

#### **Item 5: Additional Compensation**

Warren Bradford Cornell does not receive any economic benefit from any person, company, or organization, other than Cornell Capital Group LLC in exchange for providing clients advisory services through Cornell Capital Group LLC.

#### **Item 6: Supervision**

As the Chief Compliance Officer of Cornell Capital Group LLC, Shaun Clinton Cornell supervises all activities of the firm. Shaun Clinton Cornell's contact information is on the cover page of this disclosure document. Shaun Clinton Cornell adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.

## Item 7: Requirements For State Registered Advisers

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

- A. Warren Bradford Cornell 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. Warren Bradford Cornell has NOT been the subject of a bankruptcy.

*This brochure supplement provides information about Shaun Clinton Cornell that supplements the Cornell Capital Group LLC brochure. You should have received a copy of that brochure. Please contact Shaun Clinton Cornell if you did not receive Cornell Capital Group LLC's brochure or if you have any questions about the contents of this supplement.*

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## **Cornell Capital Group LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Shaun Clinton Cornell**

Personal CRD Number: 7079917

Investment Adviser Representative

Cornell Capital Group LLC  
1305 El Camino Ct  
Encinitas, CA 92024  
(858) 395-6387  
[shaun@cornell-capital.com](mailto:shaun@cornell-capital.com)

UPDATED: 03/24/2019

## Item 2: Educational Background and Business Experience

**Name:** Shaun Clinton Cornell      **Born:** 1979

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelor of Arts Music/Computer Science, UCSD - 2012

#### **Designations:**

##### **CFA - Chartered Financial Analyst**

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

##### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

##### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **Business Background:**

01/2019 - Present	Managing Member & CCO Cornell Capital Group LLC
06/2004 - Present	Self Employed
01/2013 - 02/2019	Analyst SMBP

### **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**

Shaun Clinton Cornell is a self-employed musician and composer.

### **Item 5: Additional Compensation**

Shaun Clinton Cornell does not receive any economic benefit from any person, company, or organization, other than Cornell Capital Group LLC in exchange for providing clients advisory services through Cornell Capital Group LLC.

### **Item 6: Supervision**

As the Chief Compliance Officer of Cornell Capital Group LLC, Shaun Clinton Cornell supervises all activities of the firm. Shaun Clinton Cornell's contact information is on the cover page of this disclosure document. Shaun Clinton Cornell adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.



## Item 7: Requirements For State Registered Advisers

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

- A. Shaun Clinton Cornell 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. Shaun Clinton Cornell has NOT been the subject of a bankruptcy.

*This brochure supplement provides information about Andrew Cornell that supplements the Cornell Capital Group LLC brochure. You should have received a copy of that brochure. Please contact Andrew Cornell if you did not receive Cornell Capital Group LLC's brochure or if you have any questions about the contents of this supplement.*

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## **Cornell Capital Group LLC**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Andrew Cornell**

Personal CRD Number: 7080451

Investment Adviser Representative

Cornell Capital Group LLC  
1305 El Camino Ct  
Encinitas, CA 92024  
(626) 377-0569  
[andrew@cornell-capital.com](mailto:andrew@cornell-capital.com)

UPDATED: 03/24/2020

## Item 2: Educational Background and Business Experience

**Name:** Andrew Cornell      **Born:** 1981

### **Educational Background and Professional Designations:**

#### **Education:**

Andrew Cornell has not received any higher education degrees after high school.

#### **Business Background:**

01/2019 - Present	Member Cornell Capital Group LLC
06/2008 - 03/2019	Vice President SMBP LLC

## 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

Andrew Cornell is not engaged in any investment-related business or occupation (other than this advisory firm).

## Item 5: Additional Compensation

Andrew Cornell does not receive any economic benefit from any person, company, or organization, other than Cornell Capital Group LLC in exchange for providing clients advisory services through Cornell Capital Group LLC.

## **Item 6: Supervision**

As a representative of Cornell Capital Group LLC, Andrew Cornell is supervised by Shaun Cornell, the firm's Chief Compliance Officer. Shaun Cornell is responsible for ensuring that Andrew Cornell adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Shaun Cornell is (858) 395-6387.

## Item 7: Requirements For State Registered Advisers

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

- A. Andrew Cornell 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. Andrew Cornell has NOT been the subject of a bankruptcy.