

MOK CAPITAL MANAGEMENT

“Disclosure Document”
Privacy Statement
&
Form ADV, Part II and Schedule F
as filed with
the Security and Exchange Commission

03/27/2009

Uniform Application for Investment Adviser Registration

OMB APPROVAL	
OMB Number:	3235-0049
Expires:	February 28, 2011
Estimated average burden hours per response:	4.07

Name of Investment Adviser: Mok, Stanley Quion					
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code	Telephone Number
4962 El Camino Real, Suite 235	Los Altos	CA	94022-1456	(650)	318 8077

**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 governmental authority.**

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(Schedules 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.

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 | <u>80</u> | % |
| <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 | <u>15</u> | % |
| <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 | <u>5</u> | % |
| <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 |
| | | <input checked="" type="checkbox"/> <input type="checkbox"/> |

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 checked="" 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 checked="" 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).

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

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

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 checked="" 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 checked="" type="checkbox"/> Timing services |
| (2) <input checked="" type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (8) <input 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
(securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options, 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 checked="" type="checkbox"/> Short sales | |

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

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, 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 given to 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 | ● formal education after high school |
| ● year of birth | ● 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 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 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 sells for itself securities that it also recommends 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 supervisory 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 conditions 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 accounts, 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.

For portfolio management services, the Sole Proprietor of Mok Capital Management will perform quarterly reviews on client accounts. However, more frequent reviews may be triggered by significant changes in variables such as the market, political or economic circumstances, or changes in the client's individual circumstances.

Financial planning or consultation clients may arrange for a review of their account for a separate fee.

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

In addition to receiving reports and confirmations of all transactions from First Allied Securities, Inc. , or the broker dealer executing the trade, on a monthly basis, securities clients will receive reports from Mok Capital Management on a quarterly basis. These reports will consist of account balance, performance reviews, overall asset allocation reviews and billing statements.

Financial planning or consultation clients receive no regular reports.

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

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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 the securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (4) commission rates paid? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ☒ Yes ☐ No

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 products 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
<input checked="" type="checkbox"/> | No
<input type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes
<input type="checkbox"/> | No
<input checked="" 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

Answer all items. 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:
Mok, Stanley Quion

SEC File Number:
801- **56069**

Date:
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(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: Mok, Stanley Quion		IRS Empl. Ident. No.: 77-0452673
Item of Form (identify)	Answer	
13.A	<p>MCM will use First Allied Securities to implement trades for advisory clients when to do so is consistent with its fiduciary obligation of best execution. In this situation, MCM's Sole Proprietor may receive separate and customary commissions as a registered representative of First Allied.</p> <p>FINANCIAL PLANNING/CONSULTATION</p> <p>The Sole Proprietor of MCM is separately registered as a representative of First Allied Securities, Inc. ('First Allied'), a FINRA-registered broker-dealer which clears through J P Morgan Securities Clearing Corp. MCM may recommend the use of First Allied and this individual to clients for implementation of financial planning recommendations, provided that this recommendation is consistent with MCM's fiduciary duty to the client. Any commissions or other compensation received from the implementation of financial planning recommendations is separate and distinct from MCM's advisory fee. No financial planning client is obligated to use First Allied to implement any recommended transactions.</p> <p>Clients should be aware that best execution and lower commissions may not necessarily be achieved if recommended transactions are placed through this individual, in his separate capacity as a registered representative or insurance agent/broker.</p> <p>ADDITIONAL COMPENSATION</p> <p>The Sole Proprietor of MCM may, from time to time, receive incentive awards for the recommendation/introduction of investment products. The receipt of this compensation may affect MCM's judgment in recommending products to its clients.</p> <p>The Sole Proprietor of MCM may, from time to time, receive 12b-1 distribution fees from investment companies in connection with the placement of client funds into investment companies. While this individual endeavors at all times to put the interest of the clients first as part of MCM's fiduciary duty, clients should be aware that the receipt of compensation itself creates a conflict of interest, and may affect the judgment of this individual when making recommendations.</p> <p>SOFT DOLLARS</p> <p>In certain instances, MCM may receive from broker dealers products or services which are used both for investment research and for administrative, marketing, or other non-research purposes. In such instances, MCM will make a good faith effort to determine the percentage of such products or services which may be considered as investment research. The portion of the costs of such products or services attributable to research usage may be defrayed by MCM through directing brokerage commissions generated by client transactions, (soft dollars). This may be done without prior agreement or understanding by the client (and done at MCM's discretion). The portions of the costs attributable to non-research usage of such products or services is paid by MCM to the broker dealer in accordance with the provisions of Section 28(e) of the Securities Exchange Act of 1934.</p>	

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

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(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: Mok, Stanley Quion		IRS Empl. Ident. No.: 77-0452673
Item of Form (identify)	Answer	
10	<p>7) MCM's books and records will include in the daily trade blotter, the orders which are aggregated, and bought and sold for those accounts;</p> <p>8) Funds and securities of clients whose orders are aggregated will be deposited with one or more banks or broker-dealers, and neither the clients' cash nor their securities will be held collectively any longer than is necessary to settle the purchase or sale in question on a delivery versus payment basis; cash or securities held collectively for clients will be delivered out to the custodian bank or broker-dealer as soon as practicable following the settlement;</p> <p>9) MCM will receive no additional compensation or remuneration of any kind as a result of the proposed aggregation; and</p> <p>10) Individual advice and treatment will be accorded to each advisory client.</p> <p>CONDITIONS FOR MANAGING AN ACCOUNT</p> <p>MCM requires a minimum account of \$250,000 for Investment Supervisory Services clients. However, under certain circumstances, all minimums may be negotiable. Please refer to Item 1.D of this Schedule F narrative for complete detail.</p>	
12.A.1	<p>This disclosure is in response to Item 12.A(1), 12.A(2), 12A(3) & 12A(4):</p> <p>INVESTMENT OR BROKERAGE DISCRETION</p> <p>For discretionary clients, MCM requests that it be provided with written authority to determine which securities and the amounts of securities that are bought or sold, as well as the broker dealer to be used and the commission rates to be paid.</p> <p>Any limitations on this discretionary authority shall be included in this written authority statement. Clients may change/amend these limitations as required. Such amendments shall be submitted in writing.</p>	
12.B	<p>PORTFOLIO MANAGEMENT</p> <p>MCM will endeavor to select those brokers or dealers which will provide the best services at the lowest commission rates possible. The reasonableness of commissions are based on the broker's ability to provide professional services, competitive commission rates, research and other services which will help MCM in providing investment management services to clients. MCM may, therefore recommend (or use) a broker who provides useful research and securities transaction services even though a lower commission may be charged by a broker who offers no research services and minimal securities transaction assistance. Research services may be useful in servicing all our clients, and not all of such research may be useful for the account for which the particular transaction was effected.</p> <p>MCM will block trades where possible and when advantageous to clients. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple clients accounts so long as transaction costs are shared equally and on a pro-rated basis between all accounts included in any such block. Block trading allows MCM to execute equity trades in a more timely, equitable manner and to reduce overall commission charges to clients. As MCM may aggregate trades for itself with client trades, all applicable federal and state regulations will be met.</p> <p>Many clients, when undertaking an advisory relationship, already have a pre-established relationship with a broker and they will instruct MCM to execute all transactions through that broker. In the event that a client directs MCM to use a particular broker or dealer, it should be understood that under those circumstances MCM will not have authority to negotiate commissions or obtain volume discounts, and best execution may not be achieved. In addition, under these circumstances a disparity in commission charges may exist between the commissions charged to other clients.</p> <p>As an FINRA-registered broker-dealer, First Allied Securities, Inc. ('First Allied') is required to supervise all trades placed by its registered representatives. Therefore, if a client of MCM directs MCM to use a broker that First Allied does not believe can provide First Allied with the information needed to supervise these trades, MCM must decline to accept that account.</p>	

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

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(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: Mok, Stanley Quion		IRS Empl. Ident. No.: 77-0452673
Item of Form (identify)	Answer	
9.E	<p>The advisory services offered by MCM are entirely separate and distinct from the advisory services of First Allied. The Sole Proprietor/President of MCM does not provide investment advice on First Allied's behalf. First Allied does not warrant the sources of information, investment strategies, or the contents of any information provided by MCM.</p> <p>It is anticipated that the Sole Proprietor will spend 15% of his time on all related activities.</p> <p>It is the expressed policy of MCM that persons employed by MCM may purchase or sell any security on the same business day as transactions being implemented for advisory accounts, so long as such employees do not benefit by way of a better price than transactions placed on behalf of advisory accounts.</p> <p>MCM or individuals associated with MCM may buy or sell securities identical to those recommended to customers for their personal accounts. Additionally, any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.</p> <p>As these situations represent a conflict of interest, MCM has established the following restrictions in order to ensure its fiduciary responsibilities:</p> <ol style="list-style-type: none">1) The Sole Proprietor or employee of MCM shall not buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on reasonable inquiry. No person of MCM shall prefer his or her own interest to that of the advisory client.2) MCM maintains a list of all securities holdings for itself, and anyone associated with this advisory practice with access to advisory recommendations. These holdings are reviewed on a regular basis by Stanley Mok, Sole Proprietor/President of MCM.3) All clients are fully informed that certain individuals may receive separate compensation when effecting transactions during the implementation process.4) MCM emphasizes the unrestricted right of the client to decline to implement any advice rendered, except in situations where MCM is granted discretionary authority of the client's account.5) MCM requires that all individuals must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.6) Any individual not in observance of the above may be subject to termination. <p>As MCM may aggregate trades for itself with client trades, the following conditions will be met:</p> <ol style="list-style-type: none">1) MCM's policies for the aggregation of transactions shall be fully disclosed in this Form ADV and separately to MCM's existing clients (if any) and the broker-dealer(s) through which such transactions will be placed;2) MCM will not aggregate transactions unless it believes that aggregation is consistent with its duty to seek best execution (which includes the duty to seek best price) for its clients and is consistent with the terms of MCM's investment advisory agreement with each client for which trades are being aggregated;3) No advisory client will be favored over any other client; each client that participates in an aggregated order will participate at the average share price for all MCM's transactions in a given security on a given business day, with transaction costs shared pro-rata based on each client's participation in the transaction;4) MCM will prepare, before entering an aggregated order, a written statement ('Allocation Statement') specifying the participating client accounts and how it intends to allocate the order among those clients;5) If the aggregated order is filled in its entirety, it will be allocated among clients in accordance with the Allocation Statement; if the order is partially filled, it will be allocated pro-rata based on the Allocation Statement.6) Notwithstanding the foregoing, the order may be allocated on a basis different from that specified in the Allocation Statement if all client accounts receive fair and equitable treatment and the reason for different allocation is explained in writing and is approved by MCM's compliance officer no later than one hour after the opening of the markets on the trading day following the day the order was executed;	

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

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**Schedule F of
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Applicant:
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Date:
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(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: Mok, Stanley Quion		IRS Empl. Ident. No.: 77-0452673
Item of Form (identify)	Answer	
	<p>GENERAL INFORMATION ON FEES</p> <p>In certain circumstances, account minimums may be negotiable.</p> <p>MCM's fees are calculated as described above and are not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client (SEC Rule 205-3).</p> <p>A client agreement may be canceled at any time, by either party, for any reason upon receipt of 30 days written notice. Upon termination of any account, any earned, unpaid fees will be due and payable. If written notice is not received, the actual transfer of the account will be considered the written notice and fees will be refunded 30 days after the transfer date.</p> <p>All fees paid to MCM for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge. A client could invest in a mutual fund directly, without the services of MCM. In that case, the client would not receive the services provided by MCM which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by MCM to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being paid for.</p> <p>REFUND OF FEES</p> <p>If a client terminates an account in writing as described in the section "General Information on Fees", a prorated refund shall be transferred to the client's account using the following calculation: All accounts are billed on a quarterly basis in advance. The exact number of days in the quarter will be counted. The fee charged will be divided by the number of days in the quarter, resulting in a per day allocation of the fee. The per day amount will then be multiplied by the number of days remaining in the quarter after termination. The result will be the refund amount.</p>	
5	<p>EDUCATION AND BUSINESS STANDARDS</p> <p>Persons associated with MCM must possess, minimally, the following: A college degree and/or appropriate business experience.</p>	
6	<p>EDUCATION AND BUSINESS BACKGROUND</p> <p>University of Santa Clara, BS, 1978; formerly Registered Representative, Paine Weber, Inc. from 10/78 to 1/81; Registered Representative and Financial Planner, Merrill Lynch, from 1/81 to 3/83; Associate Vice President, Financial Planner, and Registered Representative, E.F. Hutton from 3/83 to 1/90; First Vice President, Senior Portfolio Manager, Financial Planner, and Registered Representative, Prudential Securities, Inc. from 1/90 to 3/97; formerly Registered Representative and Financial Planner, Round Hill Securities, Inc. from 3/97 to 6/05, First Allied Securities Registered Representative and Sole Proprietor/President Mok Capital Management from 3/97 to Present.</p>	
7.A	<p>This disclosure is in response to Items 7.A, 7.B, 8.C(1), 8.C(9), 9.B and 9.D:</p> <p>OTHER BUSINESS ACTIVITIES</p> <p>The Sole Proprietor/President of MCM, Stanley Quion Mok, is separately registered as a broker-dealer representative of First Allied Securities, Inc. ('First Allied'), a FINRA-registered broker-dealer and an investment adviser. Additionally, the Sole Proprietor/President is separately licensed as an insurance agent/broker for various independent insurance companies.</p> <p>In his separate capacity as a Registered representative of First Allied or as an independent insurance agent, this individual will be able to implement securities or insurance transactions for advisory clients for separate and typical compensation.</p>	

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

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

Applicant:
Mok, Stanley Quion

SEC File Number:
801- **56069**

Date:
03/27/2009

(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:

Mok, Stanley Quion

IRS Empl. Ident. No.:

77-0452673

Item of Form (identify)	Answer										
	<p>FEE SCHEDULE</p> <p>INVESTMENT SUPERVISORY SERVICES</p> <p>The annual fee charged for investment supervisory services is shown below. A minimum of \$250,000 of assets under management is required for this service.</p> <table><thead><tr><th>Assets under management</th><th>Annual Fee (%)</th></tr></thead><tbody><tr><td>\$250,000 - \$500,000</td><td>1.50%</td></tr><tr><td>\$500,000 - \$1 Million</td><td>1.25%</td></tr><tr><td>\$1 Million - \$5 Million</td><td>1.00%</td></tr><tr><td>\$5 Million and above</td><td>Negotiable</td></tr></tbody></table> <p>MCM will quote an exact percentage to each client based on both the nature and total dollar value of that account. Clients will be invoiced in advance at the beginning of each calendar quarter based upon the month end values (market value or fair market value in the absence of market value, plus any credit balance or minus any debit balance), of the client's account during the previous quarter.</p> <p>FINANCIAL PLANNING</p> <p>An hourly rate of \$250.00 will be charged for this service. An estimate of the amount of time required to produce a financial plan will be given to each client in advance. All fees are agreed upon prior to entering into a contract with any client. Financial planning fees are due and payable as incurred.</p> <p>CONSULTATION</p> <p>Fees for specific administrative and consulting services will be billed at an hourly rate of \$250.00 per hour, and shall be due and payable as services are incurred.</p>	Assets under management	Annual Fee (%)	\$250,000 - \$500,000	1.50%	\$500,000 - \$1 Million	1.25%	\$1 Million - \$5 Million	1.00%	\$5 Million and above	Negotiable
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Complete amended pages in full, circle amended items and file with execution page (page 1).

PAGE 2

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

Applicant:
Mok, Stanley Quion

SEC File Number:
801- **56069**

Date:
03/27/2009

(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: Mok, Stanley Quion		IRS Empl. Ident. No.: 77-0452673
Item of Form (identify)	Answer	
1.D	<p>SERVICES:</p> <p>INVESTMENT SUPERVISORY SERVICES</p> <p>Applicant, Mok, Stanley Quion dba Mok Capital Management (hereinafter "MCM") provides Investment Supervisory Services, defined as giving continuous advice to a client or making investments for a client based on the individual needs of the client. MCM provides this service to individuals, pension and profit sharing plans, trusts, estates, charitable organizations, and corporations. MCM will manage advisory accounts on a discretionary basis only. Account supervision is guided by the stated objectives of the client (i.e., maximum capital appreciation, growth, income, or growth and income).</p> <p>MCM will create a portfolio of individual securities, no-load and load-waived mutual funds. MCM will allocate the client's assets among various investments taking into consideration the overall management style selected by the client. The mutual funds will be selected on the basis of any or all of the following criteria: the fund's performance history; the industry sector in which the fund invests; the track record of the fund's manager; the fund's investment objectives; the fund's management style and philosophy; and the fund's management fee structure. Portfolio weighting between funds and market sectors will be determined by each client's individual needs and circumstances. Clients will have the opportunity to place reasonable restrictions on the types of investments which will be made on the client's behalf. Clients will retain individual ownership of all securities.</p> <p>FINANCIAL PLANNING</p> <p>MCM also provides advice in the form of a Financial Plan. Clients purchasing this service will receive a written report, providing the client with a detailed financial plan designed to achieve their stated financial goals and objectives. In general, the financial plan will address the following areas of concern:</p> <ul style="list-style-type: none">- PERSONAL: Family records, budgeting, personal liability, estate information and financial goals.- TAX & CASH FLOW: Income tax and spending analysis and planning for past, current and future years. MCM will illustrate the impact of various investments on the client's current income tax and future tax liability.- DEATH & DISABILITY: Cash needs at death, income needs of surviving dependents, estate planning and disability income analysis.- RETIREMENT: Analysis of current strategies and investment plans to help the client achieve his or her retirement goals.- INVESTMENTS: Analysis of investment alternatives and their effect on a client's portfolio. <p>MCM gathers required information through in-depth personal interviews. Information gathered includes a client's current financial status, future goals and attitudes towards risk. Related documents supplied by the client are carefully reviewed, including a questionnaire completed by the client, and a written report is prepared. Should a client choose to implement the recommendations contained in the plan, MCM suggests the client work closely with his/her attorney, accountant, insurance agent, and/or stockbroker. Implementation of financial plan recommendations is entirely at the client's discretion.</p> <p>CONSULTATION</p> <p>Clients can also receive investment advice on a more limited basis. This may include advice on only an isolated area(s) of concern such as estate planning, retirement planning, or any other specific topic. MCM also provides specific consultation and administrative services regarding investment and financial concerns of the client.</p> <p>Additionally, MCM provides advice on non-securities matters. Generally, this is in connection with the rendering of estate planning, insurance, and/or annuity advice.</p>	

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