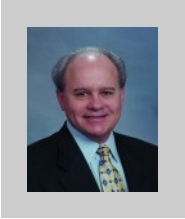


# Professional Profile for William A. Martone



## William A. Martone

<http://www.martonecapital.com>

White Plains, NY, 10606

Telephone: [914] 682-2151



### My Business Philosophy

Our approach to investing is to design a flexible investment program that allows an investor to adapt to changing market conditions without having to be concerned about being right all of the time with all of their investment dollars.

Flexibility means targeting a portion of an investors assets for Buy-And-Hold, while another portion of assets should be dedicated to moving money in and out of the market when historical risk is high.

We build portfolios suited to all investment strategies, risk tolerances and financial objectives. We utilize mutual funds, exchange traded funds, and individual stocks and bonds to design portfolios to meet our client's financial and investment needs.

We will work with you to find the strategies with the right balance between performance and risk.

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

### My Education

My degrees or years of college are:

- Pace College/ BBA/1971
- The American College/ CLU
- The American College/ChFC

## Financial Services

I have the following years of financial services experience:

- 36

I currently hold the following active securities licenses:

- Series 65 - Act as an investment advisor for fees

My CRD or IARD number is:

- 129788

My financial registration and fiduciary status is:

- I am a Registered Investment Advisor

You can view my compliance record for financial services and products by going to [www.finra.org](http://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
- Investment Strategy

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

- Investment Strategy & Policy
- Asset Allocation
- Risk Management
- Performance Measurement
- Current Portfolio Reviews

I provide the following investment products:

- Mutual funds
- Exchange Traded Funds
- Securities

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

- \$100,000

My minimum net worth requirement for planning services is:

- \$250,000

## Insurance Services & Products

I have the following years of insurance experience:

- 36

I hold the following insurance industry certifications or designations:

- ChFC (Chartered Financial Consultant)
- CLU (Chartered Life Underwriter)

I hold the following active insurance licenses:

- Life
- Annuity
- Long-Term Care
- Disability
- Health
- Property & Casualty

My insurance license number for my home state is:

- NY/605121

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](http://www.naic.org/state_web_map.htm)

I market the following types of insurance products:

- Life Insurance
- Annuities
- Long-term care
- Disability income
- Health
- Executive
- Business

## Business Practices

My methods of compensation are:

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

I provide services to remote clients over the telephone and Internet

I provide the following types of information services:

- Monthly 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: William A. Martone

Most Recent Update: March 20, 2009