

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

OMB Number: 3235-0049
Expires: July 31, 2008
Estimated average burden
Hours per response... .9.402

Name of Investment Adviser:

Ashbridge Investment Management, LLC

Address: (Number and Street)

(City)

(State)

(Zip Code)

Area Code: Telephone Number:

One South Broad Street - 23rd Floor**Philadelphia****PA****19107****(215) 568-6610**

**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.**

FORM ADV**Part II - Page 2**

Applicant:

Ashbridge Investment Management, LLC

SEC File Number:

801-43935

Date:

12/16/09**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>95%</u> |
| <input checked="" type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services | <u>5%</u> |
| <input type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above | <u> %</u> |
| <input type="checkbox"/> | (4) | Issues periodicals about securities by subscription | <u> %</u> |
| <input type="checkbox"/> | (5) | Issues special reports about securities not included in any service described above | <u> %</u> |
| <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 | <u> %</u> |
| <input type="checkbox"/> | (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities | <u> %</u> |
| <input type="checkbox"/> | (8) | Provides a timing service | <u> %</u> |
| <input type="checkbox"/> | (9) | Furnishes advice about securities in any manner not described above | <u> %</u> |

(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 checked="" 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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Applicant:

Ashbridge Investment Management, LLC

SEC File Number:

801- **43935**

Date:

12/16/09**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"/> (2) securities traded over-the-counter | I. Options contracts on: |
| <input checked="" type="checkbox"/> (3) foreign issues | |
| | <input checked="" type="checkbox"/> (1) securities |
| <input checked="" type="checkbox"/> B. Warrants | <input checked="" type="checkbox"/> (2) commodities |
| | J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities
(other than commercial paper) | <input checked="" type="checkbox"/> (1) tangibles |
| | <input checked="" type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | K. Interests in partnerships investing in: |
| | <input type="checkbox"/> (1) real estate |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> (2) oil and gas interests |
| <input checked="" type="checkbox"/> F. Municipal securities | <input type="checkbox"/> (3) other (explain on Schedule F) |
| G. Investment company securities: | <input checked="" type="checkbox"/> L. Other (explain on Schedule F) |
| <input type="checkbox"/> (1) variable life insurance | |
| <input type="checkbox"/> (2) variable annuities | |
| <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 type="checkbox"/> Charting | (4) <input checked="" type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input checked="" type="checkbox"/> Other (explain on Schedule F) |
| (3) <input 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
Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input type="checkbox"/> Company press releases |
| (4) <input checked="" type="checkbox"/> Corporate rating services | (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
(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 checked="" 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).

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Applicant:

Ashbridge Investment Management, LLC

SEC File Number:

801-**43935**

Date:

12/16/09**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.)

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

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Applicant:

Ashbridge Investment Management, LLC

SEC File Number:

801- 43935

Date:

12/16/09

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.

There is an in depth reviews of client accounts every quarter, unless directed otherwise by the client. Reviews are typically triggered by the reporting schedule but may be warranted by other events, including client requests. The levels of review consist of asset allocation by manager and asset class, account activity and portfolio and manager performance.

Each account is reviewed by at least two Client Advisors (Managing Directors of the firm) whose primary responsibility is client servicing. These Client Advisors also participate in client meetings, draft all correspondence sent to clients for whom they advise, and contribute to investment decisions made by the firm via the Investment Committee. Each Client Advisor oversees approximately 15 client relationships.

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

Reports setting forth activity and performance in an account are sent to every client quarterly or more frequently. Reports include, among other items, beginning and ending balances, distribution by asset class and manager, and performance as measured against applicable benchmarks.

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Applicant:

Ashbridge Investment Management, LLC

SEC File Number:

801-43935

Date:

12/16/09**12. Investment or Brokerage Discretion.**

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

(1) securities to be bought or sold?

Yes No

☐ ☒

(2) amount of the securities to be bought or sold ?

Yes No

☐ ☒

(3) broker or dealer to be used ?

Yes No

☐ ☒

(4) commission rates paid?

Yes No

☐ ☒

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 No

☐ ☒

B. directly or indirectly compensates any person for client referrals?

Yes No

☒ ☐

(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:	SEC File Number:	Date:
Ashbridge Investment Management, LLC	801- 43935	12/16/09

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:
Ashbridge Investment Management, LLC

IRS Empl. Ident.No.:
23-2708273

Item of Form (identify)	Answer
	<p><u>Item 1.D.</u></p> <p>Applicant is a multi-asset class, multi-manager investment advisor often referred to as a “manager of managers.” Applicant was established to provide clients with investment advice as a consultant, including (1) asset allocation, (2) manager selection and monitoring and (3) reporting services, (4) in a bundled or unbundled format. Applicant does not trade securities or serve as a custodian. Applicant identifies investment managers through contact with the manager or through referrals and listings containing information on investment managers. Applicant analyzes the performance of the managers and also reviews information about the organization. The managers will be interviewed at their place of business by Applicant's senior personnel prior to qualification and periodically thereafter. Applicant does not have discretionary authority over investments prior. The Applicant consults with its clients and recommends investments and the client makes the investment decision.</p> <p>Fees are 1.0% of the value of the assets under management up to \$5 million, 0.75% of the value of the assets under management from \$5 million up to \$10 million, 0.60% up to \$20 million and 0.50% over \$20 million. Fees are negotiable over \$40 million or according to the scope of the assignment. Fees can also be on a retainer basis or hourly basis as negotiated.</p> <p>Fees are payable quarterly in arrears or in advance and calculated based upon the ending portfolio value at the end of the applicable quarter as negotiated. Upon termination, clients will be refunded any fees owed pro rata.</p> <p>Advisory agreements between Applicant and its clients may be terminated with 5 days written notice and without penalty.</p> <p><u>Item 3.L.</u></p> <p>Applicant also recommends hedge funds and private equity investment managers to clients. In some instances, Applicant may provide recommendations on individual securities and mutual funds. See also Item 1.D.</p> <p><u>Item 4.A., B. and C.</u></p> <p>Applicant uses public and private sources of quantitative and qualitative information to evaluate managers, including materials issued by the manager as well as other parties. See also Item 1.D.</p> <p><u>Item 5.</u></p> <p>Individuals must have sufficient professional experience and education in their particular areas of responsibility. Senior staff members are required to have advanced degrees and significant applicable industry experience, including at least a college degree.</p> <p>Ashbridge maintains a written Code of Ethics that circumscribes behavior of its employees, including requirements that its employees put the interest of clients first and avoid conflicts of interests.</p> <p><u>Item 6.</u></p> <p>Charles B. Grace, Jr. - born 1934</p> <p><u>Education:</u></p> <p>B. A., English, Princeton University, 1956.</p> <p>M. B. A., Finance, Wharton School, University of Pennsylvania, 1962.</p> <p><u>Professional Experience:</u></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:	SEC File Number:	Date:
Ashbridge Investment Management, LLC	801- 43935	12/16/09

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Ashbridge Investment Management, LLC		IRS Empl. Ident.No.: 23-2708273
Item of Form (identify)	Answer	
	<p>1998 to present: Chairman and Chief Executive Officer, Ashbridge Investment Management, LLC Philadelphia, PA.</p> <p>1993 to 1997: Chairman and President, Ashbridge Investment Management, Inc. Philadelphia, PA.</p> <p>1968 to present: President, Ashbridge Corporation, Philadelphia, PA.</p> <p>1968 to 1976: Principal, Smith Barney & Company, (concurrent with Ashbridge Corporation responsibilities) Paris, France and New York, NY.</p> <p>J. William Knott - born 1957</p> <p><u>Education:</u></p> <p>B. A., Finance, Loyola University, 1979.</p> <p>M. B. A., Finance, Loyola University, 1980.</p> <p><u>Professional Experience:</u></p> <p>2008 to Present: Senior Client Relationship Officer, Ashbridge Investment Management, LLC</p> <p>1995 to 2008: President, Wachovia Bank.</p> <p>1982 to 1995: Executive Vice President, Mellon Bank.</p> <p>Sidhartha Ghosh - born 1948</p> <p><u>Education:</u></p> <p>B. A. Economics, Baroda University, 1967.</p> <p><u>Professional Experience:</u></p> <p>2009 to Present: Director of Finance and Administration, Ashbridge Investment Management, LLC</p> <p>1982 to 2009: Chief Financial Officer, Data Core Systems Inc.</p> <p>1978 to 1982: Chief Accountant, Makum Tea Company</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:	SEC File Number:	Date:
Ashbridge Investment Management, LLC	801- 43935	12/16/09

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Ashbridge Investment Management, LLC		IRS Empl. Ident.No.: 23-2708273
Item of Form (identify)	Answer	
	<p>Adam A. Waldron – born 1961</p> <p><u>Education:</u></p> <p>B.A. Economics / Mathematics, Hampden-Sydney College, 1984</p> <p><u>Professional Experience:</u></p> <p>2001 to present: Managing Director, Ashbridge Investment Management, LLC.</p> <p>1994 to 2001: Assistant Vice President, Senior Portfolio Manager, Personal Trust and Asset Management Department, Wilmington Trust Company, Wilmington, DE.</p> <p>1992 to 1994: Chief Financial Officer, Small Systems Management Corporation, Wilmington, DE.</p> <p>1989 to 1991: Senior Credit Analyst, Delaware Trust Company, Wilmington, DE.</p> <p>1984 to 1989: Commercial Leasing Officer, CoreStates Financial Corp., Philadelphia, PA.</p> <p>David E. Holtzman – born 1964</p> <p><u>Education:</u></p> <p>B.A. Economics, Bucknell University, 1986</p> <p><u>Professional Experience:</u></p> <p>2004 to Present: Managing Director, Ashbridge Investment Management, LLC, Philadelphia, PA</p> <p>2002 to 2004: Chief Investment Officer, Principal, Signature Financial Management, Norfolk, VA.</p> <p>2000 to 2002: Senior Vice President, SEI Investments Management Company, Oaks, PA.</p> <p>1997 to 2000: Manager (1997 to 1999) and Senior Manager (1999 to 2000), The Vanguard Group, Valley Forge, PA.</p> <p>1994 to 1997: Portfolio Manager/Assistant Vice President, PNC Bank, Media, PA (1995 to 1997), State College, PA (1994 to 1995).</p> <p>1992 to 1994: Trust Investment Officer, Mid State Bank (Keystone Financial), State College, PA.</p> <p>1991 to 1992: Trust New Business Officer, Northern Central Bank (Keystone Financial), Williamsport, PA.</p> <p>1990 to 1991: Trust Business Development Officer, Commonwealth Bank, Williamsport, PA.</p> <p>1989 to 1990: Assistant Director of Development, Bucknell University, Lewisburg, PA.</p> <p>1986 to 1989: Financial Consultant, Merrill Lynch, Williamsport, PA.</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:	SEC File Number:	Date:
Ashbridge Investment Management, LLC	801- 43935	12/16/09

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Ashbridge Investment Management, LLC		IRS Empl. Ident.No.: 23-2708273
Item of Form (identify)	Answer	
	<p>Gregory J. Young – born 1971</p> <p><u>Education:</u></p> <p>B.S. Business Administration, Bucknell University, 1994.</p> <p>M.B.A., Finance, Rutgers University, 2003.</p> <p><u>Professional Experience:</u></p> <p>2007 to Present: Managing Director/Chief Compliance Officer, Ashbridge Investment Management, LLC.</p> <p>2005 to 2007: Director of Research, Ashbridge Investment Management, LLC.</p> <p>2002 to 2005: Senior Research Analyst, Ashbridge Investment Management, LLC.</p> <p>1998 to 2002: Director of Research, Janney Money Management Services, Janney Montgomery Scott, LLC, Philadelphia, PA.</p> <p><u>Item 9.D.</u></p> <p>Applicant receives a management fee from the following commingled trusts on a quarterly basis:</p> <p>Ashbridge Small Cap Trust – Formed 3/8/95 Broad Street Hedged Equity Trust – Formed 8/1/02 Ashbridge Small Cap Trust Series II – Formed 1/1/04 Ashbridge International Equity Trust – Formed 2/1/04 Juniper Street Absolute Return Trust – Formed 10/1/04</p> <p>They are all formed as Delaware Business Trusts. Fees paid by these trusts to Ashbridge clients are credited against fees of investors that are clients of the firm and investors in the trust.</p> <p><u>Item 10.</u></p> <p>Applicant provides investment supervisory services utilizing a multi-asset class, multi-manager discipline. Applicant has a published \$10 million minimum account size for its clients desiring to initiate an investment program, which may be waived.</p> <p><u>Item 12.B.</u></p> <p>Applicant suggests the use of FinTech as needed for the purchase and sale securities and mutual funds that are chosen by clients. FinTech charges \$.06 a share with approximately half rebated to clients. Clients may or may not obtain best execution. Client is free to choose another provider for brokerage services.</p> <p><u>Item 13.B.</u></p> <p>Applicant may in writing enter into an agreement with solicitor firms or individuals who will be compensated by Applicant. Applicant will compensate such solicitor(s) for introducing a prospective client to Applicant who subsequently becomes a client of the Applicant.</p>	

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