

# **Form ADV Part 2B – Individual Disclosure Brochure**

**for**

**Robert E. Dockendorff, JD, LL.M  
Associate Vice President, Financial Advisor**

**Effective: March 26, 2019**

This Form ADV Part 2B (“Brochure Supplement”) provides information about the background and qualifications of Robert E. Dockendorff (CRD# **6555695**) in addition to the information contained in the Claro Advisors LLC (“Claro” or the “Advisor”) (CRD # 160294) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Claro Disclosure Brochure or this Brochure Supplement, please contact us at (800) 604-2838 or by email at [info@claroadvisors.com](mailto:info@claroadvisors.com).

Additional information about Mr. Dockendorff is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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**Claro Advisors, LLC**

Boston Office: 185 Dartmouth Street, 6th Floor, Boston, MA 02116

Phone: (800) 604-2838 \* Fax: (866) 920-4359

[www.claroadvisors.com](http://www.claroadvisors.com)

## Item 2 – Educational Background and Business Experience

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Robert E. Dockendorff, born in 1984, is an Associate Vice President of Claro. Mr. Dockendorff earned an LL.M from Boston University School of Law in 2015 and his Juris Doctor from Suffolk University Law School in 2009. Mr. Dockendorff also earned a Bachelor of Arts from University of Vermont in 2006. Additional information regarding Mr. Dockendorff's employment history is included below.

### Employment History:

Associate Vice President, Claro Advisors LLC	11/2015 to Present
Owner, Op Five K, LLC	05/2015 to Present
Senior Associate Financial Counselor, The Colony Group	01/2013 to 11/2015
Associate, Sullivan & Worcester	05/2012 to 10/2012
Associate, Ernst & Young	07/2010 to 04/2012

## Item 3 – Disciplinary Information

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*There are no legal, civil or disciplinary events to disclose regarding Mr. Dockendorff.* Mr. Dockendorff has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Dockendorff. Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. *As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Dockendorff.* However, we do encourage you to independently view the background of Mr. Dockendorff on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6555695.

## Item 4 – Other Business Activities

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### Insurance Agency Affiliations

Mr. Dockendorff is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from a Mr. Dockendorff's role with Claro. As an insurance professional, Mr. Dockendorff may receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Dockendorff is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This may cause a conflict of interest in recommending certain products. Clients are under no obligation to implement any recommendations made by the Mr. Dockendorff.

### Op Five K, LLC

Mr. Dockendorff is an owner of Op Five K, LLC where he negotiates the purchase and sale of parcels of raw land. He also prepares deeds and maintains the finance, legal and account records.

## Item 5 – Additional Compensation

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Mr. Dockendorff has additional business activities where compensation is received as noted above in Item 4.

## Item 6 – Supervision

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Mr. Dockendorff serves as an Associate Vice President of Claro and is supervised by Jennifer Street, the Chief Compliance Officer. Ms. Street can be reached at (800) 604-2838.

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Claro has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Claro. Further, Claro is subject to regulatory oversight by various agencies. These agencies require registration by Claro and its Supervised Persons. As a registered entity, Claro is subject to examinations by regulators, which may be announced or unannounced. Claro is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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