

Professional Profile for Paul Pitsironis

<http://www.paulpitsironis.com>



Paul Pitsironis

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My Business Philosophy

My mission is to provide financial peace of mind by helping investors achieve their financial goals. These goals include a comfortable retirement as well as financial security both now and late in life. I accomplish all of these goals for investors by providing custom portfolio management and planning services. I have the skills to put a plan into action and to make the necessary decisions on how to grow, and sometimes more importantly, how to protect my clients money.

My Education(Paul Pitsironis)

My degrees or years of college are:

- SUNY at Stony Brook / BA

Financial Services

I have the following years of financial services experience:

- 13

I provide the following types of financial planning services:

- AIF® (Accredited Investment Fiduciary)

Other: CMT (Chartered Market Technician)

I currently hold the following active securities licenses:

- Series 7 - Sell any type of security, mutual fund, or variable annuity
- Series 63 - Sell securities across state lines
- Series 65 - Act as an investment advisor for fees

Other: Series 9, Series 10

My CRD or IARD number is:

- 2804907

My financial registration and fiduciary status is:

- I am an Investment Advisor Representative
- I acknowledge I am a fiduciary when I provide financial advice or services

You can view my compliance record for financial services and products by going to www.finra.org and entering my CRD or IARD number. If no record appears, go to my state's securities commissioner website and enter the same number:

- <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/index.htm>

I provide the following planning services:

- Financial Planning
- Retirement Planning
- College Planning
- Charitable Planning
- Investment Strategy

I provide the following types of non-discretionary investment advice and services:

- Investment Strategy & Policy
- Asset Allocation
- Money Manager Selection
 - Active
 - Passive
- Risk Management
- Performance Measurement
- Current Portfolio Reviews

I provide discretionary money management services. I utilize the following types of investments:

- Exchange Traded Funds

I provide the following investment products:

- Exchange Traded Funds
- Securities

My minimum asset requirement for investment advisory or money management services is:

- \$500,000

My minimum net worth requirement for planning services is:

- \$500,000

My primary professional association memberships include:

- Market Technicians Association

Tax & Accounting Services

My firm's State Board of Accountancy number is:

- 0

I provide services for the following types of clients:

- Individuals & Families
- Businesses

You can view my compliance record for tax and accounting services by going to my State Board of Accountancy's website:

- <http://www.op.nysed.gov/cpa.htm>

Insurance Services & Products

I have the following years of insurance experience:

- 13

I hold the following active insurance licenses:

- Life
- Annuity
- Long-Term Care

Other: Certified by the State of New York to market the NY State Partnership for Long Term Care Program

My insurance license number for my home state is:

- NY/LA-847374

You can view my compliance record for insurance advice, services and products by going to the National Association of Insurance Commissioners and clicking on my state:

- http://www.naic.org/state_web_map.htm

I market the following types of insurance products:

- Life Insurance
- Annuities
- Long-term care

Business Practices (All Professionals)

My methods of compensation are:

- Asset-based fee (Percent of assets)
- Commission (Insurance products)

I provide services to remote clients over the telephone and Internet

I provide the following types of information services:

- Monthly reports
- Quarterly reports
- Annual reports
- Market Letters
- Newsletters

I generally respond to client calls or emails:

- The same business day (If call or email is received in the AM)

Certification:

I certify all of the information in this professional profile is complete, accurate, and up-to-date.

Professional: Paul Pitsironis

Most Recent Update: September 2, 2009