

## Successful Portfolios LLC

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

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### 1. Advisory Services and Fees

Successful Portfolio LLC is an independent investment advisor offering discretionary investment management (estimated 60% of company billings) and non-discretionary investment advisory services (estimated 40% of company billings).

Compensation Schedule - Effective January 1, 2010

Successful Portfolios LLC compensation is simple and straightforward. Successful Portfolios LLC does not charge fees in advance or account termination fees. Successful Portfolios LLC guarantees that if at any time, for any reason, you are not completely satisfied, Successful Portfolios LLC will refund, upon request, all advisor compensation assessed during the prior thirty days.

Portfolio Value	Advisor Compensation
\$0 to \$1,000,000	1.1% of account value annualized + \$600 annual fee
\$1,000,001 to \$2,000,000	.95% of account value annualized
\$2,000,001 to \$3,000,000	.80% of account value annualized
\$3,000,001 to \$4,000,000	.70% of account value annualized
\$4,000,001 to \$5,000,000	.60% of account value annualized
\$5,000,001 and above	.50% of account value annualized

If you open multiple accounts, Successful Portfolios LLC will use the combined value of your accounts to determine the compensation tier. If applicable, the annual fee is pro-rated. Compensation rates are subject to change with sixty-day advance notice.

### 2. Types of Clients

Successful Portfolios LLC clients include individuals, trusts, charitable organizations and business entities.

### 3. Types of Investments

Successful Portfolios LLC provides independent, objective advice focused on readily marketable investments including stocks, bonds, options and exchange-traded funds (ETFs). Successful Portfolios LLC does not recommend annuities or hedge funds.

#### **4. Methods of Analysis, Sources of Information, and Investment Strategies**

Successful Portfolios LLC investment process starts by listening to you. Successful Portfolios LLC works hard to understand your risk/return objectives, unique circumstances and preferences.

Successful Portfolios LLC investment recommendations and decisions are based on technical, fundamental and quantitative factors. Successful Portfolios LLC does proprietary analysis and research using Amibroker software and the Bloomberg Professional Service. In addition, Successful Portfolios LLC uses investment research prepared by other sources, including Morningstar, Zacks, and Standard & Poor's. Successful Portfolios LLC philosophy is that correctly identifying and managing risk is essential to your investment success. Successful Portfolios LLC manages risk through:

- Asset Allocation
- Sector and Industry Diversification
- Position Sizing and Rebalancing
- Fundamental Research
- Technical Analysis
- Put and Call Strategies
- Trading Algorithms and Order Management

Based on your risk tolerance, return objectives and other preferences, Successful Portfolios LLC may advise you regarding investment strategies that include long-term purchase of securities (held one year or more), short-term purchases (securities sold within one year), trading (securities sold within 30 days), margin transactions, short sales, and various types of options transactions. Successful Portfolios LLC works hard to help you maintain investment discipline, avoid overtrading and control risk.

#### **5. Education and Business Standards**

Successful Portfolios LLC sets high standards of education and business experience for all representatives involved in determining and giving you investment advice. These standards may include:

- Relevant investment related experience
- College-level advanced education
- High quality professional credentials such as Chartered Financial Analyst (CFA), Certified Financial Planner (CFP), and Chartered Market Technician (CMT)

## 6. Education and Business Background

H. Parker Evans, CFA, CFP, CMT is President and Chief Investment Strategist of Successful Portfolios LLC. Some background information on Mr. Evans:

- Born November 1959
- Vice President and Senior Portfolio Manager with Fifth Third Private Bank in Clearwater, Florida from January 2003 through December 2009
- Twenty-five years experience in the investment advisory and brokerage business
- Professional credentials include Chartered Financial Analyst (CFA), Certified Financial Planner (CFP), and Chartered Market Technician (CMT).
- Bloomberg Professional Level III Certified in Equities, Fixed Income and FX
- Professional commentary and opinion published in the *Journal of Financial Planning* and *CFA Magazine*
- Research paper "Rotational Trading using the %b Oscillator" featured in the 2008 edition of the *Journal of Technical Analysis*
- Founder and Managing Partner of First Discount Securities, a pioneering discount brokerage firm acquired by First Union/Wachovia
- Former Vice President of Investments with First Union/Wachovia and Smith Barney/Citigroup
- B.A. Economics from Eckerd College and winner of the *Wall Street Journal Award* for outstanding academic achievement
- MBA with Honors from Nova Southeastern University
- Successfully completed multiple FINRA licensing examinations including Registered Options Principal, General Securities Representative (Series 7), Municipal Securities Principal, Financial and Operations Principal, General Securities Principal, and Investment Adviser Representative

## 7. Other Business Activities

Successful Portfolios LLC sole business is providing you with independent, objective investment advice. Successful Portfolios LLC engages in no other business activity.

## 8. Other Financial Industry Activities or Affiliations

Successful Portfolios LLC is independently owned and operated and has no financial industry affiliations. Successful Portfolios LLC and related persons are not general partners in any partnership where Successful Portfolios LLC or related persons solicit investment.

## 9. Participation or Interest in Client Transactions and Code of Conduct

Successful Portfolios LLC and related persons do not participate in your transactions as principal, broker, agent or promoter. Provided your account is not disadvantaged, Successful Portfolios LLC and related persons may buy or sell securities for its own account that it also recommends to clients. All investment representatives of Successful Portfolios LLC, as a condition of employment, must agree to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct. The Code and Standards are available at <http://www.cfapubs.org/doi/pdf/10.2469/ccb.v2005.n8.4568>. Successful Portfolios LLC will provide a printed copy to clients and prospective clients upon request.

## 10. Conditions for Managing an Account

Successful Portfolios LLC does not impose a minimum dollar value of assets or other conditions for starting or maintaining an account.

### **11. Review of Accounts**

The Chief Investment Strategist of Successful Portfolios LLC and staff monitor your portfolio on a continuous basis utilizing a number of tools including the Interactive Brokers Trader Workstation and Account Management System and the Bloomberg Professional Service. At Successful Portfolios LLC, you and your advisor have secure real-time internet access to your account information 24 hours a day / 7 days a week.

### **12. Investment or Brokerage Discretion**

Subject to your investment objectives and your written approval, Successful Portfolios LLC will accept full responsibility to make discretionary investment transactions for your account. This discretion includes security selection, trade timing, as well as the dollar amount to buy and/or sell. Alternatively, you may choose to open a non-discretionary investment advisory account.

When you open an account with Successful Portfolios LLC, you will designate a brokerage firm that Successful Portfolios LLC will use to execute your trades. Your brokerage firm will also administer your account and provide custody of your assets. Successful Portfolios LLC recommends brokerage firms based on:

- Low transaction costs and account fees
- Quality of trade execution
- Analysis of company financial statements, marketing materials and disclosure documents
- *Barron's Annual Ranking Of the Best Online Brokers*
- Actual experience using the brokerage firm

Successful Portfolios LLC recommends Interactive Brokers for low cost advanced execution capabilities, financial strength, company stability and security procedures. Depending on your investment objectives and preferences, Successful Portfolios LLC also recommends Scottrade.

### **13. Additional Compensation**

Successful Portfolios LLC does not accept commissions or other remuneration from non-clients. Nor does Successful Portfolios LLC directly or indirectly compensate any person for client referrals.

### **14. Balance Sheet**

Successful Portfolios LLC does not hold custody of your assets and does not require you to prepay advisory fees, thus a balance sheet for Successful Portfolios LLC is not a required part of this Form ADV Part II Brochure.