



# SUCCESSFUL PORTFOLIOS

WEALTH MANAGEMENT ADVISORS

This brochure (SEC Form ADV Part 2) provides information about the qualifications and business practices of Successful Portfolios LLC. If you have any questions about the contents of this brochure, please contact us at (727) 744-3614 or [info@successfulportfolios.com](mailto:info@successfulportfolios.com). Neither the U.S. Securities Exchange Commission (SEC) nor any State Regulatory Authority have approved or verified the information contained in this Brochure. Additional information about Successful Portfolios is available on the SEC website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Notice Regarding Material Changes to Disclosure Brochure: Since the date Successful Portfolios LLC last filed this Disclosure Brochure with the Investment Adviser Registration Depository (IARD) there have been no material changes to its contents.

**March 5, 2015**

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## 1. Advisory Business

Successful Portfolios LLC (SP) is an independent Registered Investment Advisor that opened for business in February 2010. H. Parker Evans, CFA, CFP, CMT is the Chief Executive Officer and Manager. H. Parker Evans and Dr. John P. Barrett each own a 50% interest in SP. Evans' and Barrett's professional biographies appear later in this brochure.

SP services include financial planning and portfolio management. Client portfolios may consist of readily marketable stocks, bonds, options and ETFs (exchange traded funds). SP formulates personalized advice and strategies designed to meet the unique needs of each client. In this regard, SP provides the award winning FinaMetrica Risk Tolerance Test and a personal Investment Policy Statement template on its website at [successfulportfolios.com](http://successfulportfolios.com). Both tools are free of charge.

As of March 5, 2015, SP managed approximately \$118.04 million in client assets. Discretionary managed assets were approximately 85% of total managed assets.

## 2. Fees and Compensation

SP's standard compensation schedule is presented in the table below.

Assets Managed	Advisor Compensation Fee
\$0 to \$1,000,000	1.1% of account value 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

SP fees are assessed in arrears, prorated on a monthly or daily basis. There is no fee to open or close an account. Fees are negotiable depending on account size and complexity. As an alternative to SP's standard compensation schedule, qualified investors may negotiate a performance-fee compensation arrangement based on a set percentage of the clients' quarterly mark-to-market account profit. Performance compensation arrangements must be agreed upon in advance and in writing by both parties. Please be aware that you may also incur brokerage commissions and account fees as described later in this brochure under the "Brokerage Practices" section.

## 3. Performance-Based Fees and Side-By-Side Management

SP does not favor clients with performance-fee accounts over clients with standard-fee accounts. SP policy prohibits post-allocating client trades to performance-fee accounts. For accounts with similar investment objectives, trades made in performance-fee accounts are typically executed simultaneously with trades made in standard-fee accounts. For more information, see the "Block Trading Procedures" and "Code of Ethics..." sections later in this brochure.

## 4. Types of Clients

SP clients include individuals, trusts, charitable organizations and other entities. SP has no set minimum account size. Account acceptance is subject to case-by-case review by SP.

## 5. Methods of Analysis, Investment Strategies, and Risk of Loss

SP investment process starts by listening to you. SP works hard to understand your risk/return objectives, unique circumstances and preferences. We provide guidance and solutions based on a thorough understanding of your situation and goals.



SP investment recommendations and portfolio decisions are based on fundamental, technical and quantitative considerations. SP supports its proprietary analysis with research and tools from Bloomberg Professional, Morningstar, Zacks, Standard & Poor's, Value Line, Portfolio123, Amibroker and other sources including leading brokerage firms.

SP's goal is to build and manage portfolios that are consistent with (1) our client's willingness and ability to accept risk and (2) our client's rate of return objective. We typically recommend clients hold a well-diversified portfolio of readily marketable stocks, bonds, options and Exchange Trades Funds (ETFs). These types of securities are subject to multiple risk factors including market fluctuation. Securities investors, including clients of SP, should fully expect to incur periodic gains and losses. SP makes no guarantee of investment results.

## 6. Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of SP or the integrity of SP management.

## 7. Other Financial Industry Activities and Affiliations

Unlike many Registered Investment Advisor Firms, SP is not owned or controlled by any broker-dealer, bank or insurance company. SP's only line of business is managing investment portfolios for our clients. We pride ourselves on providing you with an independent point of view.

SP is the investment manager of two private pooled investment vehicles, Evans Cook LLC (EC) and Barrett Evans Capital LLC (BEC). Both H. Parker Evans and John P. Barrett own shares in EC and BEC.

## 8. Code of Ethics, Participation, or Interest in Client Transactions and Personal Trading

All representatives of SP agree to comply with the CFA Institute Code of Ethics and Standards of Professional Conduct as a condition of employment. You may download the CFA Code and Standards at <http://www.cfapubs.org/toc/ccb/2014/2014/6>.

Subject to prohibitions on front-running client trades, SP allows its representatives to buy and sell securities for their own accounts at any time. All personal trading by SP representatives is subject to continuous review and scrutiny by SP's Trade Review Committee, which includes H. Parker Evans, Chief Compliance Officer of SP, Joseph C. Baer and Bradley E. Norbom. SP policy prohibits its representatives from engaging in any trading activity designed to gain an advantage at the expense of a client.

## 9. Brokerage Practices

When you open an account with SP, you will choose an independent brokerage firm that SP will use to execute your trades. This brokerage firm will also administer your account and provide custody of your assets. SP recommends brokerage firms based on:

- Company financial strength, stability, and security procedures
- Low transaction costs and account fees
- Speed and quality of trade execution including potential for price improvement
- 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
- Breadth and quality of market destinations and product offerings
- Breadth, quality and transparency of order routing algorithms

Interactive Brokers (IB), Scottrade, TD Ameritrade and Charles Schwab have each approved SP to participate in their respective independent investment advisor programs. These programs allow qualifying independent advisors to manage brokerage accounts held by clients at these firms. For complete information regarding these brokerage programs, including commissions and costs, please refer to these links:

- Interactive Brokers: <http://bit.ly/hFYIsz>
- Scottrade: <http://bit.ly/gBQHCa>
- TD Ameritrade: <http://bit.ly/eyJBLn>
- Charles Schwab: <http://bit.ly/1itmHJ2>

### Soft Dollar Arrangement

SP has a soft dollar research arrangement with IB. Under this arrangement, SP clients pay commissions to IB of up to \$.02 per share on U.S. option and equity orders covering 100 shares or more. As defined under the Securities Exchange Act of 1934 section 28(e), brokers can use a predetermined portion of client commission dollars to pay research-related costs for clients. IB pays research related expenses on the client's behalf directly to vendors who provide a range of services to SP including fundamental, technical and quantitative research as well as portfolio analytics. SP manages all client portfolios with the help of IB soft dollar research services.

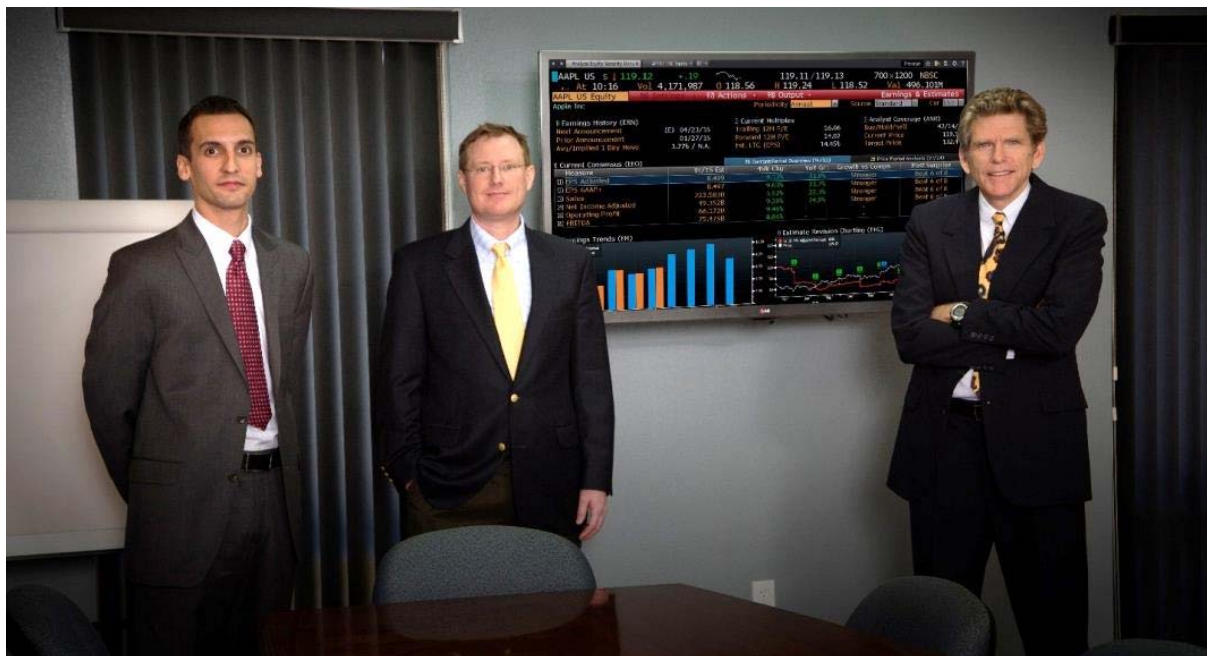
### Block Trading Procedures

SP block trading procedures are designed to treat all clients equitably. When practical, trades are executed simultaneously for multiple client accounts. On such aggregated or block securities trades, each client involved receives the average executed price for the overall transaction.

## 10. Review of Client Accounts

SP uses a team approach to monitor and oversee client accounts. Our investment team meets frequently to discuss client portfolios and investment policy. Team members jointly review, analyze and critique client portfolios. Members of the SP investment team include (left to right in photo):

- Joseph C. Baer, APMA - Assistant Portfolio Manager & Wealth Advisor
- Bradley E. Norbom, CFA – Portfolio Manager
- H. Parker Evans, CFA, CFP, CMT - President & Chief Investment Strategist



To monitor and manage client accounts, SP uses several analytic and trading tools including the IB Trader Workstation and Information System, the Scottrade Advisor Services website, TD Ameritrade Veo, the Charles Schwab Advisor Center, proprietary Excel workbooks as well as third-party portfolio management tools including Bloomberg Professional. SP reviews each client account at least once per

year. On a day-to-day basis, the SP investment team monitors capital market conditions as well all assets held in SP managed accounts.

SP recommends clients meet with us at least annually to review their account performance, investment policy and current financial circumstances. SP encourages clients to maintain an ongoing dialogue with us regarding their portfolio and other financial circumstances. At all times, clients of SP retain continuous secure online access to their account directly through their brokerage firm. We invite you to call us any time with questions or concerns.

## **11. Client Referrals and Other Compensation**

SP does not accept remuneration from broker-dealers or any other investment sponsor.

Although SP has not done so in the past, SP may enter into written solicitor's agreements with non-affiliated professionals such as CPAs and other investment advisors. Any compensation paid by SP to a non-affiliated solicitor for making a referral to SP will be fully disclosed to the client in writing at the time the client opens an account with SP. Any such compensation will be paid by SP to the solicitor and will not be paid from client accounts.

## **12. Custody of Client Assets**

The client's brokerage firm will maintain custody of assets managed by SP. The brokerage firm will send statements directly to the client via email and/or regular mail. The brokerage will also prepare IRS tax reports such as 1099s and make them available online for download by the client. SP encourages clients to regularly review their accounts by logging in to their brokerage firm's web site. From time to time, SP may also provide clients with supplemental account reports.

## **13. Investment Discretion**

SP accepts discretionary as well as non-discretionary advisory accounts. In a discretionary account, the client permits SP to buy and sell securities for the client without need of consulting the client prior to placing a trade. In a non-discretionary account, SP must get the permission of the client before placing a trade. Clients may set written guidelines regarding trading in an Investment Policy Statement (IPS). Clients choose discretionary or non-discretionary management when executing SP's Investment Advisory Agreement.

## **14. Voting of Client Securities**

Clients of SP retain all right and duty to vote corporate proxy statements. Clients make corporate proxy arrangements directly through their brokerage firm. Clients may call SP at (727) 744-3614 for assistance in voting proxies.

## **15. Financial Information regarding Successful Portfolios (SP)**

SP has no financial condition reasonably likely to impair its ability to meet contractual commitments to its clients. SP and its representatives are not and have never been the subject of a bankruptcy proceeding. Upon request, SP will provide a copy of SP's (unaudited) financial statements to clients or prospective clients.



## 16. Supplemental Biographical Information Regarding the Principals and Representatives of Successful Portfolios LLC

H. Parker Evans, age 55, is the sole “principal executive and management person” for SP. SP “supervised persons” are Joseph C. Baer, age 28 and Bradley Norbom, age 43. Their biographies appear below.



### **H. Parker Evans, CFA, CFP, CMT, President and Chief Investment Strategist**

Parker is a licensed investment advisor representative with thirty three years of professional experience. He holds the Chartered Financial Analyst (CFA), Certified Financial Planner (CFP), Chartered Market Technician (CMT) designations. Parker’s commentary and papers have appeared in the *Journal of Financial Planning*, *CFA Magazine* and the *Journal of Technical Analysis*. He is the former President of First Discount Securities Corp., a pioneering discount brokerage firm acquired by First Union (Wachovia). Parker is a former Vice President of First Union, Smith Barney, and Fifth Third Private Bank. He earned a B.A., with a major in Economics from Eckerd College where he won the Wall

Street Journal Award for outstanding academic achievement. Parker received an MBA with Honors from Nova Southeastern University. Over the course of his career, Parker has 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. For the ten years prior to his current position with SP, Parker was Vice President and Senior Portfolio Manager at Fifth Third Private Bank.



### **Joseph C. Baer, APMA, Assistant Portfolio Manager and Wealth Advisor**

Joe is a licensed investment advisor representative with four years of professional experience. Joe joined SP in September 2010 starting as a Research Analyst. He holds the Accredited Portfolio Management Advisor (APMA) designation conferred by the College for Financial Planning and is a member of the Financial Planning Association. Joe graduated with honors from the University of South Florida in 2011 with a Bachelor of Science in Business with a major in Finance. Joe is a graduate of the Boston University financial planning program and is pursuing the Certified Financial Planner (CFP) professional credential. For the five years prior to his current position with SP, Joe was a student and worked as an assistant store manager for Brookstone.



### **Bradley E. Norbom, CFA, Portfolio Manager**

Brad is a licensed investment advisor representative with seventeen years of professional experience. Brad joined SP in February 2012. He holds the Chartered Financial Analyst (CFA) designation. During his career, Brad has passed multiple FINRA licenses including Series 7, 63, 65, 55 and 24. He graduated from the University of South Florida in 1995 with a Bachelor of Science in Finance. For the five years prior to his current position with SP, Brad worked for Assent LLC and then Great Point Capital LLC as a proprietary trader and Registered Representative.



**Dr. John P. Barrett, Co-Founder Successful Portfolios LLC**

Dr. John P. Barrett, a retired Tampa Bay orthopedic surgeon, is the co-founder and part owner of Successful Portfolios. He graduated from the Harvard Orthopedic Program at Massachusetts General Hospital and served as faculty fellow. He is the Founder and President of the Arthritis Research Institute of America (501C3), a long-term epidemiological study of osteoarthritis. Dr. Barrett founded the Florida Knee and Orthopedic center in 1983. He also serves as chairman of JB Management, a real estate company in Clearwater, Florida.

For information regarding the professional designations held by SP representatives, please refer to these links:

- Chartered Financial Analyst (CFA): <http://cfa.is/1DmoZR1>
- Certified Financial Planner (CFP): <http://bit.ly/1FUXIZt>
- Chartered Market Technician (CMT): <http://bit.ly/i9Uflr>
- Accredited Portfolio Management Advisor (AMPA): <http://bit.ly/TaXHr8>

**Additional information about Evans, Baer, Norbom, and Barrett is available on the SEC's website at [adviserinfo.sec.gov](http://adviserinfo.sec.gov).**

**Supervision of Representatives**

Evans, Baer and Norbom work side-by-side as a team in the same office location. Mr. Evans supervises Baer and Norbom. Mr. Evans can be reached by telephone (727) 744-3614. Mr. Evans regularly reviews Baer and Norbom's communications with client and prospective clients. In addition, Mr. Evans reviews all securities trades executed by Baer and Norbom.

**END**

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