



Wealth Management Built on Integrity and Experience

How Successful Portfolios Can Help You

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www.successfulportfolios.com

300 South Duncan Avenue, Suite 166

Clearwater, FL 33755

(800) 454-6419





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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

Established:	February 2010
Staff:	Three Professionals
Years of Investment Experience:	Fifty-years combined
Compensation Model:	Non-commission (Fee-only)
Client Assets Under Management:	More than \$62,000,000
Number of Clients:	Thirty-one
Client Choices for Brokerage and Asset Custody:	Interactive Brokers, Scottrade





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 joined Successful Portfolios in September 2010 as a Research Analyst. For the five years prior to his current position with Successful Portfolios, Joe was a student at USF and worked as an assistant store manager for Brookstone, Inc. Joe is currently a senior at the University of South Florida, pursuing a Bachelor of Science in Business with a major in Finance. He is on track to graduate in December 2011. Joe is set to take the FINRA Series 65 exam for Investment Advisor Representatives in March 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.
- 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 Rates¹ by Barrons.



Rated Low Cost Broker 6 years in a row² by Barrons.

US Margin Loan Rates Comparison*

US Commission Rates Comparison*

	\$25K	\$200K	\$1.5M	\$3.5M	100 Shares	1 Stock Option	1 E-mini S&P 500 Future
E-Trade	7.64%	6.14%	3.89%	3.89%	\$7.99	\$8.74	\$2.99
Fidelity	7.575%	6.575%	3.750%	3.750%	\$7.95	\$8.70	N/A
Interactive Brokers ³	1.67%	1.42%	1.04%	0.75%	\$1.00	\$1.00	\$0.85
optionsXpress	6.25%	5.00%	4.00%	4.00%	\$9.95	\$12.95	\$6.99
Schwab	8.00%	6.875%	6.25%	6.00%	\$8.95	\$9.70	N/A
TD Ameritrade	8.50%	7.25%	6.25%	6.25%	\$9.99	\$10.74	\$3.50
thinkorswim	7.70%	7.70% **	7.70% **	7.70% **	\$5.00	\$2.95	\$3.50

Services vary by firm.

**Negotiable

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/Offer⁴

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 or call (800)454-6419.



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