

Aljen Asset Management, LLC

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Brochure Supplement - Elliott S. Collins

March 5, 2012

This brochure supplement provides information about Elliott S. Collins that supplements the Aljen Asset Management LLC brochure. You should have received a copy of that brochure. Please contact Elliott S. Collins at (973) 316-1212 if you did not receive Aljen Asset Management, LLC brochure or if you have any questions about the contents of this supplement.

Additional information about Elliott S. Collins is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

Elliott S. Collins (“Elliott”) is a financial service professional with over twenty five years of experience. His past experience includes working with some of the country’s largest brokerage firms as a Director and Financial Consultant. He has worked extensively managing departments that provide pension and employee benefits planning. He is the principal and founder of Aljen Asset Management, LLC, a professional investment management firm and a full service employee benefits administration firm. Elliott was born in 1947.

Education

Bachelor of Science in Business Administration, 1969
Babson College, Babson Park, MA

Designations

Certified Financial Planner, CFP®, 1992
College of Financial Planning, Denver, CO

Minimum Designation Requirements

Certified Financial Planner (CFP®)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- **Prerequisites/Experience:** Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year)
- **Educational Requirements:** Complete an advanced college level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning

- **Examination Type:** Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances
- **Ethics:** Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- **Continuing Education/Experience Requirements:** Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct to maintain competence and keep up with developments in the financial planning field
- **Ethics:** Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business History

October 2003 – Present	Founder and Principal at Aljen Asset Management, LLC
May 2003 – Present	Registered Representative at Purshe Kaplan Sterling Investments
October 1989 – December 2003	Founder and Officer at WesCliffe Asset Management, Inc.
January 1998 – May 2003	Registered Representative at The Concord Equity Group, LLC
November 1991 – January 1998	Registered Representative at Walnut Street Securities, Inc.

Licenses

Elliot holds multiple FINRA licenses including the Series 7 and 63. He is licensed to transact investment advisory services and securities business in New Jersey and Florida. Elliott is also a licensed insurance agent/broker in New Jersey and Florida with various companies.

Disciplinary Information

Elliott has no disciplinary history that must be disclosed.

Other Business Activities

Elliott is a registered representative of Purshe Kaplan Sterling Investments and can affect securities transactions in that capacity. Elliott is licensed to sell insurance products.

Aljen Asset Management, LLC also operates as a Third Party Administration (TPA) for qualified retirement plans.

Additional Compensation

There is no additional compensation awarded Elliott for providing advisory services, such as sales awards or prizes. He may receive additional compensation for sales of insurance products.

Supervision

In the course of his supervisory duties as Chief Compliance Officer, Elliott will periodically review advisory accounts, correspondence, financial plans, and advisory activities. Please contact Elliott at (973) 316-1212 with questions regarding supervision.

Philosophy and Specialty

Elliott believes that every client needs an advocate for their financial well-being. He is committed to placing and supporting your interests before any other. Elliott is committed to a high standard of professional integrity and maintaining confidentiality. By listening carefully to understand you and your situation, he seeks to understand your personal objectives and offer the appropriate counsel.

Elliott specializes in developing financial plans, estimating and monitoring long-term financial goals and money management for individuals; Elliott also provides full service employee benefits program administration. Each aspect of the investment management and financial planning process is tailored to the unique needs of his clients.

Individuals face many transitions in their life. The impact of these personal and business dynamics affect the financial decisions each person faces in their own portfolio. Elliott's ability is evaluating and coordinating options that help to optimize the financial outcome of these transitional decisions. Strategies are then coordinated with other professionals that are engaged by the client, such as CPAs and attorneys.