



John D. Duffy, CPWA[®]
President

Broad Cove Capital

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This brochure supplement provides information about John D. Duffy that supplements the Broad Cove Capital brochure. You should have received a copy of that brochure. Please contact Matthew E. D. Daigneault, Chief Compliance Officer if you did not receive Broad Cove Capital's brochure or if you have any questions about the contents of this supplement.

Additional information about John D. Duffy is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

John D. Duffy, CPWA[®], President, was born in 1973. Mr. Duffy earned a Bachelor of Arts degree in Political Science from Dickinson College. Mr. Duffy is also a Registered Representative with Purshe Kaplan Sterling Investments, a FINRA registered broker-dealer (since May 2015). Prior to founding Broad Cover Capital in August 2019, Mr. Duffy was an Investment Advisor Representative with Cribstone Capital Management, LLC (05/2015 to 08/2019), and a Registered Representative with LPL Financial (October 2008 to May 2015).

The Certified Private Wealth Advisor (CPWA[®]) designation is administered by the Investments & Wealth Institute and requires candidates to have a Bachelor's degree from an accredited college or university or hold certain industry designations or licenses, demonstrate a satisfactory record of ethical conduct as determined by the Investments & Wealth Institute's Admissions Committee, and have at least five years of professional client-centered experience in financial services or a related industry. Candidates must then complete a six-month pre-study educational component and then attend an educational program offered through the University of Chicago Booth School of Business or the Yale School of Management. Upon completion, the candidates must successfully complete a final examination. To maintain the certification, designation holders must complete 40 hours of continuing education every two year.

Item 3 Disciplinary Information

There are no legal or disciplinary events or proceedings to report concerning Mr. Duffy.

Item 4 Other Business Activities

Mr. Duffy is not actively engaged in any non-investment-related business or occupation outside of Broad Cove Capital.

Mr. Duffy is a Registered Representative with Purshe Kaplan Sterling Investments, a FINRA registered broker-dealer and is also licensed and registered as an insurance agent to sell life, accident and other lines of insurance for various insurance companies. Therefore, he will be able to purchase commission-based investment products and insurance products for any client in need of such services and will receive separate, yet typical compensation in the form of commissions for the purchase of those investment and insurance products. This creates a conflict of interest because of the receipt of additional compensation by Mr. Duffy, which is in addition to the asset management fees charged by Broad Cove Capital. Clients are not obligated to use Mr. Duffy for broker-dealer commission-based investment products or insurance products services. However, in such instances, there is no advisory fee associated with these investment and insurance products, and clients will be made aware of all commissions associated with the products prior to the transactions.

Item 5 Additional Compensation

Mr. Duffy does not receive compensation or other economic benefit from anyone who is not a client for providing advisory services.

Item 6 Supervision

Matthew E. D. Daigneault, Broad Cove Capital's, Chief Compliance Officer, monitors the investment advisory activities, personal investing activities, and adherence to the Advisor's compliance program and code of ethics of the Broad Cove Capital supervised persons on a continuous basis using various methods, including periodic inspection and review of client securities positions and transaction activity, obtaining certifications of compliance with company policies and procedures from those supervised, and obtaining and reviewing brokerage statements or transactions and holdings reports of the supervised persons. Mr. Daigneault can be reached at 207-781-7800 or matt@broadcovecapital.com.