Professional Profile for Tony Taddeo

Tony Taddeo

Tarrytown, NY, 10591

Telephone: [914] 347-8800

My Business Philosophy

Our philosophy is to take an advice and relationship driven approach with our clients to provide independent, ethical and trustworthy advice.

My role is to help clients achieve their goals and make those changes in their financial lives that will result in greater financial security, piece of mind and personal freedom.

I provide all of the professional services that are listed in my advertisement.

My Education

My degrees or years of college are:

- Fordham University, BA

Financial Services

I have the following years of financial services experience:

- 11

I provide the following types of financial planning services:

- CFP® (Certified Financial Planner)

I currently hold the following active securities licenses:

- Series 7 - Sell any type of security, mutual fund, or variable annuity

My CRD or IARD number is:

- 112357

My financial registration and fiduciary status is:

- I am a Registered Investment Advisor

- 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
- Tax Planning
- Investment Strategy
- Current Plan Reviews

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
- Tax Efficient Strategies
- Current Portfolio Reviews

I provide the following investment products:

- Mutual funds
- Exchange Traded Funds
- Securities
- Equity Real Estate

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

- $100,000

My minimum net worth requirement for planning services is:

- None

My primary professional association memberships include:

- Financial Planning Association

Tax & Accounting Services

I provide services for the following types of clients:

- Individuals & Families
- Businesses

I provide the following additional tax and accounting services to individuals and families:

- Tax Planning

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 hold the following active insurance licenses:

- Life
- Long-Term Care
- Disability

My insurance license number for my home state is:

- NY/988901

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

Business Practices

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
- 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: Tony Taddeo

Most Recent Update: May 7, 2009