

Successful Portfolios LLC  
Form ADV, Part 3: Client Relationship Summary (CRS)  
March 26, 2024

Item 1: Introduction

Successful Portfolios LLC is an SEC Registered Investment Advisor firm, not a broker-dealer. Brokerage and investment advisory services and fees differ, so it's important that you understand the differences.

Free and simple tools are available to research firms and financial professionals at [investor.gov/CRS](https://investor.gov/CRS), which also provides educational material about broker-dealers, investment advisors, and investing.

Item 2: Relationships and Services

*What investment services and advice can you provide to me?*

As our client, we'll start by getting to know your objectives, risk tolerance, and needs. Then, we'll help you create and manage a personalized portfolio of readily marketable, easily traded securities like stocks, bonds, ETFs, and liquid alternatives. We'll conduct an in-depth account evaluation at least once a year. We accept discretionary and non-discretionary accounts, where the latter means clients must pre-approve trades. While our minimum account size is \$100,000, we may sometimes lower or waive this minimum.

Feel free to ask us these conversation-starter questions:

- *Given my situation, should I choose an investment advisory service? Why or why not?*
- *How will you choose investments to recommend for me?*
- *What are your qualifications, credentials, and experience? What do they mean?*

Item 3: Fees, Costs, Conflicts, and Standard of Conduct

*What fees will I pay?*

The table below presents our standard fee schedule for full-service custom asset management.

Assets Under Management	Annualized Fee
First \$1,000,000	1.25%
Next \$1,000,000	.95%
Next \$1,000,000	.80%
Next \$1,000,000	.70%
Next \$1,000,000	.60%
Over \$5,000,000	.50%

Our fees are negotiable depending on investment strategy or mandate. Qualified clients may negotiate a performance-based fee arrangement based on a set percentage of the client’s quarterly mark-to-market account profit, subject to a high watermark.

You may also incur additional costs, including account maintenance fees and commissions, payable to the independent custodian or brokerage that carries your account. You will incur internal or fund-level expenses if your account is invested in mutual funds or ETFs.

*You will pay fees and costs whether you make or lose money on your investments. Fees and expenses will reduce any amount of money you make on your investments over time. It's essential to make sure you understand what fees and costs you are paying.*

Our Form ADV, Part 2 Client Brochure provides additional detailed information about fees and costs.

***When we act as your investment advisor, we must act in your best interest and not put our interest ahead of yours. At the same time, how we make money may conflict with your interest. You should understand and ask us about these conflicts because they can affect the investment advice we provide to you.***

Ask us:

- *How could fees affect my investments?*
- *If I give you \$10,000 to invest, how much goes toward fees vs investments?*
- *What are your legal obligations when advising me?*
- *How else does your firm make money?*
- *How do your financial professionals make money?*
- *What conflicts do you have and how do you address them?*

Our financial professionals are compensated by salary plus a percentage of client advisory fees. This may create a conflict of interest when we advise you to add money to your account or refrain from making withdrawals. Our representatives agree to abide by Successful Portfolios' Code of Ethics to address and mitigate conflicts of interest.

#### **Item 4. Disciplinary History**

*Do you have any disciplinary history?*

We're pleased to report that our firm and advisors have no legal or disciplinary history. Visit [investor.gov/CRS](https://investor.gov/CRS) to research us and our financial professionals.

#### **Item 5. Additional Information**

You will find additional information about our investment advisory services at <https://successfulportfolios.com/> or <https://adviserinfo.sec.gov/firm/summary/152429>, where you may also download a copy of an up-to-date Customer Relationship Summary.

We welcome questions from clients or prospective clients. Feel free to ask us these conversation-starter questions: "Who is my primary contact person? Are they a representative of an investment adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?"

Our Investment Advisor Representatives, Parker Evans, CFA, CFP, and Joe Baer, APMA, work as a team in our Clearwater, Florida office and are available to assist you and answer any questions you may have. You may call or text them anytime at (727) 744-3614 to request additional information about our advisory services or an up-to-date copy of this relationship summary.