

Protecting Your Assets



In the wake of numerous scandals like the Bernie Madoff Ponzi scheme, steps to safeguard your assets would include:

- Your investments should be publically traded investments, managed by nationally known and recognized firms, regulated under the Investment Company Act of 1940.
- No less than quarterly, statements should be mailed or emailed **directly** to you by the custodian, **NOT** from your advisor.
- The custodian of your assets should not be the advisor, but a nationally recognized third party independent from your advisor. The custodian could be a holder of a singular investment asset (Ex. American Funds) or a consolidator of multiple assets (Ex. TD Ameritrade).
- You should be able to login to the custodian's website (not the advisor's) and see your assets; they should match what is shown on your statements.
- **NEVER** invest in any investment that is created, managed, or "private labeled" by your advisor.
- All checks for investment should be made payable directly to the custodian, not the advisor.

Example: TD Ameritrade F/B/O YOUR NAME

we can be your
safeguard

We don't just use one of these safeguards; at **Assured Concepts** we apply all of them for your protection

When you work with us, you've been **assured.**





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Disclosure: All expressions of opinion reflect the sole judgement of David Schlossberg as of this date. The opinions may not reflect those of *fsic*. David Schlossberg is not an attorney, and this information is not intended to be a legal opinion.