

“RING, RING, IT’S THE SEC!”

You may already know that the Securities Exchange Commission (the SEC) is one of the most important organizations charged with monitoring and guiding the investment industry in general, and investment advisors, such as Hollencrest, in particular. Of course, the SEC is concerned with discovering any non-compliant activities, but they are also concerned with making sure they keep fully aware of all of the activities of investment advisors and all trends in the investments industry. The SEC thoroughly reviews all of the information it gathers about and from all entities in the industry, including advisors, custodians, clearing firms, etc., and applies sophisticated analytical methods to help them accomplish these important goals.

One important information resource is you, the investment advisory client. The SEC often contacts investment clients as just one more way of finding out or confirming what is and is not happening to and affecting clients. At any time the SEC could make a selection of Hollencrest clients and contact them, just as a routine part of their overall process. It doesn't mean anything is wrong or that there's any cause for concern – it's just one more tool that helps the SEC.

Being contacted by the SEC might be a bit startling, but there's nothing to be alarmed about. Thank you in advance for helping the SEC do their job.

If you have any questions, comments or concerns please do not hesitate to contact your investment advisor or our administration department at (800) 838-8951. Once again, our relationship with you is our most important asset, and Hollencrest will continually strive to provide you with the best service possible.