



WELCOME TO DOING BUSINESS WITH THE STOCKEXEC TEAM



This brochure provides information about the qualifications and business practices of StockExec. If you have any questions about the contents of this brochure, please contact us at service@StockExec.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (SEC) or by any state securities authority. However StockExec is registered as an Investment Advisor with SEC, and therefore additional information about StockExec also is available on the SEC's website at www.adviserinfo.sec.gov

StockExec

2016 Client Brochure

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Advisory Business

- A. StockExec is a newly-formed company based on the 62-years' professional and private stock investment knowledge and experience of its founder and current chairman Sydney Tremayne. The company is 100% owned by a private foundation of which Mr. Tremayne is the majority shareholder with just over 50% of the shares.
- B. The backbone of the company is an automated timing system developed over more than seven years of intensive research and development. In addition to the founder's experience, the system is an extension of a more rudimentary program he designed in the early 1980s and used in his brokerage days to gain clients excellent capital growth. That program was the foundation of his first bestselling book, *Take the Guessing Out of Investing*, Prentice-Hall, Canada, in 1989.

The current system uses three software programs, each designed to operate in different portions of market cycles. Back

tested over a period of 46 years it has achieved higher overall rates of return for conservative longer-term investors than any other system StockExec has been able to find.

The true value of the system is that it is a system. The majority of private investors act either on tips or they spend time doing what passes for research. It is widely reported that the average private investor averages annual returns in the order of 4% – 6% while the long term return for the S&P500 Index is about 11%.

- C. Our service is of a general nature in that it is not tailored to individual client needs, we do not give individual advice as to which stocks you should buy or sell to meet your personal objectives, and we do not manage any funds. We provide moving buy or sell targets based on the actions of individual stocks. StockExec provides advice regarding portfolio structure, diversification and capital distribution; clients decide within that framework which stocks are appropriate for them to include.

Our contention is that if we help you to get investment timing right, to a large extent the actual companies you select don't matter that much; each stock will tell you what to do and when; our system will translate the signals for you.

Once your portfolio is established you will update it each week from clear instructions provided. This should take 10 minutes or less.

- D. We are not involved in so-called wrap fee programs or in any other type of arrangement in which we earn money, goods or services as a result of the investments you make. Our sole focus is on helping you to make as much money as possible with tools in place to protect your investment capital.
- E. StockExec provides timed buy/sell advice, it does not manage assets; your assets remain fully under your control in a brokerage account of your choosing.

Fees and Compensation

- A. StockExec has two separate fees: An annual membership fee of \$997 that

supports research, infrastructure and service, and a ResultsInAdvance fee dependent on whatever profit you make above six percent. StockExec covers some 2,000 U.S companies with buy/sell/hold and stop order information; we will not suggest at any time which of those stocks are appropriate for you.

- B. Fees are charged to client credit or debit cards or by prior arrangement in a manner preferred by the client. ResultsInAdvance fees are charged monthly if the gain for that month is greater than either half of one percent or whatever portion of previous fee-free allowance has been carried forward. For example, suppose your stocks made no profit in Month #1 the half percent credit is carried forward to Month #2 and a full one percent would be credited to you from profits in that month with the objective of ensuring you are not charged for annual gains of six percent or less. There is no limit to how far credits can be carried forward. The only way credit can be discharged is through non-billing of ResultsInAdvance fees against future

profits. Our attitude is that if the average investor can make between four and six percent without appropriate help we should not charge for profit of six percent or less. Remember we never receive any of your assets, you maintain 100% control of your investment funds in your separate brokerage account. This completely eliminates any possibility of speculating with clients' investments.

- C. Clients are responsible for whatever fees their brokerage firm levies.
- D. The annual membership fee is charged in advance but is covered by a 365-day full money-back guarantee. The client could leave on Day 364 and still receive a full refund.
- E. StockExec does not sell securities and so we receive no sales commissions which could create a potential conflict of interest. Furthermore we will not add to or comment on information provided on our website or in our newsletter. You are personally responsible for deciding whether an investment is appropriate for you.

Performance-Based Fees

Apart from the annual membership fee the only other fee charged by StockExec is one based on the amount of profit you make above six percent annually credited at the rate of half of one percent per month cumulatively.

For illustrative purposes only, let's suppose that over the course of one year your portfolio gained 20%. There is no charge for the first six percent. Any gain above that amount attracts a fee of 20 cents on each additional dollar. This results in fees over the course of the year of 2.8% leaving you with a net gain of 17.2%. Fees are tax-deductable.

Repeating what has been said earlier, we do not manage investments and we are not licensed to do so. If specific advice is needed you should speak with a qualified licensed professional.

Types of Clients

The StockExec automated system does everything for you other than choose the stocks you buy (though it does tell you the best time to buy and sell each stock). As a result, your degree of investing experience or lack thereof is of no concern. We will train you if you have zero experience. On the other hand, experienced investors are quicker to recognize the value of our system just because they have experience of investing difficulties without it.

Minimum capital requirement is \$10,000 to be deposited in a brokerage account of your choice and under your complete control.

Methods of Analysis, Investment Strategies and Risk of Loss

- A. StockExec believes every factor likely to change a stock's value is reflected in the price of that stock with greater speed and accuracy than you can read the first sentence in a research report. Our system watches for signs of major directional change of a stock's trend and then, and

only when appropriate, recommends action.

Investing in stocks carries a degree of risk and clients need to be aware of that. No system or strategy is perfect and ours is no exception. However, protecting a dollar of capital is just as important as earning a dollar and so there are built-in safety mechanisms in the StockExec system designed to increase safety but no such mechanisms can eliminate the risk altogether.

- B. For example, in back testing for the past 40 years there have been just five annual losses. Gains have far outnumbered losses in both frequency and size.
- C. We limit our recommendations to stocks alone in all phases of the investment cycle. Some advisors recommend a mix of stocks, bonds, cash, precious metals and others. We stick to what we know best and have the capability of profiting in falling markets as well as rising ones. We also take advantage of certain tools to reduce

the severity of most losses but we cannot always eliminate them.

Disciplinary Information

- A. There has never been any criminal or legal action against any member of StockExec in any jurisdiction worldwide.
- B. No member of management has ever been disciplined or involved in any way with administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.
- C. Neither StockExec nor any member of management has ever been disciplined or involved in any negative way with a self-regulatory organization.

Other Financial Industry Activities and Affiliations

There are no other financial industry activities or affiliations.

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

- A. As stated in the StockExec Code of Ethics, directors and staff (herein after referred to as staff) may use our automated system recommendations to buy and sell shares in covered companies under certain conditions designed to prevent any possibility of competition or appearance of competition with investment activities you may wish to conduct.

You may obtain an electronic copy of our Code of Ethics by requesting it from Service@StockExec.com.

- B. StockExec does not place orders for you or physically handle your investments or capital in any way. You have total control through a brokerage account you set up in your name or the name of an entity you control.
- C. StockExec receives no commission or any other financial or non-financial benefit from the brokerage with which you place orders or elsewhere.

- D. We do not see how, if we or a member of our staff places an order for the same stock as you at about the same time our order could have any influence on your order or the price at which you buy or sell the stock. For one thing, our Code of Ethics bars staff from entering an order with their broker during the first 24 hours after new recommendations are published by our automated system. In addition, we do not list thinly-traded stocks with which conflict might occur.

Brokerage Practices

- A. StockExec does not recommend brokerages other than generally to recommend online or discount brokerages to minimize commissions. We see no point in you paying for the services of a live broker's advice when our automated system gives all the buy or sell timing advice you should ever need. Other than wishing you to be completely happy with the service you use it is of no interest to us which brokerage you use.

- B. Since we have no part in buying or selling shares on your behalf or in directing it in any way we are not involved in aggregating client orders.

Review of Accounts

- A. Client accounts are reviewed in a number of ways and at different intervals for the following reasons:
 - a. Monthly for calculating profit or loss from which ResultsInAdvance fees or credits are calculated;
 - b. Sporadically to detect whether a client is having problems or perhaps needs help in using the system effectively and efficiently;
 - c. If a client calls in requesting general assistance regarding the operation of his or her account.
- B. See b. and c. above.
- C. Ongoing electronic reports list the client's employed investment capital, annualized rate of return and compare with the annualized return of investment over the same average period of the S&P500 Index. These details appear on every page

of the client's online account, updated daily. In a separate section of their dedicated pages is a full history of their completed investments since they became a client, listing all stocks owned, their profit or loss, how long and between what dates each was owned, their individual and combined rates of return, how many winners and how many losers. On yet another dedicated page the same details exist for all open trades.

Client Referrals and Other Compensation

A.

At this time no one provides any economic benefit to StockExec by providing investment advice or any other services, awards or prizes to our firm or to clients. We have no need for it, would not welcome it, and so there is no possibility of a conflict of interest.

B.

We do not compensate other non-supervised people for referrals.

Custody

We do not have custody of client funds or securities.

Investment Discretion

StockExec does not accept investment discretion.

Voting Client Securities

- A. StockExec does not accept authority for voting client securities.
- B. Clients should check with their broker whether they will receive proxies or other solicitations through that broker or from their custodian or transfer agent.

Financial Information

- A. StockExec does not require or solicit prepayment of more than \$1,200 in fees per client six months or more in advance.
- B. We do not have discretionary authority or custody of client funds.

C.

We have not been subject to bankruptcy proceedings at any time.