



## Wealth Management Built on Integrity and Experience

### How Successful Portfolios Can Help You

Prepared March 1, 2011

[www.successfulportfolios.com](http://www.successfulportfolios.com)

300 South Duncan Avenue, Suite 166

Clearwater, FL 33755

**(800) 454-6419**





# Table of Contents

Introduction to Our Firm	3
Meet Our Team	4-6
Our Wealth Management Process	7
Our Capabilities	8
Investment Philosophy	9
What Makes Us Different?	10
Factors to Consider When Choosing an Advisor	11
Why Select a CFA Charterholder?	12
Why Interactive Brokers (IB)?	13
Your Personalized Wealth Plan	14



# Our Firm

At Successful Portfolios LLC, we understand the unique challenges that come with managing wealth. We provide guidance and solutions based on a thorough understanding of each client's situation and goals.

Our professionals bring proven expertise to bear on every aspect of a client's wealth—from accumulation and growth through preservation and distribution.

By taking an objective and proactive approach that reflects the nuances and complexities of each situation, we build trusted relationships.

## Successful Portfolios LLC

<b>Established:</b>	<b>February 2010</b>
<b>Staff:</b>	<b>Three Professionals</b>
<b>Years of Investment Experience:</b>	<b>Fifty-years combined</b>
<b>Compensation Model:</b>	<b>Non-commission (Fee-only)</b>
<b>Client Assets Under Management:</b>	<b>More than \$61,000,000</b>
<b>Number of Clients:</b>	<b>Thirty-one</b>
<b>Client Choices for Brokerage and Asset Custody:</b>	<b>Interactive Brokers, Scottrade</b>



# Our Team

## H. Parker Evans, CFA, CFP, CMT

*President and Chief Investment Strategist*



- ✓ Licensed professional investment advisor for thirty years
- ✓ Chartered Financial Analyst (CFA), Certified Financial Planner (CFP), Chartered Market Technician (CMT).
- ✓ Commentary and papers published in Journal of Financial Planning, CFA Magazine and Journal of Technical Analysis.
- ✓ Former President of First Discount Securities Corp., a pioneering discount brokerage firm acquired by First Union (Wachovia)
- ✓ Former Vice President with First Union, Smith Barney, and Fifth Third Private Bank.
- ✓ B.A., Economics and Wall Street Journal Award winner for outstanding academic achievement from Eckerd College.
- ✓ MBA with Honors from Nova Southeastern University.
- ✓ Passed multiple FINRA licensing exams including Registered Options Principal, General Securities Representative (Series 7), Municipal Securities Principal, Financial and Operations Principal, General Securities Principal, and Investment Advisor Representative.



# Our Team



## E. Michael Bush, CRPC

*Vice President – Wealth Advisor*

Michael Bush is a licensed financial advisor with 22 years experience. He holds FINRA Series 7, 26, 63 and 65 licenses, is a Chartered Retirement Planning Counselor (CRPC) and is licensed by the State of Florida to sell insurance. His experience includes work with Colonial Brokerage, Southtrust Securities, Huntington Investments. Mike graduated cum laude from West Virginia University.



## Joseph C. Baer

*Research Analyst – Assistant Wealth Advisor*

Joe Baer started working for Successful Portfolios in September 2010 as an apprentice Investment Analyst. His strong passion for finance, particularly the stock market, led him to search for an internship within the investment management field. Joe is currently a senior at the University of South Florida, pursuing a Bachelor of Science in Business with a major in Finance. He will graduate in December 2011.



# Our Team



## Dr. John P. Barrett

*Founder*

Dr. John P. Barrett, a retired Tampa Bay orthopedic surgeon, is an internationally known innovator, investor, philanthropist and entrepreneur. He is the Founder and President of the Arthritis Research Institute of America. Dr. Barrett's passion for investing inspired him to create Successful Portfolios LLC.

# Our Wealth Management Process

As our client, you will benefit from a collaborative relationship that addresses—and anticipates—your needs. We follow a rigorous and disciplined wealth management process that provides a structured approach while allowing for careful customization as your unique needs and situation dictate.



# Our Capabilities

Recognizing that no two clients are alike, we take the time to listen—and to understand—your particular circumstances, goals, and aspirations. Our approach is designed to create a plan, unique to you, that achieves your near- and long-term goals. When crafting a wealth management plan, we draw on our expertise in the following areas:

- **Financial planning**
- **Retirement income planning**
- **Tax avoidance strategies**
- **Portfolio management**
- **Trade execution**
- **Stocks**
- **Bonds**
- **Listed Options**
- **Exchange Traded Funds (ETFs)**
- **Alternative Assets**







# Our Investment Philosophy

We believe that individuals and families can benefit from rigorous and sophisticated portfolio management. Our approach to managing client assets is rooted in the following core strengths:

**Deep understanding.** Before we invest any money for a client, we first determine the client's goals, tolerance for risk, and time horizon. We measure these factors against our extensive knowledge of investments. Only then do we consider asset allocation and diversification.

**Disciplined portfolio construction.** Based on the specifics of each client's situation, we provide exposure to an appropriate mix of growth and income assets. We also seek to provide diversification within each asset class—across sectors, industries, and countries.

**Rigorous oversight.** When implementing a client's investment strategy, we use a stringent process to select securities that meet the objectives established by that client. Once an appropriate investment has been made, we provide ongoing oversight and make changes and recommendations as appropriate.



# What Makes Us Different?

**Market Knowledge.** We have provided wealth management for clients with varying objectives, through a wide range of market conditions. Every client of Successful Portfolios benefits from the more than fifty years of collective experience of our professionals.

**Independent Advice.** We pride ourselves on providing an objective point of view without the distraction of conflicts of interest. Our goals and those of our clients are one and the same. This is at the core of why we formed Successful Portfolios LLC.

**Personal Relationships.** Our clients experience only one kind of relationship – the kind based on deep understanding and mutual respect. Such relationships are, in our experience, fundamental to the success of every wealth management plan.



# Factors to Consider When Selecting a Financial Advisor

The financial advisor you choose not only will have access to intimate detailed information regarding your personal finances, but also will be the individual entrusted to manage your financial future. Make sure your advisor has:

- 1. Strong ethics.** The integrity of your advisor is of the utmost importance. It is essential that you can be confident that your interests will always come first. All representatives of Successful Portfolios ascribe to the CFA Institute Code of Ethics and Standards of Professional Conduct. For more information on the CFA Code and Standards visit [www.cfainstitute.org/ethics](http://www.cfainstitute.org/ethics).
- 2. A global perspective.** In an ever-changing global economy, your advisor needs to have the resources and expertise to identify investment opportunities both domestically and abroad.
- 3. Knowledge and experience.** Managing wealth is about much more than picking mutual funds; it requires an understanding of economics, financial planning, asset valuation, investor behavior, trading, and portfolio management.
- 4. Credentials.** The professionals at Successful Portfolios hold respected credentials in the financial industry, including the Chartered Financial Analyst (CFA), Certified Financial Planner (CFP), Chartered Market Technician (CMT), and Chartered Retirement Planning Counselor (CRPC) designations.





# Why select a CFA Charterholder?

**The CFA charter is awarded to a very select group of investment advisers who have:**

- Mastered a rigorous curriculum that requires hundreds of hours of study over at least three years and have passed three increasingly difficult levels of examination.
- Demonstrated their mastery and expertise in applying this knowledge across a broad range of investment-related subjects. Investors recognize the CFA designation as the definitive standard for measuring competence and integrity in the fields of portfolio management and investment analysis.
- Committed to being held to the highest ethical standards in all dealings with investor clients.



**The Chartered Financial Analyst (CFA) designation has become the gold standard of professional credentials within the global investment community**

*—The Economist*

# Why Interactive Brokers?

## Minimize Your Trading Costs

Rated Lowest Margin Rates<sup>1</sup> by Barrons.



Rated Low Cost Broker 6 years in a row<sup>2</sup> by Barrons.

US Margin Loan Rates Comparison\*

	\$25K	\$200K	\$1.5M	\$3.5M
E-Trade	7.64%	6.14%	3.89%	3.89%
Fidelity	7.575%	6.575%	3.750%	3.750%
Interactive Brokers <sup>3</sup>	1.67%	1.42%	1.04%	0.75%
optionsXpress	6.25%	5.00%	4.00%	4.00%
Schwab	8.00%	6.875%	6.25%	6.00%
TD Ameritrade	8.50%	7.25%	6.25%	6.25%
thinkorswim	7.70%	7.70% **	7.70% **	7.70% **

Services vary by firm.

\*\*Negotiable

US Commission Rates Comparison\*

	100 Shares	1 Stock Option	1 E-mini S&P 500 Future
E-Trade	\$7.99	\$8.74	\$2.99
Fidelity	\$7.95	\$8.70	N/A
Interactive Brokers <sup>3</sup>	\$1.00	\$1.00	\$0.85
optionsXpress	\$9.95	\$12.95	\$6.99
Schwab	\$8.95	\$9.70	N/A
TD Ameritrade	\$9.99	\$10.74	\$3.50
thinkorswim	\$5.00	\$2.95	\$3.50

Interactive Brokers has lower commission rates for larger volumes and comparable rates worldwide.

### Execution Price Comparison

	Interactive Brokers	Industry	IB Advantage
US Stocks (per 100 shares)	\$0.27	\$-0.03	\$0.30
US Options (per contract)	\$0.87	\$0.66	\$0.21
European Stocks (per 100 shares)	€1.64	€-1.20	€2.84

### Net Dollar Price Improvement vs. National Best Bid/Offer<sup>4</sup>

Significantly better than the industry as a whole for the second half of 2010 and our European stock price executions were significantly better than the industry during the first half of 2010.

Source: The Transaction Auditing Group, Inc. (TAG), a third-party provider of transaction analysis.



- ✓ Public Company, Ticker – “IBKR”
- ✓ Holds over \$4 billion in equity capital
- ✓ Executes nearly 1,000,000 trades per day
- ✓ Conducts broker/dealer and proprietary trading businesses on over 80 market destinations worldwide
- ✓ In the trading business for 34 years
- ✓ Accounts protected up to \$30 million per customer through SIPC and Lloyd's of London





# Your Personalized Wealth Plan

**It starts with a conversation.** To learn how you can benefit from wealth management based on integrity and experience, please contact us at [info@successfulportfolios.com](mailto:info@successfulportfolios.com) or call (800)454-6419.



[www.successfulportfolios.com](http://www.successfulportfolios.com)

Successful Portfolios LLC

300 South Duncan Avenue, Suite 166

Clearwater, FL 33755

**(800) 454-6419**

