



Sitting on the Same Side of the Table with Clients



Lee A. Duckworth,
CFP®, RFC®, CMFC
President & CEO

1300 Division Road, Ste. 203
West Warwick, RI 02893
www.capitalwealthinc.com

The Securities and Exchange Commission (SEC) is under mounting pressure from its Chairman, Mary Jo White, who recently called on her fellow SEC commissioners to finally decide on whether brokers should be held to the same uniform fiduciary standard that investment advisors must uphold, in order to protect investors across the board.

Meanwhile, according to Lee A. Duckworth, president and CEO of Capital Wealth Management, Inc., client receptivity to the independent Registered Investment Advisory (RIA) model has never been better. "Because of the fiduciary standard we follow, we find ourselves in a

time when our service model, our offering and our value proposition are second to none," said Duckworth. He thinks that a uniform standard will continue to be debated robustly throughout the industry. "We like the 'conflict of interest-free' nature and culture of sitting on the same side of the table with our clients. I think it's going to move in that direction, although as the industry knows, the 100-pound gorilla is on the other side of the fence with the brokerage firms – or more aptly, the 500-pound gorilla," he quipped.

Based in West Warwick, Rhode Island, Capital Wealth Management is very active in preparing customized investment consultation, financial



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really pressed into those relationships and had an investment policy statement for each family that accurately reflected their acceptance of risk.” Of course, Duckworth admits that the history-making plummet did affect people. “Certainly, by the end of 2009, there was a percentage of clients who realized that they weren’t as accepting of volatility as they thought they were, so some realignments were necessary.”

In addition to alternative investments, Capital Wealth Management differentiates itself from its competition through their partnership with eMoney Advisor, LLC, a global company providing an advanced cloud-based technology platform. In the ongoing spirit of client service, Duckworth said, “Transparency of fees and cost structure is an absolute must, and clients can access daily valuations on our website.” Charles Schwab & Co., Inc. is custodian for the majority of Capital Wealth Management’s client assets, along with other custodial partners.

planning and insurance solutions for clients. “We are well known in the New England area for our extensive expertise in the alternative investment space, such as the oil and gas energy sectors, senior secured floating rate debt, and in mezzanine financing and non-traded REITs,” said Duckworth. Since about one-quarter of the firm’s clients are retired and income-dependent, they require a more conservative approach, but in working with their “accumulator clients,” Duckworth says, “We are traditional Alpha seekers in 15 to 25 different asset classes.”

Looking back to the economic downturn of five years ago, Duckworth, a Certified Financial Planner®, felt that his firm weathered the storm well. “Our client retention was fantastic,” he said. “Prior to 2008, we were almost legalistic about defining the risk levels of our clients – we



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Presentation is prepared by: Capital Wealth Management, Inc.

(401) 885-1060

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