

GARY ALAN MORRIS

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This brochure provides information about the qualifications and business practices of Gary Alan Morris.

If you have any questions about the contents, please contact me as shown above.

The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any State Securities authority.

Additional information about Gary Alan Morris also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Registration does not imply a certain level of skill or training.

There are material changes shown on page 3 since the previous brochure.

# BROCHURE

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### Material Changes

There have been no material changes since January 1, 2016.

### Advisory Business

I have been in the advisory business since 1991 and operate as a sole provider of service.

I was born in 1943 and completed my Bachelor in Science degree in Psychology at Union College, Schenectady, New York in 1965. I received a Masters in Business Administration degree from the University of Hartford, West Hartford, Connecticut in 1975.

I provide Investment Advice for a broad range of investments. My advice is tailored to your specific goals and circumstances.

I managed on January 1, 2017, no assets on a discretionary basis and no assets on a non-discretionary basis.

### Fees and Compensation

I am compensated in three potential ways; each way is discussed with you and a mutual decision is made to select the way that fits your circumstances.

1. I charge on an hourly basis at the rate of \$250 per hour.

2. I have a fee schedule for assets under management as follows:

First \$ 3,000,000	.5% annually
Next \$ 7,000,000	.35%
Next \$10,000,000	.25%
Excess	.10%

Calculated and charged in arrears on a quarterly basis.

3. A mutually agreed fixed quarterly retainer fee.

These fees may be deducted from your account at your custodial institution with your written permission.

My fees do not reflect any fees that may be charged to you by your custodian.

I do not receive commissions for the purchase or sale of mutual funds, securities, or other investment products. I am licensed as an insurance agent/counselor and, with full disclosure, will accept commissions for those activities if you choose to use that service.

#### Performance-Based Fees and Side-by-Side Management

I do not charge performance based fees.

#### Types of Clients

I have no current clients. I am available to serve institutional clients including corporations, charities, qualified retirement plans and others.

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

I recommend mutual funds, Electronically Traded Funds, individual stocks and bonds which are selected based on a review of these instruments and in congruence with your objectives and/or the Investment Policy Statement of the portfolio. I will also manage other assets that may be included in your portfolio at the time of take-over. It is clear for all these investments that there is a potential for market loss. Generally, these investments, after purchase or transfer into your account, are maintained until your objectives, circumstances or these investments change.

#### Disciplinary Information

I have had no disciplinary action taken against me.

#### Other Financial Industry Activities and Affiliations

I have no affiliations except for access to your account through your agreement with your custodian. If specifically authorized by you, I may have a Limited Power of Attorney to transact activities for you. I do not believe these affiliations involve any material conflicts of interest.

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

I have a Statement of Ethical Values which is available upon request.

I have specific rules for trading as follows:

I may purchase or sell mutual funds that are recommended to clients.

I may purchase or sell mutual funds on the same day as clients' transactions, however individual stock and bond transactions will occur on the following trading day.

Records of all securities transactions are maintained and are available for client inspection.

I have policies and procedures to protect against insider trading which are available upon request. There are provisions for restricting access to files, providing continuing education on insider trading, restricting and/or monitoring trading on those securities which we have non-public information.

### Brokerage Practices

I will only use your custodian for brokerage activity or a specific brokerage firm at your written request. I will not receive any fees, commissions or "soft dollar benefits" from these arrangements.

### Review of Accounts

Periodically, normally on a quarterly basis, I will review your investment accounts. The frequency will be specified in our Investment Service Agreement but may be changed with mutual agreement. These reports may be presented orally or in writing.

### Client Referrals and Other Compensation

I have a fixed fee solicitor arrangement with SFMG Wealth Advisors for which I receive a fixed, quarterly fee for client referrals.

### Custody

If I do receive fees for my services from your custodian, you will receive a Statement of Account from me and a separate Statement directly from your custodian.

### Investment Discretion

I accept discretionary authority for accounts but you must authorize this discretion in writing.

### Voting Clients Securities

I accept the authority to vote clients' securities. I have a separate Proxy Procedure which is available on request. I vote Proxies consistent with my fiduciary duty to you or the beneficiaries/employees if an ERISA plan in order to avoid any potential conflicts of interest.

### Financial Information

I do not require pre-payment of fees nor have custody of your account so I am not required to provide financial information.

