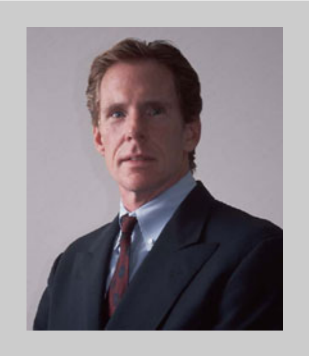
Professional Profile for Donald Conrad



Donald Conrad

http://www.conradcapital.com

Melville, NY, 11747

Telephone: [631] 439-7878

My Business Philosophy

Conrad Capital Management, Inc. is an independent registered investment advisor with over 70 years of combined industry experience, specializing in private wealth management, with a sub-specialty in alternative investments. Our hallmark has always been providing the highest level of service, working closely with our clients to maximize their risk-adjusted returns. Relationships, often intergenerational, are a testament to that.

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

My Education

My degrees or years of college are:

- Nassau Community College / Business Administration, Computer Science
- Suffolk County Community College / Business Administration
- The Collective School of Music

Financial Services

I have the following years of financial services experience:

- 29

I provide the following types of financial planning services:

- CFP® (Certified Financial Planner)
- CSA (Certified Senior Advisor)
- RFC (Registered Financial Consultant)

Other: RIA

I currently hold the following active securities licenses:

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

- Series 6 - Sales limited to mutual funds, variable annuities, variable life
- Series 24 - Supervisor for Series 6s and 7s
- Series 63 - Sell securities across state lines
- Series 65 - Act as an investment advisor for fees
- Series 66 - Act as an agent of a Broker/Dealer and an investment advisor

My CRD or IARD number is:

- 113648

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

Other: Alternative Investments

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

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

I provide the following investment products:

- Mutual funds
-

Exchange Traded Funds

- Securities
- Hedge funds

Other: Alternative Investments

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

- $100,000

My minimum net worth requirement for planning services is:

- $100,000

My primary professional association memberships include:

- National Association of Investment Professionals (NAIP)
- Finance Committee for the Huntington Chamber of Commerce
- Stony Brook College of Business Advisory Board

Tax & Accounting Services

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

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)
- Hourly fee
- Commission (Investment products)

I provide services to remote clients over the telephone and Internet

I provide the following types of information services:

- 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: Donald Conrad

Most Recent Update: May 13, 2009