

Mark R. Humphreys

*LIG Capital Management, LLC*  
(LIG Capital Management, or LIGCM)

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FORM ADV PART 2B  
BROCHURE SUPPLEMENT

This brochure supplement provides information about the firm's principals and/or Executive Officers that supplements LIG Capital Management's brochure. You should have received a copy of that brochure. Please contact any of the firm's principals if you did not receive LIG Capital Management's brochure or if you have any questions about the contents of this supplement

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

## Item 2 Educational Background and Business Experience

**Mark R. Humphreys, born in 1969**

Education: California Institute of Technology, Pasadena, CA - B.S. Degree  
Business Experience: Registered Representative 1997-2012  
LIG Capital Management, Vice-President/Chief Compliance Officer, 1/2023  
to present  
LIG Capital Management, Vice-President, 1/2010 to 1/2023  
Compass Wealth Management. President, 1/2005 to 12/2012

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Mark R. Humphreys has no required disclosures under this item.

## Item 4 Other Business Activities

### Investment-Related Activities:

1. The principal business of LIGCM is to provide investment related services. These services may include investment portfolio management, financial planning and investment consulting. LIGCM's executive officers spend approximately 100% of their time in this capacity.

### Non Investment-Related Activities:

Neither principals nor Executive Officers of LIGCM are actively engaged in any other business or occupation for compensation that provides a substantial source of income or involves a substantial amount of time.

## Item 5 Additional Compensation

Neither principals nor Executive Officers of LIGCM receive an "economic benefit" from someone who is not a client for providing investment advice or other advisory services to clients, for example, a sales award or other prize.

## Item 6 Supervision

Mark Humphreys is the sole supervisor of the firm.

Title: Chief Compliance Officer

Phone Number: (405) 463-3334

LIG Capital Management has adopted a Code of Ethics pursuant to the US Securities & Exchange Commission's and State of Oklahoma's requirement that we establish, maintain, and enforce a written code of ethics: (a) to protect the firm's clients by deterring misconduct, inadvertent or otherwise; (b) to remind employees that they are trusted by clients and must act with complete propriety at all times; and (c) to protect the reputation of the firm.

Supervised persons are also expected to act in the best interests of clients and place clients' interests before their own interests.

1. They have an obligation to protect the firm's reputation by conducting business with the honesty and integrity expected of an investment professional.
2. They should use particular care in determining the applicable fiduciary duty and shall comply with such duty as to those persons and interests to whom the duty is owed.

Internal Controls:

1. Our Code of Ethics includes oversight, enforcement, and recordkeeping provisions;
2. We require delivery to and acknowledgement of receipt of the Code of Ethics by every employee;
3. Supervised persons are required to report any violations of the Code of Ethics (or suspected violations thereof) promptly to the firm's Chief Compliance Officer.
4. Failure to comply with the firm's Compliance Policies, including the firm's Code of Ethics, may result in disciplinary action, including termination of employment.