

**FORM ADV****Uniform Application for Investment Adviser Registration****Part II - Page 1****OMB APPROVAL**

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Name of Investment Adviser: <b>Peak Wealth Management, LLC</b>						
Address:	(Number and Street)	(City)	(State)	(Zip Code)	Area Code:	Telephone Number:
	4600 South Syracuse, Suite 250	Denver	CO	80237	303-331-0123	

**This part of FORM ADV gives information about the investment adviser and its business for the use of clients.  
The information has not been approved or verified by any government authority.**

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(Schedule A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form  
are not required to respond unless the form displays a currently valid OMB control number.

Applicant: **Peak Wealth Management, LLC**

SEC File Number:

801- **55409**

Date:

**4/22/2009**

**1. A. Advisory Services and Fees.** (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

**Applicant:**

- |   |  |           |   |
|---|--|-----------|---|
| <input checked="" type="checkbox"/> (1) | Provides investment supervisory services .....   | <b>80</b> | % |
| <input type="checkbox"/> (2)            | Manages investment advisory accounts not involving investment supervisory services.....  |           | % |
| <input checked="" type="checkbox"/> (3) | Furnishes investment advice through consultations not included in either service described above...  | <b>10</b> | % |
| <input type="checkbox"/> (4)            | Issues periodicals about securities by subscription .....  |           | % |
| <input type="checkbox"/> (5)            | Issues special reports about securities not included in any service described above.....   |           | % |
| <input type="checkbox"/> (6)            | Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities..... |           | % |
| <input checked="" type="checkbox"/> (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities...   | <b>10</b> | % |
| <input type="checkbox"/> (8)            | Provides a timing service .....  |           | % |
| <input type="checkbox"/> (9)            | Furnishes advice about securities in any manner not described above.....   |           | % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

- B. Does applicant call any of the services it checked above financial planning or some similar term? . . . . . Yes ☒ No ☐

C. Applicant offers investment advisory services for: (check all that apply)

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input checked="" type="checkbox"/> (2) Hourly charges                          | <input type="checkbox"/> (5) Commissions       |
| <input type="checkbox"/> (3) Fixed fees (not including subscription fees)       | <input type="checkbox"/> (6) Other             |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

**2. Types of clients** - Applicant generally provides investment advice to: (check those that apply)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> A. Individuals           | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations                    |
| <input type="checkbox"/> B. Banks or thrift institutions     | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input type="checkbox"/> C. Investment companies             | <input type="checkbox"/> G. Other (describe on Schedule F)   |
| <input type="checkbox"/> D. Pension and profit sharing plans |  |

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)**

**3. Types of Investments.** Applicant offers advice on the following: (check those that apply)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities                                       | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities                             | <input checked="" type="checkbox"/> I. Options contracts on:               |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter                     | <input type="checkbox"/> (1) securities                                    |
| <input type="checkbox"/> (3) Foreign issuers   | <input type="checkbox"/> (2) commodities                                   |
| <input checked="" type="checkbox"/> B. Warrants  | J. Futures contracts on:   |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles                                     |
| <input type="checkbox"/> D. Commercial paper   | <input type="checkbox"/> (2) intangibles                                   |
| <input type="checkbox"/> E. Certificates of deposit  | K. Interests in partnerships investing in:                                 |
| <input checked="" type="checkbox"/> F. Municipal securities                                    | <input type="checkbox"/> (1) real estate                                   |
| <input checked="" type="checkbox"/> G. Investment company securities:                          | <input type="checkbox"/> (2) oil and gas interests                         |
| <input checked="" type="checkbox"/> (1) variable life insurance                                | <input checked="" type="checkbox"/> (3) other (explain on Schedule F)      |
| <input checked="" type="checkbox"/> (2) variable annuities                                     | <input checked="" type="checkbox"/> L. Other (explain on Schedule F)       |
| <input checked="" type="checkbox"/> (3) mutual fund shares                                     |  |

**4. Methods of Analysis, Sources of Information, and Investment Strategies.**

A. Applicant's security analysis methods include: (check those that apply)

- |   |  |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting    | (4) <input type="checkbox"/> Cyclical                      |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical   |  |

B. The main sources of information applicant uses include: (check those that apply)

- |   |  |
|---|--|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines    | (5) <input type="checkbox"/> Timing services   |
| (2) <input type="checkbox"/> Inspections of corporate activities              | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | Securities and Exchange Commission   |
| (4) <input checked="" type="checkbox"/> Corporate rating services             | (7) <input type="checkbox"/> Company press releases                                    |
|   | (8) <input checked="" type="checkbox"/> Other (explain on Schedule F)                  |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- |  |   |
|--|---|
| (1) <input checked="" type="checkbox"/> Long term purchases<br>(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions  |
| (2) <input checked="" type="checkbox"/> Short term purchases<br>(securities sold within a year)  | (6) <input checked="" type="checkbox"/> Option writing, including covered options,<br>uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days)                 | (7) <input type="checkbox"/> Other (explain on Schedule F)  |
| (4) <input type="checkbox"/> Short sales   |   |

Applicant: Peak Wealth Management, LLC

SEC File Number:  
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**5. Education and Business Standards.**

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? ..... ☐ Yes ☒ No

(If yes, please describe these standards on Schedule F)

**6. Education and Business Background.**

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- year of birth
- formal education after high school
- business background for the preceding five years

**7. Other Business Activities.** (check those that apply)

- ☒ A. Applicant is actively engaged in a business other than giving investment advice.
- ☒ B. Applicant sells products or services other than investment advice to clients.
- ☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

**8. Other Financial Industry Activities or Affiliations.** (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- ☐ C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- |  |  |
|--|--|
| <input checked="" type="checkbox"/> (1) broker-dealer  | <input type="checkbox"/> (7) accounting firm                                       |
| <input type="checkbox"/> (2) investment company  | <input type="checkbox"/> (8) law firm  |
| <input type="checkbox"/> (3) other investment adviser  | <input checked="" type="checkbox"/> (9) insurance company or agency                |
| <input type="checkbox"/> (4) financial planning firm   | <input type="checkbox"/> (10) pension consultant                                   |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer                         |
| <input type="checkbox"/> (6) banking or thrift institution   | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?.. ☐ Yes ☒ No

(If yes, describe on Schedule F the partnerships and what they invest in.)

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**9. Participation or Interest in Client Transactions.**

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☒ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sell for itself securities it also recommended to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 10. Conditions for Managing Accounts.** Does the applicant provide investment advisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other condition for starting or maintaining an account?

Yes No  
☐ ☒

(If yes, describe on Schedule F)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory account, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Client accounts are reviewed quarterly by Alan Favre. Accounts may receive a special review any time the client undergoes a life changing situation.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Statements of account are issued no less than quarterly. Annual customer meetings are scheduled for clients desiring a face-to-face meeting with Mr. Favre.

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**12. Investment or Brokerage Discretion.**

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
|  | Yes                                 | No                                  |
| (1) securities to be bought or sold? .....           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (2) amount of securities to be bought or sold? ..... | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (3) broker or dealer to be used? .....               | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| (4) commission rates paid? .....                     | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ..... 

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

**13. Additional Compensation.**

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- |   |                                     |                          |
|---|-------------------------------------|--------------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? ..... | Yes                                 | No                       |
|   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes                                 | No                       |
|   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

**14. Balance Sheet.** Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet?..... 

Yes	No
<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Schedule F of  
FORM ADV  
Continuation Sheet for Form ADV Part II**

Applicant:  
Peak Wealth Management, LLC

SEC File Number:  
801- 55409

Date:  
4/22/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
1D	<p>Peak Wealth Management, LLC (Peak) provides investment supervisory services to its clients, which services may include supervision and advice related to portfolios of individual securities, mutual funds or both.</p> <p>For assets under management of Peak or for assets under management of other investment advisers referred to such other investment advisers by Peak through a solicitor's agreement, Peak charges an advisory fee of 0 to 2%, which fee is negotiable. Account management fees are assessed at the end of each quarter, in arrears, and are based on the market value of the assets under management as of the last day of the calendar quarter. New accounts are prorated based on the number of days the accounts, respectively, were managed during the initial quarter. Accounts closing during a quarter are assessed a prorated fees based upon the days managed.</p> <p>Account management fees do not include any transaction related fees charged by the account custodian or executing broker-dealer. While Peak's investment adviser representative, Alan Favre, is a registered representative and agency representative of CIM Securities, LLC (CIM Securities), a registered securities broker-dealer and licensed insurance agency, neither Peak nor Mr. Favre may participate in transaction fees with respect to assets under management of Peak. Mr. Favre may act as broker for insurance or securities purchased by a Peak client, but not as to assets under management of Peak.</p> <p>Payment of fees on a percentage of assets under management basis may cause a natural conflict of interest as the investment adviser may have an economic incentive to engage in riskier trading than otherwise suitable for a client to try to raise the account value to earn a higher fee payout. Payment of fees on an hourly basis also may cause a natural conflict of interest as an investment adviser may have an economic incentive to engage in excess work to accumulate higher fees. These types of conflicts of interest may be unavoidable. But, these types of conflicts of interest are mitigated by the responsibilities of Peak and its investment advisory representatives as fiduciaries, who must act in the best interests of each of their clients.</p> <p>Peak provides financial planning consulting services with respect to insurance, securities and other assets separate from account management fees. Peak charges \$175 per hour for these consulting services. Payment is expected upon completion of the consulting service.</p>	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of  
FORM ADV  
Continuation Sheet for Form ADV Part II**

Applicant:  
Peak Wealth Management, LLC

SEC File Number:  
801- 55409

Date:  
4/22/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
3K&L	Peak may offer advice as to hedge funds, including those offered by Choice Investment Management, LLC (Choice), a Colorado licensed investment adviser and the parent company to CIM. Peak may also offer advice as to the advisability of investing with PVG Asset Management, LLC (PVG), an SEC registered investment adviser that Peak's investment adviser representative has committed to a letter of intent to buy a minority interest.	
4B	Peak obtains advice on securities and securities transactions from Choice, especially from Patrick Adams, a former mutual fund portfolio manager who now manages hedge funds and private accounts. Peak obtains advice on securities and securities transactions from PVG, especially from Joseph Pecararo, the main manager of PVG's accounts.	
6	<p>Peak's sole investment adviser representative is J. Alan Favre, who was born May 24, 1955. Mr. Favre obtained a Bachelor of Science in Finance and Accounting from Oklahoma State University in 1978. He is a Certified Financial Planner and is registered with CIM Securities, LLC as both an Investment Company Products/Variable Contracts Products Representative (Series 6) and a General Securities Representative (Series 7).</p> <p>From January 1990 through December 2003, Mr. Favre was affiliated with IDS Life Insurance Company and its affiliate American Express Financial Advisors Inc. From December 2003 through February 2005, Mr. Favre was affiliated with FSC Securities Corporation. In February 2005, Mr. Favre joined Peak, later assuming full ownership. During Mr. Favre's tenure with Peak, he has been registered as a securities representative with RMIN Securities, Inc., from February 2007 through April 2008. From April 2008 to the present, Mr. Favre has been registered with CIM Securities.</p>	
7&8	Alan Favre acts as a financial planner with Peak, offering advice with respect to insurance and assets that are not securities. Alan Favre also privately places securities for investment banking issuer clients of CIM Securities and privately places Choice hedge funds. Alan Favre offers variable life insurance and variable annuities through CIM Securities.	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)



**Schedule F of  
FORM ADV  
Continuation Sheet for Form ADV Part II**

Applicant:  
Peak Wealth Management, LLC

SEC File Number:  
801- 55409

Date:  
4/22/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

IRS Empl. Ident. No.:

Item of Form (identify)	Answer
9	<p>Alan Favre, the investment adviser representative, may buy or sell for himself securities that he also recommends to others. As a matter of general practice, Mr. Favre will not buy or sell a security for himself closely before buying or selling the same security for a client. The purpose of this general practice is to avoid "front running," that is profiting from advance knowledge of a client's securities transaction.</p> <p>Peak maintains a Code of Ethics, which will be provided to a client or prospective client upon request. This Code of Ethics is designed to steer Peak and its associated persons into behavior consistent with Peak's fiduciary duties owed to clients as an investment adviser. The anti-front-running general practice is one of the provisions within the Code of Ethics.</p>

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of  
FORM ADV  
Continuation Sheet for Form ADV Part II**

Applicant:  
Peak Wealth Management, LLC

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4/22/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
12	<p>For clients whose accounts are subject to a fee based on assets under management, Peak requires that such clients execute one or more copies of a Limited Power of Attorney (provided by the client's broker-dealer or by Peak). The Limited Power of Attorney gives Peak or its investment adviser representative, Alan Favre, discretionary authority to enter orders for securities transactions without obtaining a client's prior consent. The Limited Power of Attorney does not give Peak or its investment adviser representative the right to transfer money or securities out of a client's account. The Limited Power of Attorney does not give Peak or its investment adviser representative the right to select broker-dealers to be used.</p> <p>Peak has no discretionary authority with respect to hourly fee clients. Accordingly, Peak will not be responsible for the entry of any securities orders for such clients. Hourly fee clients will be responsible for following through to implement any advice give to them by Mr. Favre or any other Peak investment adviser representative.</p> <p>While Peak does not have discretionary authority for any clients to select broker-dealers to be used, Ascendant may suggest broker-dealers to clients. The purpose of this suggestion would be to serve the client better. Discount broker-dealers that provide better investment adviser interfaces will be suggested. Through better interfaces, Peak will have a more efficient means of monitoring its investment supervision accounts (accounts subject to fees based on percentage of assets under management) and entering securities orders for such accounts when deemed appropriate by Peak.</p> <p>It is possible that discount broker-dealers suggested by Peak may charge higher commissions or achieve less desirable execution of securities transactions than other broker-dealers. But, each suggestion of a broker-dealer is made with the purpose of serving the respective client to whom the suggestion is made. No other clients will receive any benefit from the suggestion of a broker-dealer to a specific client, except to the extent that Peak operates more efficiently and its investment adviser representatives are able to monitor all investment supervision accounts more frequently.</p> <p>Peak does not accept "soft dollars" for research or other services from broker-dealers in exchange for portfolio transactions.</p>	
13A	<p>The investment adviser representative of Peak, J. Alan Favre, offers hedge funds and other investments, including variable annuities, as a registered representative of CIM Securities, LLC and may receive a commission for the sale of such securities. Peak may also receive investment advisory fees for advising as to the holding of such securities in addition to the commission.</p>	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of  
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Continuation Sheet for Form ADV Part II**

Applicant:  
Peak Wealth Management, LLC

SEC File Number:  
801- 55409

Date:  
4/22/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
13B	<p>Peak may maintain relationships with solicitors and, consistent with Colorado Division of Securities Rule 51-4.9 (IA), may compensate such persons for client referrals. Payment will be made on a percentage basis, the details of which are available on disclosure materials provided by the solicitor. Different solicitors may be paid different percentages, but the total overall fees paid by clients will be consistent with, and no higher than, the fees listed in the fee schedule set forth response to Item 1D above.</p> <p>Cautionary Note: Peak cannot, and does not, guarantee that its efforts will be successful. Investment in securities always entails a degree of risk. This risk takes the form of a risk of loss of moneys invested and the form of a risk of underperformance in comparison to other investments or market indices. Past performance is no guarantee of future results.</p> <p>Peak serves multiple clients. While each client will receive time and attention as provided for by the client's investment advisory contract, Peak and its investment adviser representatives will devote time and attention to other clients as well.</p> <p>Privacy Notice: Peak collects nonpublic personal information from you from the following sources: (i) information Peak receives from you on applications and other forms; and (ii) information about your transactions with Peak, our affiliates and others. Peak does not disclose any nonpublic personal information about our Clients or former Clients to anyone, except as permitted by law. Peak restricts access to nonpublic personal information about you to those employees who need to know that information to provide products or services to you. Peak maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.</p> <p>Questions regarding this Form ADV Part II may be directed to Alan Favre, who may be contacted at 303-331-0123.</p>	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)