

**"Ask First!"** This form is to be filled out by any person who is offering legal, financial, retirement, insurance, accounting, estate, long-term care or similar planning services. Respond to **ALL** categories completely; sign and date at the bottom of the page.

**MY EDUCATION-** I have achieved the following level of education (check HIGHEST level achieved):

Some High School	Some College
GED	Bachelors Degree – <b>BS Chem Eng</b>
High School Diploma	Masters or Other Advanced Degree – <b>MBA, MS Oceanography</b>

**MY CREDENTIAL(S)-** I have the following specialized credential(s) and training: **CFP (Certified Financial Planner); 30 years of financial management experience as chief financial officer or controller at both public and private companies; have owned my own companies; Adjunct Professor in Accounting at Pepperdine Bus School (OC Campus) and Chapman University.**

**MY RELEVANT LICENSE(S)-** I have the following license(s) giving me the legal authority to provide the services I am offering to you (bar license (attorney); securities license; insurance license):

License Type	Covers What Activities	Issued By	License No.
<b>Registered Investment Advisor</b>	Financial Planning	FINRA	134243
<b>Registered Representative</b>	Buying and Selling Securities;	FINRA	4113189
<b>CPA</b>	Tax and Accounting Services	State of CA	100865
<b>Enrolled Agent</b>	Tax Representation Before the IRS	US Dept of Treasury	83034
<b>Real Estate Broker</b>	Real Estate Activities	State of CA	01377869

**LEGAL SERVICES -** (Check ONE):

- I DO NOT practice law, and the services I am offering to you do not involve practicing law.
- I DO practice law, and have an active license to practice law in California.
  - I DO practice law, but DO NOT have an active license to practice law in California.

**OUR BUSINESS RELATIONSHIP:**

**TRUE –** In our business relationship, **I will at all times serve as a fiduciary** and put your interest before my interests and those of my employer. (Only fiduciary relationships are allowed by NAPFA members)

**MY COMPENSATION-** I will be paid in the following way (commission, fee, salary, etc.), by the named person or company, in connection with the services I am offering to you:

**Way(s) I'll Be Paid: FEE ONLY**

**Payment will be made by: CLIENT**

**Tax and Financial Planning: \$150 per hour**

**Investment Management: 1%. annually on first \$1,000,000 of assets under management; sliding scale above \$1,000,000. (No minimum)**

**FINANCIAL PRODUCTS / AFFILIATED ORGANIZATIONS – FALSE (do not sell products)** I offer or sell annuities, insurance, mutual funds or other financial products; or I am, or my employer is, affiliated with a person or organization that offers or sells annuities, insurance, mutual funds or other financial products.

<b>I certify under penalty of perjury that the responses herein are true to the best of my knowledge.</b>	
Date: 9/28/11	Business Name: Scott Anderson Financial
Signature: /s/ Scott K Anderson, Jr.	Address: 4695 MacArthur Court #480, Newport Beach, CA 92660
Print Name: Scott K Anderson, Jr.	Telephone: (949) 200-7111 <a href="http://www.newportadvisory.com">www.newportadvisory.com</a>
	Email: <a href="mailto:sanderson@skacpa.com">sanderson@skacpa.com</a>

## **Scott K Anderson, Jr. CPA CFP® EA**

*Investment, Tax, and Accounting Services*

4695 MacArthur Court, Suite 480  
Newport Beach, CA 92660

Email: sanderson@skacpa.com

Office: 949-200-7111

Cell: 949-422-3484

Web: [www.newportadvisory.com](http://www.newportadvisory.com)



Scott Anderson has had over thirty five years experience in accounting and corporate finance including duties as Chief Financial Officer at two public computer software companies. In addition, Scott Anderson has owned his own companies and worked in several venture capital start ups.

Scott Anderson also serves as adjunct professor in accounting in the MBA program at Pepperdine University (Orange County campus) and in the undergraduate business program at Chapman University. In the past he has served in a similar capacity at UCI, CSULB, and CSUF.

As a former business owner, Scott Anderson is particularly sensitive to the issues surrounding small businesses and their owners. Former students who have started businesses, are among his many clients.

The focus of Scott Anderson Financial investment management services is the preservation of principal and current cash return on investments as the key to preparing for, enjoying, and sustaining retirement.

Scott Anderson is a member of NAPFA (National Association of Personal Financial Advisors) and maintains a fee only practice. In addition Scott Anderson is a member of the American Institute of Certified Public Accountants, the National Association of Enrolled agents, and is a past board member and treasurer of the local chapter of the Financial Planning Association.

### **Professional Certifications and Licenses**

Certified Public Accountant (California)

Certified Financial Planner

Enrolled Agent (Federal license to represent clients before the IRS)

California Real Estate Broker

Registered Representative (Cambridge Investment Research)

Registered Investment Advisor (California)

### **EDUCATION**

MBA, Stanford University

MS Oceanography, Scripps Institution of Oceanography, UC San Diego

BS Chemical Engineering, University of Pennsylvania

PhD Program (Economics), Claremont Graduate University (accepted but unable to attend)

### **COMMUNITY**

Past president, Harbor View Community Association

Past member, Newport Mesa Unified School District Budget Advisory Committee

### **MILITARY**

US Navy