

## 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 firm offering discretionary investment management (approximately 60% of company billings) and non-discretionary investment advisory services (approximately 40% of company billings).

Advisor Compensation Schedule - Effective February 1, 2010

Assets Managed	Advisor Compensation
\$0 to \$1,000,000	1.1% of account value annualized + \$600 flat fee annualized
\$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

Successful Portfolios LLC does not charge fees in advance or fees to close your account. Advisor compensation is negotiable and subject to change with sixty-day 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 personalized, objective advice focused on readily marketable investments including stocks, bonds, options and exchange-traded funds (ETFs).

### 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 proprietary technical, fundamental and quantitative analysis. Successful Portfolios LLC augments its own research with research prepared by other sources including Morningstar, Zacks, Standard & Poor's and Value Line.

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 January 2010
- 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



H. Parker Evans, CFA, CFP, CMT  
President, Successful Portfolios LLC

## **7. Other Business Activities**

Successful Portfolios LLC sole business is providing you with objective professional 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 affiliation with any other industry participant. 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 account on a regular basis using broker provided systems and leading third party tools for portfolio management and analysis. You and Successful Portfolios LLC will maintain continuous secure online access to your account information as provided by the independent brokerage firm that you chose for custody of your assets.

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

Subject to your investment objectives and your written approval, Successful Portfolios LLC may accept fiduciary 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 an independent brokerage firm that Successful Portfolios LLC will use to execute your trades. The brokerage firm you chose will also administer your account and provide custody of your assets. Successful Portfolios LLC recommends brokerage firms based on:

- Company financial strength, stability, and security procedures
- 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 with using the brokerage firm
- Breadth and quality of investment research services available from the brokerage firm

Successful Portfolios LLC is enrolled in the independent advisor programs at Interactive Brokers, Scottrade and TD Ameritrade.

Successful Portfolios LLC has a soft dollar research arrangement with Interactive Brokers. Under this arrangement commissions you pay for trading U.S. equity products at Interactive Brokers could be \$.005/share to \$.05/share higher than rates published on Interactive Brokers' website. As defined under the Securities Exchange Act of 1934 section 28(e), a predetermined portion of commission dollars can be used to pay research-related costs. Expenses are paid on the client's behalf to vendors who can provide a wide range of information services, such as fundamental, technical and/or quantitative analysis; portfolio management and valuation including asset allocation; economic forecasting; and news and quotes.

### **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.