



**Sarasota Capital Strategies**  
registered investment advisor

460 South Tamiami Trail  
Osprey, FL 34229  
(941) 918-2255

**Anthony Welch, CFP<sup>®</sup>, ChFC**

2/28/2013

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Anthony Welch that supplements the Sarasota Capital Strategies brochure. You should have received a copy of that brochure. Please contact our compliance or operations associate if you did not receive Sarasota Capital Strategies brochure or if you have any questions about the contents of this supplement.**

**Additional information about Antony Welch, CFP<sup>®</sup>, ChFC is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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### **Educational Background and Business Experience**

Form ADV Part 2B, Item 2

#### **Anthony Welch, CFP®, ChFC**

*Year of Birth:* 1960

*Formal Education after High School:*

- University of South Florida, B.A., Finance, 1990

*Business Background for the Previous Five Years:*

- Sarasota Capital Strategies, Inc., Principal, President, CCO September 2002 – Present
- RTR, LLC, Managing Member, January 2006 – Present
- ETF Pros, Inc., Managing Member, December 2005 – Present
- Welch & Associates, Inc., Principal, President, January 2000 – December 2012

*Certifications:*

- College of Financial Planning, Certified Financial Planner, CFP®
  - CFP® certificants must pass the comprehensive CFP® Certification Examination, pass CFP Board's *Fitness Standards for Candidates and Registrants*, agree to abide by CFP Board's *Code of Ethics and Professional Responsibility* which puts clients' interests first and comply with the *Financial Planning Practice Standards* which spell out what clients should be able to reasonably expect from the financial planning engagement. These are just some of the reasons why the CFP® certification is becoming increasingly recognized.
- American College, Chartered Financial Consultant®, ChFC
  - To receive the ChFC® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures.
- Life, Health, Disability & Annuity Insurance Licenses
  - Administered by the Florida Department of Financial Services, completion of 40 hours of approved insurance course for life, health and variable annuity insurance along with 100 multiple choice questions; 2 hours testing time. This insurance license is designed to qualify an individual representing an insurer as to life insurance and annuity contracts, or variable contracts by the same insurer. Annuity contracts, including, but not limited to, fixed or variable annuity contracts; the granting of endowment benefits, additional benefits in event of death or dismemberment by accident or accidental means, additional benefits in event of the insured's disability; and optional modes of settlement of proceeds of life insurance.

### **Disciplinary Information**

Form ADV Part 2B, Item 3

Anthony Welch has no disciplinary or legal history with any regulator, state agency or law enforcement.

### **Other Business Activities**

Form ADV Part 2B, Item 4

Anthony Welch is not registered and has no pending application to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA.

Anthony Welch is partial owner of RTR, LLC which is the landlord of the Sarasota Capital Strategies Osprey, Florida location. This activity represents less than five percent of his time and income during market hours.

### **Additional Compensation**

Form ADV Part 2B, Item 5

Anthony Welch does not provide advisory services away from Sarasota Capital Strategies, Inc. Sarasota Capital Strategies does not provide bonuses or incentives directly related to the number of sales, client referrals or new accounts of Mr. Welch.



### ***Supervision***

Form ADV Part 2B, Item 6

Anthony Welch is president, portfolio manager, chief compliance officer and sole owner of Sarasota Capital Strategies. As such, his investment advisory business is self monitored. Mr. Welch is bound by Sarasota Capital Strategies Code of Ethics (available upon request) and Sarasota Capital Strategies written supervisory procedures. Anthony Welch can be reached at (941) 918-2255 or [tony@etfpros.com](mailto:tony@etfpros.com)

### ***Requirements for State-Registered Advisers***

Form ADV Part 2B, Item 7

Anthony Welch has never been subject or found liable in any arbitration, civil, self-regulatory organization or administrative proceeding involving any of the following:

- an investment or an investment-related business or activity;
- fraud, false statement(s), or omissions;
- theft, embezzlement, or other wrongful taking of property;
- bribery, forgery, counterfeiting, or extortion; or
- dishonest, unfair, or unethical practices.

Anthony Welch has not filed and is not subject of a bankruptcy petition.

