

GORE
CAPITAL MANAGEMENT

Dear Clients:

On June 5, 2019, the Securities and Exchange Commission adopted Regulation Best Interest (or Reg BI), which established a “best interest” standard of conduct for broker/dealers and associated persons when we make recommendations to a retail client. This new regulation became effective on June 30, 2020. As a component of that regulation, we now provide existing and future clients the attached disclosures, as well as information about us and our practice.

In our practice, we serve as registered financial professionals to our clients and offer comprehensive financial planning & investment management services.

We typically act as Registered Representatives (RR) and Investment Advisor Representatives (IAR). As CERTIFIED FINANCIAL PLANNER® professionals and CFA® charterholders, we have a fiduciary obligation to all clients, regardless of whether we are acting as an RR or IAR.

In developing our recommendations, we believe it is critical to first have a clear understanding of our clients’ goals & objectives, time horizon, and risk tolerance as well as any constraints or unique circumstances. We work with our clients to create an investment policy statement outlining these important characteristics, and we recommend an investment strategy that we believe to be in their best interest based on those characteristics.

We carry securities licenses that allow us to offer stocks, bonds, mutual funds, and exchange-traded funds. Additionally, we are licensed to offer insurance products including life insurance, long-term care insurance, and annuities. We do not offer health insurance, automobile insurance, umbrella insurance, or property and casualty insurance. We do not receive any direct or indirect benefits from a third party arrangement such as revenue sharing or marketing support.

We hope this letter helps you to better understand our practice, but if you have any questions or would like additional detail, please don't hesitate to let us know.

Sincerely,



Peter H. Gore, CFA, CFP®, MBA



Benjamin Sadtler, CFA, CFP®