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This brochure provides information about the qualifications and business practices of Nanban Capital, LLC. If you have any questions about the contents of this brochure, please contact us at 785-608-1015 and gk@nanbanenterprise.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

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Additional information about Nanban Capital, LLC also is available on the SEC's website at www.adviserinfo.sec.gov



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Section-1: RIA office staff

Gopala Krishnan (GK) - Registered Investment Advisor

GK will be meeting and advising the clients.

Manivannan Shanmugam - Chief Operation Officer

Mani will not engage in advising clients. Mani is responsible for smooth operations of the firm.

Shakthi Palani Gounder - Chief Information Officer

Shakthi will not engage in advising clients. Shakthi is responsible for providing technology services and he will act as Chief Compliance officer for the first year.

This brochure has not been approved by SEC or any state securities authority.

The term registered investment advisers (RIA) qualification does not imply a certain level of skill or training. It means that I have passed the Series 65 exam and I am fully versed with financial terms and instruments. This qualification does not guarantee that I can predict the stock market and always generate returns.



Section-2: Material changes

Nanban Capital LLC came into existence only in July-2020. This is the first time; we are publishing the brochure.

Section-3: Advisory Business

Nanban Capital LLC came into existence in July-2020. Currently, we do not have any clients.

Nanban Capital would provide paid financial advisory services to clients who would need help managing their investment accounts like self-managed IRAs, self-managed rollover IRAs, private accounts etc.

As per our business policy, we will not solicit any clients. Clients would have to email us to get our services. Based on referrals from friends and family, we would provide consultation to prospective clients.

When we have discussion with prospective clients, we would educate them on our investment methodology.

After full concurrence and written agreement from the client, we would start managing their existing portfolios under asset under management (AUM) model. Clients would give “discretionary privilege” to Nanban Capital LLC to trade their accounts.

In our model, the clients will have full access to their accounts at any time. The company will only invest in broad market indexes and will use advanced derivatives to generate consistent cash flow.

If clients are not satisfied with our services, they can give 30 days’ notice to liquidate their account and move to other advisors of their choice.

We do not provide any other advisory services other than managing the trades for our clients.



Section-4: Fees and Compensation

Our fees will range from 1.5% to 1.75% per year based on the total value of the portfolio. The fee structure and schedule are negotiable.

- If the portfolio value is above or equal to \$1M, then the fixed fee is 1.5% per year.
- If the portfolio value is less than \$1M, then the fixed fee is 1.75% per year.

The fees will be deducted by custodian (Interactive Brokers) on a quarterly basis and paid to Nanban Capital. The yearly fee would be divided by four to calculate the quarterly fee. The quarterly fee would be applied to the ending balance of the quarter.

In addition to above mentioned fixed fees, the trading fees in the brokerage account will be paid by the client funds.

Nanban Capital will not charge pre-paid fees for providing consultation. All consultations are free of charge.

Nanban Capital does not receive commission or fees from broker dealers or mutual fund companies. We only invest client funds in exchange traded funds that cover entire market (S&P 500, Nasdaq and Russell).

Section-5: Performance-Based Fees and Side-By-Side Management

Nanban Capital LLC charges fixed fee based on the size of account under management. Performance based fees are not applicable to services provided under asset under management (AUM) model.

Nanban Investments LLC, a private fund manager managed by the same managers who manage Nanban Capital LLC has performance-based fees. Nanban Capital will not recommend or trade the securities of Nanban Investments LLC to its clients.

Section-6: Types of clients

Nanban Capital LLC came into existence in July-2020. Currently, we do not have any clients.

Nanban Capital would provide paid financial advisory services to clients who would need help managing their investment accounts like self-managed IRAs, self-managed rollover IRAs, private accounts etc.

Nanban Capital LLC would only manage accounts with minimum cash value of \$40,000 USD.

As per our business policy, we do not solicit any clients. Clients would have to email us to get our services. Based on referrals from friends and family, we would provide consultation to prospective clients.



Section-7: Methods of Analysis, Investment Strategies and Risk of Loss

Nanban Capital employs a combination of fundamental and technical analysis methods in developing investment strategies for its Clients through our internal process aimed at yielding optimum results. This process, known as “GK Strategies”, is a comprehensive method of research and analysis performed by Nanban Capital focused on maintaining cash flow, control, compounding and consistency in investing and rebalancing your accounts to maintain portfolio diversity.

Nanban Capital may utilize third party sources to help to form opinion on investment ideas. These sources include but are not limited to other investment companies, third-party research, Internet sources, and company documents, including annual reports, prospectuses, press releases and research prepared by others.

We may use one or more of the following methods of analysis or investment strategies when providing investment advice to you:

Fundamental Analysis - use of economic and company specific data to evaluate investment opportunities. These criteria are generally ratios and trends that may indicate the overall strength and financial viability of the entity being analyzed. Nanban Capital monitors these economic indicators to determine if portfolio adjustments are appropriate.

Technical Analysis - relies on past market data and company trading data to determine the investment decisions made on behalf of clients. Technical analysis may involve the use of charts to identify market patterns and trends, which may be based on investor sentiment rather than the fundamentals of the company. The primary risk in using technical analysis is that spotting historical trends may not help to predict such trends in the future. Even if the trend will eventually reoccur, there is no guarantee that we will be able to accurately predict such a reoccurrence.

Charting Analysis - involves the gathering and processing of price and volume information for a particular security. This price and volume information is analyzed using mathematical equations. The resulting data is then applied to graphing charts, which is used to predict future price movements based on price patterns and trends.

Nanban Capital generally employs a long-term investment strategy for Clients, as consistent with their financial goals. We will typically hold all or a portion of a security for more than a year, but may hold for shorter periods for the purpose of rebalancing a portfolio or meeting the cash needs of Clients. At times, we may also buy and sell positions that are more short-term in nature, depending on the goals of the Client and/or the fundamentals of the security, sector or asset class.

Objectives, Principal Investment Strategies and Material Risks

Investment Objective(s): The strategy seeks long-term growth of the account using techniques focused on cash flow, control, compounding and consistency.

Principal Investment Strategy: Client portfolios are invested in actively managed, low cost ETFs (SPY, QQQ, IWM), mutual funds, and other available securities to accomplish a highly sophisticated asset



allocation strategy. Superior ETFs, mutual funds, and other securities from the largest most experienced index providers have been carefully selected based upon their tracking error to benchmarks, breadth of the securities within the index, and assets under management by managers.

Client portfolios will be periodically managed to “Sell Covered Call” and “Secured PUT” options to generate cash flow.

Returns come from clients’ willingness to withstand ups and downs in the market. Our focus is on ensuring that clients’ returns are reliable based upon the level of risk taken. We will invest each of clients’ account(s) in one of our Model Portfolios, which are built using various proportions of asset allocations.

Investing in securities has investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear potential losses. None of the pooled investment vehicles or Funds for which Nanban Capital provides portfolio management services is a deposit in any bank, nor are those investment vehicles or Funds insured or guaranteed by the Federal Deposit Insurance Corporation or any other governmental agency.

Material Risks: Derivatives Risk; Focused Investment Risk; Interest Rate Risk; Liquidity Risk; Management Risk; Market and Economic Risk; Risks Affecting Specific Issuers; Short Sale Risk.

Derivatives Risk – Investments in derivatives involve the risks associated with the securities or other assets underlying the derivatives, and also may involve risks different or greater than the risks affecting the underlying assets, including the inability or unwillingness of the other party to a derivative to perform its obligations to an account, an account’s inability to sell, or delays in selling or closing, positions in derivatives, and difficulties in valuing derivatives.

Focused Investment Risk – An investment strategy that invests in a focused portfolio of issuers may be subject to increased risk because changes in the value of one of the issuers may have a greater impact on the total value of the portfolio than if the portfolio is invested in a larger number of issuers. Further, to the extent that some of the issuers in the portfolio are in the same or related industries or sectors, any economic, political, regulatory or other event affecting one of those industries or sectors may have a greater impact on the total value of the portfolio.

Interest Rate Risk – When interest rates increase, the value of the account’s investments may decline, and the account’s share value may be reduced. This effect is typically more pronounced for intermediate and longer-term obligations. When interest rates decrease, the account’s current income may decline.

Liquidity Risk – Due to a lack of demand in the marketplace or other factors, an account may not be able to sell some or all of the investments promptly or may only be able to sell investments at less than desired prices. The market for lower-rated and unrated debt obligations (including particularly “junk” or “high yield” bonds) and debt obligations backed by so-called “subprime” mortgages may be less liquid than the market for other obligations, making it difficult for an account to value its investment in a lower-rated or unrated obligation or to sell the investment in a timely manner or at an acceptable price.

Management Risk – Nanban Capital client accounts are actively managed portfolios, and the value of the accounts may be reduced if Nanban Capital pursues unsuccessful investments or fails to correctly identify risks affecting the broad economy or specific issuers in which the accounts invest.

Market and Economic Risk – The value of an account’s investments may decline due to changes in general economic and market conditions. The value of a security held in an account may change in



response to developments affecting entire economies, markets or industries, including changes in interest rates, political and legal developments, changes in Federal Reserve policy, and general market volatility.

ETF Risk – The performance of an ETF is subject to market risk, including the possible loss of principal. The price of the ETFs will fluctuate with the price of the underlying securities that make up the funds. In addition, ETFs have a trading risk based on the loss of cost efficiency if the ETFs are traded actively and a liquidity risk if the ETFs has a large bid-ask spread and low trading volume. The price of an ETF fluctuates based upon the market movements and may dissociate from the index being tracked by the ETF or the price of the underlying investments. An ETF purchased or sold at one point in the day may have a different price than the same ETF purchased or sold a short time later.

Risks Affecting Specific Issuers – The value of an equity security or debt obligation may decline in response to developments affecting the specific issuer of the security or obligation, even if the overall industry or economy is unaffected. These developments may include a variety of factors, including but not limited to management issues or other corporate disruption, political factors adversely affecting governmental issuers, a decline in revenues or profitability, an increase in costs, or an adverse effect on the issuer's competitive position.

Short Sale Risk – A short sale involves the sale of a borrowed security, in anticipation of purchasing that same security at a lower price in the future in order to close the short position. If the value of the borrowed security increases between the date the account enters into the short sale and the date that the account buys that security to cover its short position, the account may experience a loss.

Additional Risks: COVID 19 (Coronavirus) Risks; Cybersecurity Risks

Coronavirus Outbreak Risks – The recent global outbreak of the 2019 novel coronavirus (“COVID-19”), together with resulting voluntary and U.S. federal and state and non-U.S. governmental actions, including, without limitation, mandatory business closures, public gathering limitations, restrictions on travel and quarantines, has meaningfully disrupted the global economy and markets. Although the long-term economic fallout of COVID-19 is difficult to predict, it has and is expected to continue to have ongoing material adverse effects across many, if not all, aspects of the regional, national and global economy. Furthermore, the Adviser's ability to operate effectively, including the ability of its personnel or its service providers and other contractors to function, communicate and travel to the extent necessary to carry out the Funds' investment strategies and objectives and the Adviser's business and to satisfy its obligations to the funds, their investors, and pursuant to applicable law, has been, and will continue to be, impaired. The spread of COVID-19 among the Adviser's personnel and its service providers would also significantly affect the Adviser's ability to properly oversee the affairs of the Funds, which could result in a temporary or permanent suspension of a Fund's investment activities or operations.

Cybersecurity Risk – In addition to the Material Risks listed below for our strategy, investing involves various operational and “cybersecurity” risks. These risks include both intentional and unintentional events at Nanban Capital or one of its third-party counterparties or service providers, that may result in a loss or corruption of data, result in the unauthorized release or other misuse of confidential information, and generally compromise Nanban Capital's ability to conduct its business. A cybersecurity breach may also result in a third party obtaining unauthorized access to Nanban Capital clients' information, including social security numbers, home addresses, account numbers, account balances, and account holdings.

Nanban Capital has established business continuity plans and risk management systems designed to reduce the risks associated with cybersecurity breaches. However, there are inherent limitations in these



plans and systems, including that certain risks may not have been identified, in large part because different or unknown threats may emerge in the future. As such, there is no guarantee that such efforts will succeed, especially because Nanban Capital does not directly control the cybersecurity systems of issuers, trading counterparties, or third-party service providers. There is also a risk that cybersecurity breaches may not be detected.

Since we only invest in major indices and not in individual stocks or mutual funds or bonds etc., we do not rely on technical or fundamental analysis. We remain market neutral all the time and generate cash consistently.

The risk of loss is always there. We minimize the loss by keeping the PUT option in place all the time. This way, the account is protected from severe draw down.

Section-8: Disciplinary Information

Nanban Capital LLC came into existence in July-2020. Currently, we do not have any disciplinary information to disclose.

Section-9: Other Financial Industry Activities and Affiliations

Nanban Capital LLC came into existence in July-2020. Currently, the Firm does not have any other financial industry activities.

Nanban Investments LLC, a hedge fund managed by the same managers who manage Nanban Capital LLC. The managers are compensated for managing the hedge fund.

Nanban Capital LLC will not recommend or trade the securities of Nanban Investments LLC to its clients.

Section-10: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Nanban Capital will fulfill its fiduciary duty toward its clients by implementing investment strategies based on detailed research and market analysis to generate and maintain a diversified portfolio of stock, ETFs, mutual funds and other securities based on Client needs. With this objective in mind, we will maintain strict adherence to applicable federal and state regulations, disclosures, and notice requirements while also closely monitoring client risk tolerance and investment objectives in providing investment advice.

Code of Ethics- Customer is always first. We have a 100% fiduciary duty towards customer. We disclose all material facts before customer secures our services.
Upon request, a copy of our code of ethics will be made available.

We only buy or sell three exchange traded funds (ETFs)- SPY, QQQ, IWM. We believe there is no conflict to disclose here. We do not buy or sell individual stocks or mutual funds.



In our personal accounts also, we trade the same three exchange traded funds - SPY, QQQ and IWM. Since these are ETFs and freely trade on exchanges, there is conflict to report here.

Section-11: Brokerage Practices

We only work with two brokers (TD Ameritrade and Interactive Brokers) to handle our trades that we put in the client accounts.

Since we only trade SPY, QQQ and IWM, there is no commission for trading ETFs. When we apply option strategies to generate income, there is a cost of \$0.65 per lot.

The brokerage commission structure will be disclosed during account creation process.

Nanban Capital will not accept any commissions from brokers for client referrals.

Section-12: Review of Accounts

Nanban Capital LLC will review accounts with its clients once a year. Since we educate the client on the investment methodology that we use, in the beginning, once a year check point is enough.

However, should a client requests for a review, we would certainly conduct the review with them.

Section-13: Client Referrals and Other Compensation

Nanban Capital LLC will not pay anyone for referring clients. We do not believe in paying referral fees. Our business model is to work directly with the clients without any middleman. This way we are always performing 100% fiduciary duty and returning the maximum capital back to the clients.

Section-14: Custody

Nanban Capital LLC will not have custody of client accounts.

Based on publicly available information, we have chosen TD Ameritrade and Interactive brokers as the custodians of our client accounts. The clients will receive monthly or quarterly electronic statements from the custodian.

Section-15: Investment Discretion

In our business model, Nanban Capital LLC will always have discretionary authority to place trades.

This will be disclosed in the beginning and client would have to sign the disclosure agreements. We will not manage any accounts without discretionary authority.



Section-16: Voting Client Securities

In our business model, Nanban Capital LLC will always invest client funds in three ETFs – SPY, QQQ, and IWM. Since these are not individual companies, the voting related topics are not applicable. There is no conflict of interest to disclose.

Section-17: Financial Information

In our business model, Nanban Capital LLC will not charge pre-paid fees to manage client accounts. Please refer to fees section above to learn about our fee structure.

The Brochure Supplement

Date of the brochure: 2020-10-20

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Section-1: RIA office staff

Gopala Krishnan (GK) - Registered Investment Advisor

GK will be meeting and advising the clients.

Manivannan Shanmugam - Chief Operation Officer

Nanban Capital LLC
5951 Trantina Ln
Frisco, TX, USA
Phone - 862-812-0883

Mani will not engage in advising clients. Mani is responsible for smooth operations of the firm.

Shakthi Palani Gounder - Chief Information Officer

Nanban Capital LLC
5951 Trantina Ln
Frisco, TX, USA
Phone- 972-900-0270

Shakthi will not engage in advising clients. Shakthi is responsible for providing technology services and he will act as Chief Compliance officer for the first year.



Section-2: Educational Background and Experience

Gopala Krishnan (GK) - Registered Investment Advisor

Prior to joining as CEO of Nanban Group, GK was in several senior level executive roles in a fortune 100 Information Technology (IT) Service company. GK has used his extensive educational background in Mathematics, Statistics, Computer Science and Engineering and MBA in Finance to develop investment strategies.

Manivannan Shanmugam - Chief Operation Officer

A Senior IT leader with proven expertise in operational and technical leadership with Fortune 100 Bank, experienced in running Data Analytics division for various banking products. He also led Regulatory Audits at various financial institutions while he was associated with Big 4 Consulting firms.

Mani has demonstrated excellence in building strong relationships & trust at every level of the organization with a passion for people development, building strong self-organizing teams to deliver superior results, maintaining great customer relationships and bringing in operational efficiency delivering improved productivity and reduced risk. He has got bachelor's degree in Commerce and Master's Degree in Computer Science with certifications in Data Analytics / Business Intelligence area.

Shakthi Palani Gounder - Chief Information Officer

An Innovative & Thought leader, experience in leading Wealth Management Industry along with decade of experience in Analytics and Data management, he has lead futuristic data driven products for Investment Advisors, invented and delivered products that helped set strategic direction in the organization. An Engineering graduate from CEG Chennai, India and FinTech education in HarvardX, he has passion towards stocks, trading strategies and knowledge sharing.



Section-3: Disciplinary Information

Nanban Capital LLC came into existence in July-2020. Currently, we do not have any disciplinary information to disclose. We are brand new to registered investment advisor business.

Section-4: Other Business Activities

Nanban Investments LLC, a hedge fund managed by the same managers who manage Nanban Capital LLC. The managers are compensated for managing the hedge fund.

Nanban Capital LLC will not recommend or trade the securities of Nanban Investments LLC to its clients.

Gopala Krishnan is a Manager and designated officer of Nanban Capital LLC.

Gopala Krishnan is currently affiliated with Nanban Investments-2020-June-Fund, LLC, Nanban Investmetns 2020 Sep Fund, LLC, and Nanban Investments LLC.

Section-5: Additional Compensation

There is no additional compensation to disclose. Please refer to above sections for that.

Section-6: Supervision

Gopala Krishnan is the only RIA who will provide advisory services to clients. We will disclose other members of the company as they get the appropriate credentials and licenses to provide advisory services.