

Bearing Point Capital, LLC  
d.b.a.



**BEARING POINT**  
CAPITAL

**CRD #332023**

**FORM ADV - SCHEDULE 2B - GROUP SUPPLEMENT**

**MARCH 2026**

**[www.bearingpointcap.com](http://www.bearingpointcap.com)**

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This brochure supplement provides information about the Supervised Persons listed on the following page that supplements Bearing Point Capital's brochure. You should have received a copy of that brochure. Please contact Chris Nelson at (513) 977-8393 and/or via email at [chris.nelson@dinsmorecomplianceservices.com](mailto:chris.nelson@dinsmorecomplianceservices.com) if you did not receive Bearing Point Capital's brochure or if you have any questions about the contents of this supplement. Additional information about these Supervised Persons is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) or its own website at [www.bearingpointcap.com](http://www.bearingpointcap.com)

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## **Doug Dirks (CRD # 4068542)**

### **Item 2. Educational Background and Business Experience**

Mr. Dirks was born in 1957

#### **Education**

- Iowa State University – B.S. Agriculture Economics - 1979

#### **Business Experience**

- 8/2024 – Present – Bearing Point Capital – Financial Advisor
- 2/2018 – 8/2024 – Morgan Stanley – Financial Advisor
- 11/2016-1/2018 – Wells Fargo Clearing Services, LLC – Senior Private Banker/Registered Representative
- 12/2000 – 1/2018 – Wells Fargo Bank – Private Banking Reg. Manager
- 1/2011 – 11/2016 – Wells Fargo Advisors, LLC – Registered Representative

Mr. Dirks has passed Series 63 (12/1999), Series 65 (12/1999), SIE (10/2018), and Series 7 (11/1999)

### **Item 3. Disciplinary Information**

Mr. Dirks does not have any disciplinary information to disclose.

### **Item 4. Other Business Activities**

Mr. Dirks does not have any outside business activities to disclose.

### **Item 5. Additional Compensation**

Mr. Dirks does not have any additional compensation to disclose.

### **Item 6. Supervision**

Thomas Hawley, Gregg Huberty and Patrick Smith are the Executive Officers of Bearing Point Capital and supervise all activities of the firm, including each other's activities. All Supervised Person's compliance-related activities are monitored by Bearing Point Capital's Chief Compliance Officer, Chris Nelson. The Executive Officers and Chris Nelson can all be reached at 952-800-6301.

## Patrick Smith (CRD # 4702735)

### Item 2. Educational Background and Business Experience

Mr. Smith was born in 1968

#### Education

- The University of Notre Dame – B.A. Business Administration – 1990
- The University of Notre Dame – J.D./M.B.A. - 1995

#### Business Experience

- 8/2024 – Present – Bearing Point Capital – Partner and Co-Founder
- 11/2015 – 8/2024 – Morgan Stanley – Financial Advisor
- 1/2011 – 11/2015 – Wells Fargo Advisors, LLC – Registered Representative
- 12/2002 – 11/2015 – Wells Fargo Bank – Wealth Advisor

Mr. Smith has passed Series 7 (1/2004), Series 9 (11/2004), Series 10 (7/2005), SIE (10/2018), and Series 66 (2/2004).

### Item 3. Disciplinary Information

Mr. Smith does not have any disciplinary information to disclose.

### Item 4. Other Business Activities

Mr. Smith does not have any outside business activities to disclose.

### Item 5. Additional Compensation

Mr. Smith does not have any additional compensation to disclose.

### Item 6. Supervision

Thomas Hawley, Gregg Huberty and Patrick Smith are the Executive Officers of Bearing Point Capital and supervise all activities of the firm, including each other's activities. All Supervised Person's compliance-related activities are monitored by Bearing Point Capital's Chief Compliance Officer, Chris Nelson. The Executive Officers and Chris Nelson can all be reached at 952-800-6301.

## **Thomas Hawley, CFA® (CRD #4226875)**

### **Item 2. Educational Background and Business Experience**

Mr. Hawley was born in 1978

#### **Education**

- Gustavus Adolphus College – B.A. Finance - 2000

#### **Business Experience**

- 8/2024 – Present – Bearing Point Capital – Partner, Co-Founder and Chief Investment Officer
- 12/2015 – 8/2024 – Morgan Stanley – Financial Advisor
- 11/2015 – 12/2015 – Morgan Stanley – Client Service Associate
- 1/2004 – 11/2015 – Wells Fargo Private Bank – Senior Investment Strategist

Mr. Hawley has passed SIE (10/2018), Series 6 (7/2000), Series 7 (12/2015), Series 63 (8/2000), and Series 66 (12/2015).

### **Item 3. Disciplinary Information**

Mr. Hawley does not have any disciplinary information to disclose.

### **Item 4. Other Business Activities**

Mr. Hawley does not have any outside business activities to disclose.

### **Item 5. Additional Compensation**

Mr. Hawley does not have any additional compensation to disclose.

### **Item 6. Supervision**

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## **Gregg Huberty, CFP® (CRD #4619936)**

### **Item 2. Educational Background and Business Experience**

Mr. Huberty was born in 1973

#### **Education**

- University of Saint Thomas – B.A. Accounting - 1995

#### **Business Experience**

- 8/2024 – Present – Bearing Point Capital– Partner and Co-Founder
- 12/2015 – 8/2024 – Morgan Stanley – Financial Advisor
- 11/2015 – 12/2015 – Morgan Stanley – Client Service Associate
- 1/1995 – 11/2015 – Wells Fargo Private Bank – Accountant/Auditor

Mr. Huberty has passed SIE (10/2018), Series 7 (11/2015), and Series 66 (12/2015).

### **Item 3. Disciplinary Information**

Mr. Huberty does not have any disciplinary information to disclose.

### **Item 4. Other Business Activities**

Mr. Huberty does not have any outside business activities to disclose.

### **Item 5. Additional Compensation**

Mr. Huberty does not have any additional compensation to disclose.

### **Item 6. Supervision**

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## Information About Professional Designations

### Certified Financial Planner (CFP®)

Certified Financial Planners are licensed by the CFP Board to use the CFP® mark. CFP® certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net)).
- Successful completion of the CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.

### Chartered Financial Analyst (CFA®)

Chartered Financial Analysts are licensed by the CFA® Institute to use the CFA® mark. CFA® certification requirements:

- Hold a bachelor's degree from an accredited institution or have equivalent education or work experience.
- Successful completion of all three exam levels of the CFA® Program.
- Have 48 months of acceptable professional work experience in the investment decision-making process.
- Fulfill society requirements, which vary by society. Unless you are upgrading from affiliate membership, all societies require two sponsor statements as part of each application; these are submitted online by your sponsors.
- Agree to adhere to and sign the Member's Agreement, a Professional Conduct Statement, and any additional documentation requested by CFA® Institute.

### Juris Doctor (JD)

The American law degree, called a Juris Doctor (JD), is a three-year professional degree. Law school applicants must already have a bachelor's degree. It typically takes three years to complete the J.D. degree, after which the graduate must pass the bar exam to practice law.