CarusoMcLean
INVESTMENT ADVISORS

INVESTED IN OUR COMMUNITY, FOCUSED ON YOU



# Our Team

**Partners**

**Gregory B. McLean**
**President and Founding Partner**
**Registered in 12 states**

"I've counseled clients and managed their portfolios for over 25 years. I realized early on that each of my clients has their own story ... their own distinct circumstances and views on investing. That's why we custom design portfolios for our clients. We don't try to squeeze them into a predetermined model."

"In our first conversation together, we'll discuss exactly where you are and where you're going financially. What's your tolerance for risk? With what kinds of investments are you comfortable? Who are you responsible for ... family, a business, a not-for-profit?"

"It's my job to get you from point A to point B, but at the same time, help take the worry out of investing. Give me a call today and we'll start the conversation."

Greg's career in financial services began as an account executive with E. F. Hutton & Co. in 1980. Before he co-founded Caruso McLean & Company, Inc. in 1988, he was vice president/branch manager at Tucker Anthony & R. L. Day, Inc.

Greg graduated Cum Laude with a bachelor's degree in business management at Siena College. He took graduate courses at the Lally School of Management at Rensselaer Polytechnic Institute.

He serves on the boards of the House of the Good Shepherd, Presbyterian Homes and Services, and as chair of the board at Faxton-St. Luke's Healthcare.

Greg resides in Clinton, New York with his wife Cindy and their two children.

Series 7 General Securities
Series 8 General Securities Supervision
Series 63 State Uniform Securities
Series 66 Investment Advisor Representative
Life and Health Insurance Agent in New York and Florida
Accredited Asset Management Advisor
Accredited Wealth Management Advisor

gbm@carusomclean.com

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**In Memoriam**

**Ernest R. Caruso**

As many of you know, my partner, Ernie Caruso, passed away on May 6, 2010 of cancer.

Our office mourns his loss, as do his clients, friends, and family.

Ernie's clients were very important to him, as I'm sure they know. I want to reassure them that their accounts will be in capable hands with Ernie's son, Stephen.

Steve has been an integral part of this firm since 1995. He is ready to help his father's clients with their portfolios and financial planning.

On behalf of all of us here at Caruso McLean & Company, I want to thank you for your confidence in Ernie and our firm. Be assured that Ernie's legacy, personal relationships as the foundation for client service, will continue.

Our name will remain the same, as will our service to you, our loyal clients. Please feel free to call Steve or me with any questions or concerns you might have regarding your portfolio.

And please join us in remembering Ernie Caruso and celebrating a life well lived.

Sincerely,

Greg McLean

President

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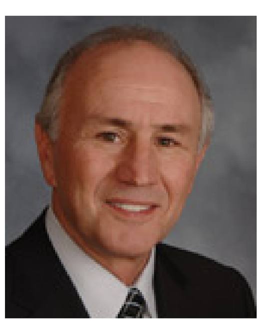

**Ernest R. Caruso**
**Vice President, Founding Partner, and Chief Compliance Officer**
**Registered in 9 states**

*"My clients are looking for investment growth and financial health. They have questions about the markets and they wonder which investments are right for them. That's fine with me because I've always been a believer in face-to-face conversations with clients about their financial goals, plans, and investments. I'm happy to speak with them when they call. The best part of being in business all these years has been the clients I've met and have come to call friends."*

Ernie began his career in business as an office manager of a regional medical supply company and then treasurer of a privately endowed museum and school of the arts.

He started in the securities industry as a representative with Dean Witter Reynolds in 1982. Later he joined Tucker Anthony and R. L. Day until he co-founded Caruso Mclean in 1988.

Ernie graduated with an associate's degree in accounting from Herkimer County Community College.

He was a member of the board of the SUNY Institute of Technology Foundation at Utica/Rome, Inc. and was treasurer of the Mohawk Valley Handicapped Persons Association.

He lived in New Hartford, New York with his wife Estelle. He has two grown children, one of whom, Stephen, is also with the firm.

Series 7 General Securities
Series 63 State Uniform Securities
Series 66 Investment Advisor Representative
Life and Health Insurance Agent in New York and Florida

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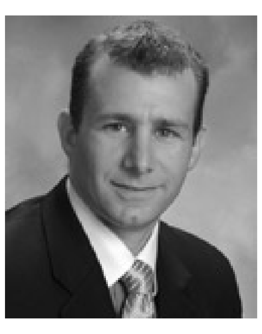
**Associates**



**Stephen Caruso, CFA**
**Chief Investment Officer**

"My goal is to partner with clients and develop long lasting relationships. The foundation of that relationship is careful listening. I want to assist clients in outlining portfolio goals and in formulating investment risk and return objectives. Every client is unique and the challenge of creating, implementing, and monitoring an investment program to achieve their goals is what motivates me."

Stephen began his career at Caruso McLean and Company, Inc. in 1995. He graduated from Bucknell University with a BS in Mathematics. Stephen was awarded the Chartered Financial Analyst designation in 2009.

The CFA curriculum and examinations set a globally recognized program for measuring the competence and integrity of financial analysts, portfolio managers and investment advisers.

To earn the CFA charter, a candidate must sequentially pass three six-hour examinations, complete a minimum work-experience requirement in the investment decision-making process, and to have signed a commitment to abide by the CFA Institute Code of Ethics and Standards of Professional Conduct

Stephen lives in New Hartford with his wife Stacy and their two children.

Series 7 General Securities
Series 24 General Securities Principal

Series 63 State Uniform Securities
Series 66 Investment Advisor Representative
Life Insurance New York

slc@carusomclean.com

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**Lori A. Glennon**
**Vice President of Investments**

"I help my clients take advantage of opportunity in today's global economy but always with a clear eye to their financial future. Over my 32-year career, my clients have come to know first-hand the benefits of leveraging good decision-making for long-term financial growth, no matter what the day-to-day fluctuation of the markets.

"I'll offer you reliable, dependable advice, research, and market forecasts. And not only will I help you understand it all, but I'll keep you on track for the financial independence you deserve."

Lori's career as an investment advisor started on Wall Street in 1980 as a utilities analyst at J. & W. Seligman (now Seligman Investments). After Seligman, she joined Tucker Anthony & R. L. Day, Inc. working with Greg McLean, the current principal of Caruso Mclean, Inc.

From Tucker Anthony she moved to SBU Investment Services in 1990 and then M. Griffith Investment Services, Inc. in 2000. Greg McLean is happy to welcome Lori to Caruso McLean & Company, Inc. beginning January 2012.

Lori graduated from St. Bonaventure University in 1980 with a BS in Economics. She is an active skier and golfer and enjoys traveling to visit her two grown daughters. She lives with her husband Joe in New Hartford, NY.

Series 7 General Securities
Series 24 General Securities Principal
Series 63 State Uniform Securities
Series 65 Investment Advisor Representative

lag@carusomclean.com

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**Management & Support**

**Linda Desmond**
**Chief Operations Manager**

"My goal is to gain our clients' confidence and meet or exceed their expectations."

Linda worked as a legal secretary before joining Caruso McLean & Co., Inc. in June of 1996. She resides in Ilion, New York with her husband, Allen. She enjoys spending time with her four children and four grandchildren. She's also a gardener, an avid reader, experienced seamstress, and amateur artist.

linda@carusomclean.com




130 Lomond Court, Utica, NY, 13502
Phone: (315) 724-5105 Fax: (315) 724-5196 Toll Free: (877) 724-5105
Email: info@carusomclean.com