

# DUKE & DUKE WEALTH MANAGEMENT LLC

*Helping Secure  
Your Retirement*

Discover why high-net-worth individuals worldwide choose Duke & Duke Wealth Management, where our role as Registered Fiduciaries and our commitment to personalized, comprehensive financial strategies set us apart in helping clients achieve their long-term financial ambitions.



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# DUKE & DUKE

## WEALTH MANAGEMENT LLC



### About Us

Duke & Duke Wealth Management partners are Registered Fiduciaries, registered with the state of Pennsylvania, and Dalbar as an investment adviser providing asset management to high-net-worth individuals worldwide. We uphold the industry's highest standard of care and help investors reach their long-term goals through active money management.

### Our Services

Duke & Duke Wealth Management provides comprehensive, personalized financial planning services—including managed portfolios, alternative investments, Tax Free Strategies and safe market growth vehicles without market risk, income planning and a customized social security analysis.

### Our Core Values



#### Registered Fiduciaries

Registered with the state of Pennsylvania and Dalbar



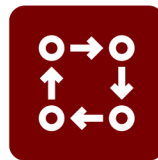
#### Client-Centric

We put your needs first



#### Strategic Planning

We research and access the right solutions for your needs



#### Leveraging Experience

We understand the complexities of managing wealth



#### Holistic

Our approach is all-encompassing and holistic





# DUKE & DUKE

## WEALTH MANAGEMENT LLC

### What Makes Us Different

Owned collectively by us, not by banks or investment firms, Duke & Duke prioritizes client interests above all. Unlike others offering one-size-fits-all solutions, we craft personalized financial plans by understanding your unique goals, needs, and life situation, ensuring advice that's as individual as you are.

### Our Fee Structure

Unlike some money managers, we don't earn commissions on trades. Instead, we charge a fee on the money that is invested in our portfolios. We never charge a fee on cash in the account. By doing this, we're always focused on clients' best interests, and when our clients do better, we do better.

### Who Makes Decisions?

Leveraging over 120 years of combined investing expertise, we collaborate with you on every strategic decision, never acting without your consent. Our commitment to a holistic, long-term investment strategy and our dedication to acting in your best interests—free from outdated conventions—distinguish our personalized service from traditional advisory practices.

### Your Goals, Our Priority

With over 50 years of history, Duke and Duke Wealth Management, a subsidiary of Secure Retirement Strategies, delivers expert investment advice. Whether it's saving for a home, education, early retirement, or ensuring a comfortable future, we guide you in setting and achieving your financial goals through our tailored services.

## Why Should I Pay for Services I Could Manage Myself?

Here's How We Offer Value and Save You Money:

1. **Crafting “Do-Able” Plans**
2. **Providing More than Financial Advice**
3. **Guiding on Optimal Investment Timing and Choices**
4. **Planning for Your Income Needs**
5. **Alleviating Financial Stress**

Our client relationships are long-lasting and interactive, guaranteeing consistent, unbiased advice and support. We proactively engage with you about your goals and successes, not just when it suits us.

We excel in providing top-tier, affordable institutional funds and varied, risk-adjusted portfolios, independent of proprietary limits and without receiving fees from product vendors.

## Why Specialized Expertise?

We provide end-to-end financial guidance, from tax to estate planning, prioritizing your needs to achieve long-term goals. Our expertise supports pre-retirees and retirees in navigating retirement planning, investment strategies, and tax-efficient income, emphasizing personalized financial solutions.

As retirement approaches, we help manage crucial decisions and regulatory compliance, minimizing risks of penalties and taxes. Our unique approach combines personalized advice with the expertise of seasoned advisors, offering a distinct wealth management experience.



## Can't I just find my own financial advice online?

We take a **holistic** approach to your financial planning, integrating investments with a suite of services to optimize your financial health beyond just stock market investments. Our comprehensive service offering includes:

- **Retirement planning**
- **Superannuation**
- **Personal insurance**
- **Pension review and optimization**
- **Tax-free income**
- **Long-term care options**
- **Tax efficiency**

By **centralizing** these services, we eliminate the complexity of managing your finances through multiple channels or on your own, ensuring a cohesive strategy tailored to your unique situation. We focus on maximizing your assets for retirement, employing strategies for efficient withdrawals and leveraging tax advantages to secure your financial future.

## Doesn't everyone claim to be "Client Focused"?

Since launching in 2013, we've **prioritized** client-first strategies, distinguishing us from other investment firms. Our structure divides sales and portfolio management to provide focused, specialized attention throughout our relationship.

Your life's journey is **unique**, and we believe your financial strategy should be too. We customize financial plans to fit your individual needs and adapt as your life evolves.

As fiduciaries, we're legally bound to act in your best interest, free from product sales or commissions, ensuring our advice aligns with what's best for you.

# TAILORED WEALTH MANAGEMENT ACROSS LIFE'S MILESTONES

DUKE & DUKE  
WEALTH MANAGEMENT LLC

Our wealth management approach caters to every stage of life, from accumulating wealth and transitioning to retirement, to enhancing your legacy. With a commitment to understanding your unique needs, goals, and risk tolerance, we craft customized portfolios and investment plans, ensuring discipline and proactive support throughout your financial journey.

## Comprehensive Wealth Management for Every Life Stage

From wealth accumulation and retirement planning to legacy enhancement, your dedicated wealth planner is committed to guiding you at every step. We offer bespoke portfolio strategies based on a deep understanding of your individual goals, risk tolerance, and financial situation. Our approach involves creating a tailored investment plan, ensuring discipline with hands-on advice and resources. All account activities are non-discretionary, requiring your approval before any transaction, guaranteeing a personalized service aligned with your long-term financial aspirations.

01

## Expert Portfolio Analysis and Optimization

We conduct thorough evaluations using Morningstar and iQUANT to provide a detailed analysis and personalized recommendations for your portfolio's growth and improvement. Seeking a second opinion from us, much like consulting a specialist for a medical diagnosis, can offer crucial insights into risk management, diversification, and fee efficiency, ensuring your investment strategy is optimized as you near retirement.

02

## Personalized Investment Strategy Development

We ensure your comfort with our investment recommendations, leveraging our extensive experience in managing assets for high-net-worth individuals and their families. Recognizing that each client has unique needs influenced by various factors, we tailor our investment strategies from the start and adapt as your requirements evolve. This personalized approach, coupled with continuous communication, enables us to manage your assets efficiently and achieve your financial goals.

03

## Fiduciary Investment Management

We use top-rated investments to create diversified portfolios tailored to each client's goals, avoiding mutual funds to minimize extra fees from advisors and fund managers. Our strategy integrates top-down investment analysis with bottom-up company evaluation, while also considering economic and political impacts on markets and sectors.

04



## **Benefiting from Working with a Registered Fiduciary**

The Registered Fiduciary (RF™) Certification identifies financial professionals and organizations as competent fiduciaries that have achieved pertinent educational qualifications and licenses, learned required skills, and have passed a background check.

In acting as a Registered Fiduciary, we are committed to always acting in the best interest of our clients, using the skills, ethics and focus on the client needs that the Certification represents.

“At a time when the public concern has been elevated by years of financial excesses and scandals, the RF™ validation process offers comfort in the knowledge that our firm has been found worthy of this distinction”. “We have always been dedicated to our clients and this award gives us the independent confirmation of this policy.”

The Registered Fiduciary Certification is based on the 2010 Fiduciary Standards of the Fiduciary Standards Board and validated by Dalbar, Inc., the independent expert.

The Fiduciary Standards Board is a not-for-profit (501(c)(3)) organization established in September of 2000 to develop and advance standards of care for investment fiduciaries, which includes trustees, investment committee members, brokers, bankers, investment advisers, money managers, etc. The Fiduciary Standards Board is independent of any ties to the investment community and therefore positioned to be a crucible for advancing fiduciary standards throughout the industry and to the public.

Dalbar, Inc. is the financial community’s leading independent expert for evaluating, auditing and rating business practices, customer performance, product quality and service. Launched in 1976, Dalbar has earned the recognition for consistent and unbiased evaluations of investment companies, registered investment advisers, insurance companies, broker/dealers, retirement plan providers and financial professionals. Dalbar awards are recognized as marks of excellence in the financial community.





Being a registered fiduciary with Dalbar signifies adherence to high ethical standards and a commitment to acting in the best interests of clients, as verified by a leading independent authority on financial services.

An A+ rating from the Better Business Bureau signifies the highest trust level, showcasing a business's commitment to ethical practices, customer satisfaction, and reliability.



Membership in the National Ethics Association demonstrates a passion for upholding high ethical standards in our professional practices.

Having 120+ 5-star reviews on Google Reviews reflects outstanding customer service, showcasing a consistent commitment to exceeding customer expectations and earning high satisfaction ratings.



Membership in NASBA represents a commitment to advancing the accounting profession's effectiveness, ethical standards, and public protection since 1908.

**Forbes**

*“Bonds Are Not As  
Safe As They Seem; Here's Why”*  
by Marc Smith & Michael Neft

*“Are You Prepared For Retirement?”*  
by Marc Smith & Michael Neft

**FORTUNE**

**Money**

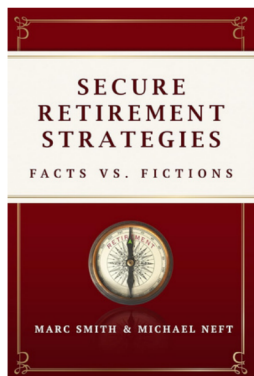
*“An Analysis of the Pension Crisis”*  
by Marc Smith & Michael Neft

*“Fee Based Accounts: The Good, The Bad,  
and The Ugly”*  
by Marc Smith & Michael Neft

**FORTUNE**

**CNNMoney**

*“Pension Plans Are  
Not What They Used To Be”*  
by Marc Smith & Michael Neft

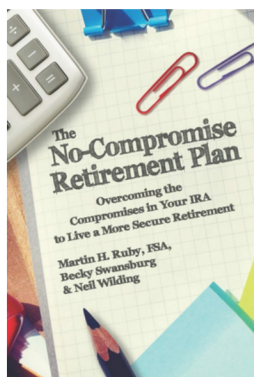


**“Secure Retirement Strategies:  
Facts VS. Fictions”**

by Marc Smith & Michael Neft

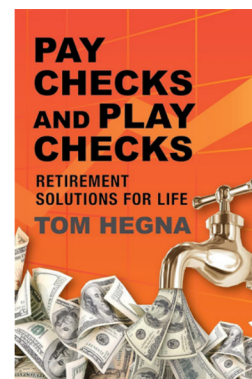
**“Getting Away Tax-Free in Retirement:  
How to Legally Avoid Paying More Tax Than You  
Have To”**

by Marc Smith, Michael Neft,  
and Merrick Smith



**“The No-Compromise Retirement Plan”**  
by Martin H. Ruby (Author), Neil Wilding  
(Author), Becky Swansburg (Author), **Marc  
Smith & Michael Neft** (Contributors)

**“Paychecks and Playchecks”**  
by Tom Hegna (Author), **Marc Smith &  
Michael Neft** (Contributors)





# CLIENT QUESTIONNAIRE

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What do you aim to achieve with your finances?

What do your finances need to do for you and your family?

What are your future income needs, goals, and objectives in clear terms?

Is your current portfolio structured to meet these goals?

What concerns do you have about the future of these funds?

What are your expectations for Duke & Duke Wealth Management?

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