

**FORM ADV****Part II - Page 1****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: <b>Asset Preservation Strategies, Inc.</b>				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone Number:
<b>3636 Nobel Drive, Suite 440</b>	<b>San Diego</b>	<b>CA</b>	<b>92122-1042</b>	<b>( 858) 455-1825</b>

**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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(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:

Asset Preservation Strategies, Inc.

SEC File Number:

801-63003

Date:

9/2/08

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 .....  | 25% |
| <input checked="" type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services .....  | 40% |
| <input checked="" type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above .....  | 10% |
| <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 .....   | 25% |
| <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 the 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 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 |  |

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Applicant:

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Date:

9/2/08

**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 | <input checked="" type="checkbox"/> I. Options contracts on:                   |
| <input checked="" type="checkbox"/> (3) foreign issues                     | <input checked="" type="checkbox"/> (1) securities                             |
|  | <input type="checkbox"/> (2) commodities                                       |
| <input type="checkbox"/> B. Warrants                                       |  |
| <input checked="" type="checkbox"/> C. Corporate debt securities           | <input type="checkbox"/> J. Futures contracts on:                              |
| (other than commercial paper)  | <input type="checkbox"/> (1) tangibles   |
|  | <input type="checkbox"/> (2) intangibles                                       |
| <input type="checkbox"/> D. Commercial paper                               |  |
| <input checked="" type="checkbox"/> E. Certificates of deposit             | <input checked="" type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities                | <input checked="" type="checkbox"/> (1) real estate                            |
|  | <input checked="" type="checkbox"/> (2) oil and gas interests                  |
| <input checked="" type="checkbox"/> G. Investment company securities       | <input type="checkbox"/> (3) other (explain on Schedule F)                     |
| <input checked="" type="checkbox"/> (1) variable life insurance            | <input checked="" type="checkbox"/> L. Other (explain on Schedule F)           |
| <input checked="" 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 checked="" 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<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 type="checkbox"/> Option writing, including covered options,<br>uncovered options or spreading strategies |
| (3) <input type="checkbox"/> Trading (securities sold within 30 days)                            | (7) <input checked="" type="checkbox"/> Other (explain on Schedule F)  |
| (4) <input type="checkbox"/> Short sales   |  |

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Applicant:

Asset Preservation Strategies, Inc.

SEC File Number:

801-63003

Date:

9/2/08

**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 checked="" 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.)

**FORM ADV****Part II - Page 5**

Applicant:

**Asset Preservation Strategies, Inc.**

SEC File Number:

801- **63003**

Date:

**3/3/08****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.

**See Schedule F**

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

**See Schedule F**

Applicant:

Asset Preservation Strategies, Inc.

SEC File Number:

801-63003

Date:

9/2/08

**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

☐ ☒

**Schedule F of  
Form ADV**

**Continuation Sheet for Form ADV Part II**

Applicant: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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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: <b>Asset Preservation Strategies, Inc.</b>	IRS Empl. Ident. No.: <b>33-08980823</b>
Item of Form (identify)	Answer
Part II, Page 2, #1D	<p>Asset Preservation Strategies, Inc. (hereinafter APS) is an investment advisor registered with the Securities and Exchange Commission (SEC). Its investment advisor representatives (hereinafter associated persons) are also licensed as registered representatives with Securities America, Inc. (SAI), a registered broker/dealer member Financial Industry Regulatory Authority (FINRA) and Securities Investor Protection Corporation (SIPC). When providing advisory services, APS may use various programs sponsored by Securities America Advisors, Inc. (SAA), an investment advisor registered with the SEC and an affiliated company of SAI.</p> <p>Fees for advisory services will be disclosed to clients prior to any services being provided. At no time will APS require payment of more than \$500 in fees more than six months in advance. In addition, advisory fees charged will never be based on the capital gains or the capital appreciation of any client's account.</p> <p style="text-align: center;"><b>FINANCIAL PLANNING</b></p> <p><b><u>Financial Plans</u></b></p> <p>APS offers financial planning services in the form of written financial plans that can be either comprehensive or segmented (modular). These plans can include, but are not limited to, the topics of personal planning (family records, budgets, personal liability, etc.), cash flow and management, retirement planning, business planning, estate planning, education planning, tax planning, risk management, insurance analysis, investment analysis, benefit plans, disability and long term care and stock option analysis.</p> <p>When providing financial planning services, APS and its associated persons may consult with attorneys, accountants or other outside professional consultants. Fees for these outside professional consultants' services may be incorporated into the fees charged by APS for its advisory services. In no event will the services of an outside professional consultant be engaged without the express approval of the client.</p> <p>Fees for financial planning services can be charged on either a fixed or hourly basis, as determined by the associated persons. There is a minimum charge of \$3,500 but total fees will generally not exceed \$250,000. Fees are negotiable based upon the complexity of the client's circumstances and financial situation and the actual services requested. If clients are billed on an hourly basis, they will be billed at \$250 per hour multiplied by the number of hours the associated person estimates it will take to complete the requested services. This resulting fixed fee quote will not be adjusted whether the actual time spent by the associated person is more or less than the original estimate. One-half of the quoted fee will be due at the time the client agreement is signed with the remainder due upon presentation of the written plan to the client. If clients do not pay the remaining fee within 30 days of receiving the APS billing statement, the balance due will incur a service fee of 1.5% per month (18% per annum) until paid. In this event, APS will send client monthly statements detailing the fees due and interest accrued.</p> <p>The client has the option to have fees billed directly or charged to a credit card. If paid by credit card, the client will be required to provide written authorization to do so. At no time will APS or its associated persons act as custodian for any client account or have direct access to the client's funds and/or securities.</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: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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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: <b>Asset Preservation Strategies, Inc.</b>	IRS Empl. Ident. No.: <b>33-08980823</b>
Item of Form (identify)	Answer
Part II, Page 2, #1D (continued)	<p><b><u>Comprehensive Wealth Management Service</u></b></p> <p>Clients contracting for a financial plan who also elect to implement transactions through APS or its associated persons can elect to receive on-going services for a one-year period free of charge. APS recommends that all clients have their financial plan reviewed and updated at least annually. Clients electing the on-going comprehensive wealth management services can contact the associated persons as needed about their financial situation. Plan reviews and updates are usually done on a quarterly or semi-annual basis but can be done more frequently if requested by client.</p> <p>At the end of the one year period, clients can request a second year of on-going financial planning services. The charge for this second year of on-going service is usually one-half of the fee charged for preparation of the original financial plan. However, APS may revise this amount due to a significant change in the client's circumstances, due to actual time spent providing services during the previous year, or due to increased time anticipated to be needed in the coming year. A new client agreement will be required if client elects to receive a second year of on-going financial planning services. Fees are payable quarterly in advance and are due within 30 days of the client receiving the APS billing statement. After 30 days, the balance due will incur a service fee of 1.5% per month (18% per annum) until paid. In this event, APS will send client monthly statements detailing the fees due and interest accrued.</p> <p>The client has the option to have fees billed directly or charged to a credit card. If paid by credit card, the client will be required to provide written authorization to do so. At no time will APS or its associated persons act as custodian for any client account or have direct access to the client's funds and/or securities.</p> <p>On-going services will automatically renew each successive anniversary date unless terminated by the parties or a new client agreement is needed due to a change in fees.</p> <p><b><u>Consultations</u></b></p> <p>Clients may also contract with APS for consultations on any topic(s) of interest to them. Fees for consultations can be charged on a fixed or hourly basis and the associated persons and client together will determine the type of charge and the number of consultations needed for the requested services.</p> <p>For fixed fee services, there is a minimum charge of \$3,500; the maximum fixed fee will generally not exceed \$250,000. Fixed fees are negotiable based upon the complexity of the client's circumstances and financial situation and the actual services requested. One-half of the quoted fixed fee will be due at the time the client agreement is signed with the remainder due upon completion of the consultation services. However, at the discretion of the associated person, the balance due may be paid after the consultation services are completed (e.g., when assets are received from the sale of a business while consultation services ended when the business was listed for sale).</p> <p>Hourly fees are charged at a rate of \$250 per hour and client will be charged for the actual time expended. There is no minimum charge for hourly consultation services and fees are due upon completion of the services.</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: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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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: <b>Asset Preservation Strategies, Inc.</b>	IRS Empl. Ident. No.: <b>33-08980823</b>
Item of Form (identify)	Answer
Part II, Page 2, #1D (continued)	<p>Clients will incur a service fee of 1.5% per month (18% per annum) if the remaining fee is not paid within 30 days of receiving the APS billing statement. In this event, APS will send client monthly statements detailing the fees due and interest accrued.</p> <p>The client has the option to have fees billed directly or charged to a credit card. If paid by credit card, the client will be required to provide written authorization to do so. At no time will APS or its associated persons act as custodian for any client account or have direct access to the client's funds and/or securities.</p> <p><b><u>Benefit Plan Consultations</u></b></p> <p>APS and its associated persons offer consultation services to corporate benefit plan sponsors and to individual participants in benefit plans. For corporate clients, benefit plan services can include, but are not limited to, review, analysis and analysis of recommendations concerning plan options, quarterly meetings on plan investments and objectives, developing an investment policy statement, providing informational workshops (i.e., current plan parameters and participant use) and holding enrollment meetings for corporate employees. The associated persons can also meet with individual participants to review their current benefit plan portfolio and provide analyses and recommendations on those holdings.</p> <p>For corporate clients, the maximum fixed fee charged for services will generally not exceed \$250,000 and is negotiable based on the circumstances of the corporate client and the actual services requested. One-half of the quoted fixed fee will be due at the time the client agreement is signed with the remainder due 30 days later. Any services contracted for that will be provided beyond those 30 days will be provided free of charge. Participant clients are billed at an hourly rate of \$250 with payment due at the end of the consultation(s). Clients will incur a service fee of 1.5% per month (18% per annum) if the remaining fee is not paid within 30 days of receiving the APS billing statement. In this event, APS will send client monthly statements detailing the fees due and interest accrued.</p> <p>The client has the option to have fees billed directly or charged to a credit card. If paid by credit card, the client will be required to provide written authorization to do so.</p> <p>Benefit plan consultation services are not management services, and APS and its associated persons will not serve as plan administrators or trustees for any corporate benefit plan. In addition, at no time will APS or its associated persons act as custodian for any client account or have direct access to the client's funds and/or securities.</p> <p><b><u>Estate Administration Services</u></b></p> <p>APS also offers estate administration services that can include, but are not limited to, analysis and recommendation on assets (including recommendations on splitting into trusts), re-titling of assets into trusts or to beneficiaries, computing date of death or alternate asset valuations, gathering of tax records and other documents for delivery to accountants, attorneys or other professional consultants, meetings with family members as needed and requested and meetings with professional consultants as needed and requested.</p> <p>There is a minimum fixed fee charge of \$3,500 for estate administration services. The total fee charged will be negotiable based upon the complexity of the client's circumstances and financial</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: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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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: <b>Asset Preservation Strategies, Inc.</b>	IRS Empl. Ident. No.: <b>33-08980823</b>
Item of Form (identify)	Answer
Part II, Page 2, #1D (continued)	<p>services and actual services requested. One-half of the quoted fixed fee will be due at the time the client agreement is signed with the remainder due upon completion of the services. Clients will incur a service fee of 1.5% per month (18% per annum) if the remaining fee is not paid within 30 days of receiving the APS billing statement. In this event, APS will send client monthly statements detailing the fees due and interest accrued.</p> <p>The client has the option to have fees billed directly or charged to a credit card. If paid by credit card, the client will be required to provide written authorization to do so.</p> <p>When providing estate administration services, neither APS nor its associated persons will act as trustee or fiduciary of the estate accounts. In addition, at no time will APS or its associated persons act as custodian for any client account or have direct access to the client's funds and/or securities.</p> <p><b><u>Termination</u></b></p> <p>Consultations, benefit plan consultations and estate administration services terminate upon completion of the requested services. Financial planning services terminate upon presentation of the written plan unless the client contracts for the on-going comprehensive wealth management service. However, either party can terminate any services at any time by providing oral or written notice to all appropriate parties. If oral notice is provided, a written acknowledgment is required to be sent. Termination is effective immediately upon receipt of such notice. If services are terminated within five business days of executing the client agreement, services will be terminated without penalty. After the initial five business days, the client will be responsible for the payment of fees charged for the time and effort expended by the associated persons prior to receipt of notice of termination. A prorated refund or a prorated charge will be determined based on the time and effort expended by the associated persons prior to receipt of notice of termination. The client will receive a statement summarizing any prorated refund or prorated charge due.</p> <p><b><u>Seminars</u></b></p> <p>APS offers free educational and informational seminars to the public on various topics (i.e., financial planning, retirement planning, estate planning, business planning, real estate, alternative investment options, etc.) In addition, it offers free educational and informational seminars to industry professionals.</p> <p><b><u>Newsletters</u></b></p> <p>APS offers general, educational and informational newsletters to clients and prospective clients through the mail and through the APS Web site. These newsletters are offered on a bi-monthly basis.</p> <p style="text-align: center;"><b>FINANCIAL ADVISORS PROGRAM</b></p> <p>APS offers investment management services, including giving continuous advice to a client based on the individual needs of the client, through SAA's Financial Advisors Program (FAP). SAA's FAP is a wrap-fee program providing investment advisory services and execution of client transactions for which the specified fee (or fees) is not based directly upon transactions in a client's account. Under FAP, the associated persons of APS will assist the client in establishing an FAP account (the Account) with SAA. All brokerage transactions in the Account will be processed by</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:

Asset Preservation Strategies, Inc.

SEC File Number:

801-63003

Date:

11/14/08

(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: <b>Asset Preservation Strategies, Inc.</b>	IRS Empl. Ident. No.: <b>33-08980823</b>
Item of Form (identify)	Answer
Part II, Page 2, #1D (continued)	<p>SAI, an affiliated broker/dealer of SAA, and cleared through National Financial Services, LLC (NFS) pursuant to a clearing arrangement established by SAI with NFS. SAA has also entered into agreements with various insurance companies that allow for the management and valuation of client variable annuity accounts within SAA's FAP. NFS, insurance companies or other custodians will maintain custody of all funds and securities. At no time will SAA, SAI, APS or its associated persons act as custodian of the Account or have direct access to the client's funds and/or securities.</p> <p>The annual management fees charged for this service will be negotiated with each client, with 2.25% being the maximum management fee that may be charged to clients. SAA retains up to 20 basis points (0.20%) of the annual management fee for FAP accounts.</p> <p>A complete description of the FAP and related fees and charges are described in SAA's Financial Advisor Program Schedule H Disclosure Brochure that will be given to all clients prior to or at the time an FAP account is established.</p> <p style="text-align: center;"><b>GENWORTH PROGRAM</b></p> <p>The Genworth Program (Genworth) is sponsored by Genworth Financial Wealth Management, Inc., a registered investment advisor. Genworth has two components. The first is an Asset Allocation System that APS may use to manage client assets made up of model portfolios provided by a number of institutional investment strategists and which are based on the information, research, asset allocation methodology and investment strategies of these investment strategists. The second component is the Private Managed Account Program where APS introduces clients to investment managers who provide discretionary management of individual portfolios of equity and/or fixed income securities.</p> <p>Genworth client fees are payable quarterly, in advance, based on average assets under management during the previous quarter. Included as part of the client fee paid to APS is an amount to be reallocated to Genworth Financial Wealth Management, Inc., SAA, investment strategists and others as the Genworth Program fee.</p> <p>The maximum total advisory fee charged to clients will not exceed 2.45% annually. Custodian fees and internal mutual fund expenses may be charged separately from the Genworth client fees. Complete details on the Genworth Program and related fees and expenses are disclosed in Genworth's Schedule H Disclosure Brochure that will be given to all clients. The exact fee and/or fee schedule for each client will be disclosed in Genworth's Client Agreement.</p>
Part II, Page 3, #3L	When APS uses the Genworth Private Account Management Program, it introduces clients to investment managers who provide discretionary management of individual portfolios of equity and/or fixed income securities.
Part II, Page 3, #4A(5), #4B(8) & #4C(7)	Model mutual fund and variable annuity asset allocation portfolio programs, provided by a number of institutional investment managers and strategists, may be used when managing client assets in the Genworth Program.
Part II, Page 4, #5	APS requires that associated persons have a minimum of three years prior financial industry working experience. In addition, associated persons must have a minimum of one year financial planning work experience and must possess a professional degree or be enrolled as a candidate for a professional degree. However, APS will consider every situation on a case-by-case basis and may

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**Schedule F of  
Form ADV**

**Continuation Sheet for Form ADV Part II**

Applicant: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

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Item of Form (identify)	Answer
Part II, Page 4, #6	<p>consider other factors in lieu of the requirements previously noted.</p> <p><b><u>John L. Jenkins</u>, AEP, EA, CFP®</b> Born 1950</p> <p>San Diego State University, Master of Arts, 1982 San Diego State University, Bachelor of Science, 1977 Accredited Estate Planner, 2005 Enrolled Agent, 1991 Certified Financial Planner™, 1985</p> <p>Securities America, Inc.: Registered Representative, 9/08-present WSC Insurance Services, Inc.: President &amp; Agent, 11/03-present WSC Design Group, Inc.: Treasurer, 6/02-present Asset Preservation Strategies, Inc.: Sole Proprietor, 5/88-1/00; Shareholder/President, 1/00-present; Investment Advisor Representative, 1/95 – present Internal Revenue Service: Enrolled Agent, 3/92-present Rady Children's Hospital, Estates &amp; Trusts Committee Member, 2002 - present QA<sup>3</sup> Financial Corp.: Registered Representative, 5/03-9/08 SunAmerica Securities, Inc.: Registered Representative, 5/92-5/03</p> <p><b><u>Gregory R. Banner</u></b>, CFP®, CLU Born 1964</p> <p>Oregon State University, Bachelor of Science, 1987 Chartered Life Underwriter, 2006 Certified Financial Planner™, 1998 California Registered Tax Preparer, 1993</p> <p>Securities America, Inc.: Registered Representative, 9/08-present Asset Preservation Strategies, Inc.: Vice President, 11/01-present; Investment Advisor Representative, 1/95-present WSC Insurance Services, Inc.: Agent, 6/02-present Sole Proprietor: Freelance Photographer: 1987-present QA<sup>3</sup> Financial Corp.: Registered Representative, 5/03-9/08 SunAmerica Securities, Inc.: Registered Representative, 1/94-5/03</p> <p><b><u>Ronald R. Cenicerz</u></b> Born 1963</p> <p>University of San Diego, Bachelor of Science, 1986</p> <p>Securities America, Inc.: Registered Representative, 9/08-present Asset Preservation Strategies, Inc.: Investment Advisor Representative, 5/00-present Cenicerz &amp; Associates: Sole Proprietor, 4/93-present; Insurance Agent, 4/93-present QA<sup>3</sup> Financial Corp.: Registered Representative, 5/03-9/08 SunAmerica Securities, Inc.: Registered Representative, 3/95-5/03</p>

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**Schedule F of  
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Item of Form (identify)	Answer	
Part II, Page 4, #6 (continued)	<p><b><u>Pamela S. Lint</u></b>, CPA Born 1957</p> <p>National University, BS Business, 1983 Certified Public Accountant, 1990</p> <p>Securities America, Inc.: Registered Representative, 9/08-present Asset Preservation Strategies, Inc.: Investment Advisor Representative, 10/03-present Pamela S. Lint &amp; Associates: Owner, 2/90-present QA<sup>3</sup> Financial Corp.: Registered Representative, 4/03-9/08 QA<sup>3</sup> Financial, LLC: Investment Advisor Representative, 4/03-9/08 HD Vest Financial Services: Registered Representative, 9/99-4/03</p> <p><b><u>Janet L. Butler</u></b> Born 1960</p> <p>Asset Preservation Strategies, Inc.: Receptionist, 1996-2001; Corporate Secretary, 2001-present; Chief Compliance Officer, 2004-present</p>	
Part II, Page 4, #8C(7)	<p>John Jenkins, the President of APS, is an Enrolled Agent with the Internal Revenue Service (IRS). Greg Banner, the Vice President of APS, is a California Registered Tax Preparer. Pamela Lint, an associated person of APS, is a Certified Public Accountant and the owner of Pamela S. Lint &amp; Associates. Clients needing assistance with tax advice, tax preparation or accounting services may be referred to any of these individuals but are not obligated to use these tax and/or accounting services. If they do use the services, any fees charged will be separate from the advisory fees charged by APS.</p>	
Part II, Page 4, #8C(9)	<p>John Jenkins, the President of APS, is also the President of WSC Insurance Services, Inc., a licensed insurance entity in the State of California. Ron Cenicerroz, an associated person of APS, is the sole proprietor of Cenicerroz &amp; Associates and sells insurance products through this entity as an independently licensed insurance agent. Other APS associated persons may also be independently licensed insurance agents and earn commissions when they sell insurance products in this separate capacity. Clients needing assistance with insurance services may be referred to these individuals; however, clients are not obligated to use these services.</p>	
Part II, Page 5, #9B	<p>The associated persons of APS are also registered representatives of SAI, a full service broker/dealer, member FINRA/SIPC. As registered representatives they sell securities to any client for commissions. This could present a potential conflict of interest since they could receive fees and commissions if the client chooses the associated persons to implement recommendations in their separate capacity as registered representatives. Clients are free to select any broker/dealer they wish to implement recommendations.</p>	
Part II, Page 5, #9E	<p>APS or its associated persons may buy or sell securities or have an interest or position in a security for their personal account that is also recommend to clients. APS is and shall continue to be in compliance with <i>The Insider Trading and Securities Fraud Enforcement Act of 1988</i>. As these situations may represent a potential conflict of interest, it is an APS policy that no associated persons shall prefer their own interest to that of the advisory client. No person employed by APS may purchase or sell any security prior to a transaction or transactions being implemented for an advisory account. Associated persons shall not buy or sell securities for their personal account(s) where their decision is derived, in whole or in part, by information obtained as a result of his/her</p>	

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**Schedule F of  
Form ADV**

**Continuation Sheet for Form ADV Part II**

Applicant: <b>Asset Preservation Strategies, Inc.</b>	SEC File Number: <b>801-63003</b>	Date: <b>11/14/08</b>
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

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Item of Form (identify)	Answer	
Part II, Page 5, #9E (continued)	<p>employment unless the information is also available to the investing public upon reasonable inquiry. APS maintains a list of all securities holdings for itself and all associated persons that is reviewed on a regular basis by a principal of the firm.</p> <p>APS has adopted a Code of Ethics for the purpose of instructing its personnel in their ethical obligations and to provide rules for their personal securities transactions. APS and its associated persons owe a duty of loyalty, fairness and good faith to their clients and the obligation to adhere not only to the specific provisions of the Code but to the general principles that guide the Code.</p> <p>The Code covers a range of topics that may include general ethical principles, reporting personal securities trading, exceptions to reporting securities trading, reporting securities, initial public offerings and private placements, reporting ethical violations, distribution of the Code, review and enforcement processes, amendments to Form ADV and supervisory procedures. APS will provide a copy of the Code to any client or prospective client upon request.</p>	
Part II, Page 5, #10	<p>There is a minimum fee of \$3,500 for financial planning services, consultation services provided on a fixed fee basis, benefit plan consultation services provided to corporate clients and estate administration services.</p> <p>APS requires a minimum investment amount of \$100,000 to establish and maintain an FAP account. Exceptions may be granted to this minimum upon request. The minimum investment required for Genworth Asset Allocation System accounts is generally \$50,000 and \$250,000 for Private Managed Accounts. Exceptions may be granted to the minimums at the discretion of Genworth and APS. When meeting account minimum requirements, APS will consider aggregating the value of separate accounts owned by a family, trust or other related group.</p>	
Part II, Page 5, #11A	<p>Consultations, benefit plan consultations and estate administration services terminate upon completion of the requested services and no reviews are performed. Financial planning services terminate upon presentation of the written plan to the client. If clients contract for comprehensive wealth management services, reviews and updates (if applicable) are usually conducted quarterly or semi-annually unless a client requests a more frequent review. APS recommends that all clients have their financial situation reviewed at least annually and an update may be required as a result of that review. Managed accounts are reviewed at least quarterly.</p> <p>The calendar is the main triggering factor, but accounts may also be reviewed due to changes in tax laws, investment fluctuations, economic or market trends and changes in individual financial goals, objectives or status. Each associated person is responsible for reviewing their own accounts, but they may also have other associated persons assist them in performing the reviews. Account reviews measure portfolio status and progress toward individual clients' objectives and this may include the specific performance of investments. APS bases its evaluations and recommendations on currently available data and as such cannot ensure future results. Adjustments to accounts are made to portfolio holdings as determined by the review process.</p>	
Part II, Page 5, #11B	<p>Clients will receive statements at least quarterly from the investment company, broker/dealer, clearing firm or money manager at which their account is maintained.</p> <p>Clients participating in FAP may receive quarterly, monthly or on-demand reports showing the investment performance of their accounts from SAA or APS. Clients participating in the Genworth Program will receive monthly account statements, transaction ledgers and quarterly reports showing</p>	

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**Schedule F of  
Form ADV****Continuation Sheet for Form ADV Part II**Applicant:  
**Asset Preservation Strategies, Inc.**SEC File Number:  
**801-63003**Date:  
**11/14/08**

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

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**Asset Preservation Strategies, Inc.**IRS Empl. Ident. No.:  
**33-08980823**

Item of Form (identify)	Answer
Part II, Page 6, #12A(1) & 12A(2)	<p>the investment performance of their account from Genworth.</p> <p>Upon receiving written authorization from the client, APS may manage a client's assets on a limited discretionary basis. When it does, discretionary authority is limited in that APS will not have the authority to withdraw funds and/or securities from client accounts except when written authorization has been provided to have fees automatically deducted from a client's account and paid directly to APS.</p> <p>In the Genworth Program, APS offers clients model portfolios composed by a group of independent investment strategists in the Genworth Asset Allocation Program. The independent investment strategists have no direct relationship with APS or its clients, make no analysis of the clients' circumstances or objectives, and do not tailor the model portfolios to any specific client's needs. The associated persons of APS assist the client in selecting the model portfolio(s) that best suit the client's objectives. The client then specifically directs the account to be invested in accordance with the chosen model portfolio. When the client selects the model portfolio, the client further directs that his/her account be automatically adjusted to reflect any adjustment in the model portfolio by the investment strategist. This client authorization would result in the purchase and sale of certain mutual funds or transfers between variable annuity sub-accounts without further authorization by the client at such time as the investment strategist changes the composition of the selected model portfolio. APS has no authority to cause any purchase or sale of securities in any client account, to change the model portfolio or to direct the account to be invested in any manner other than as previously authorized by the client.</p>
Part II, Page 6, #12B	<p>The associated persons of APS are also licensed as registered representatives with SAI, a registered broker/dealer, member FINRA/SIPC. Clients wishing to implement the advice of the associated persons are free to select any broker they wish and are so informed. If clients wish to have the associated persons implement the advice in their separate capacities as registered representatives, their broker/dealer, SAI, will be used. SAI has a wide range of approved securities products for which it performs due diligence in selecting. SAI's registered representatives are required to adhere to these products when implementing securities transactions through SAI. Commissions charged for these products may be higher or lower than commissions clients may be able to obtain if transactions were implemented through another broker/dealer.</p>
Part II, Page 6, #13A	<p>Some of the advice offered by the associated persons of APS involves investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges sometimes referred to as 12(b)-1 fees. The associated persons may receive a portion of these 12(b)-1 fees from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from client's assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest.</p> <p>Although APS doesn't allow directed brokerage, it may still receive products and services from SAI, SAA or other program sponsors and product issuers. These products and services may be used for both research and non-research purposes and allows APS to supplement, at no cost, its own research and analysis activities.</p> <p>When using the Genworth Program, APS has access to various "platform" services provided by National Financial Services, LLC and Fidelity Brokerage Services, LLC (together, Fidelity). The</p>

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Part II, Page 6, #13A (continued)	<p>platform services include, but are not limited to, brokerage, custodial, administrative support, record keeping and related services.</p> <p>Fidelity charges brokerage commissions and transaction fees for effecting certain securities transactions (i.e., certain no-load mutual funds and individual equity and debt securities). Fidelity enables APS to obtain many no-load mutual funds with no or nominal transaction charges. While Fidelity's commission rates are generally considered discounted from customary retail commission rates, they may be higher or lower than those charged by other custodians and broker/dealers.</p> <p>APS also receives, at no additional charge, certain research and brokerage services including research services obtained by Fidelity directly from independent research companies selected by APS. APS can use these research and brokerage services to manage accounts for which it has investment discretion.</p> <p>As a result of receiving such services, APS may have an incentive to continue using or to expand the use of Fidelity's services. APS examined this potential conflict of interest when entering into the Fidelity relationship and determined it to be in the best interests of its clients. This relationship also satisfies the obligation of APS to its clients, including its duty to seek best execution. In seeking best execution, the determining factor is not the lowest possible cost but whether the transaction represents the best qualitative execution. APS considers the full range of a broker/dealer's services, including value of research provided, execution capability, commission rates and responsiveness.</p> <p>Accordingly, clients may pay commissions higher than other qualified broker/dealers might charge to effect the same transaction. Although the investment research products and services obtained by APS will generally be used to service all clients, a brokerage commission paid by a specific client may be used to pay for research that is not used in managing that specific client's account.</p> <p>From time to time, APS may receive expense reimbursement for travel and/or marketing expenses from distributors of investment and/or insurance products. Travel expense reimbursements are typically a result of attendance at due diligence and/or investment training events hosted by product sponsors. Marketing expense reimbursements are typically the result of informal expense sharing arrangements in which product sponsors may underwrite costs incurred for marketing such as advertising, publishing and seminar expenses. Although receipt of these travel and marketing expense reimbursements are not predicated upon specific sales quotas, the product sponsor reimbursements are typically made by those sponsors for whom sales have been made or it is anticipated sales will be made.</p> <p>APS will use the support services of SAA and Genworth Financial Wealth Management, Inc., registered investment advisors, when managing client assets in the Genworth Program. When doing so, SAA and Genworth financial Wealth Management, Inc. will receive a portion of the fees charged to the client.</p> <p style="text-align: center;"><b>OTHER BUSINESS ACTIVITIES AND MATERIAL AFFILIATIONS</b></p> <p>The associated persons of APS are engaged in professions other than giving investment advice. As registered representatives, they sell securities products to any client for commissions. They may also be independently licensed insurance agents and sell insurance products to any client for commissions. Most of the associated persons spend the majority of their workweek on advisory</p>

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**Schedule F of  
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Applicant:  
**Asset Preservation Strategies, Inc.**

SEC File Number:  
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Item of Form (identify)	Answer
	<p>matters, with a small amount of time spent on securities and/or insurance activities.</p> <p>John Jenkins also spends a small amount of time on his corporate duties for WSC Insurance Services, Inc. and WSC Design Group, Inc., on tax services as an Enrolled Agent with the IRS, and on charitable activities for Rady Children's Hospital.</p> <p>Greg Banner spends a small amount of his workweek as a freelance photographer and providing tax advice in his capacity as a California Registered Tax Preparer.</p> <p>Pamela Lint spends the majority of her time on accounting activities. Janet Butler does not provide advisory services and spends the majority of her time on her duties as a corporate officer and the Chief Compliance Officer of APS.</p> <p>APS may have relationships with non-affiliated investment advisors. It may use the services of SAA, a registered investment advisor, through FAP when managing assets and, when doing so, SAA will receive a portion of the fees.</p> <p style="text-align: center;"><b>PROXY VOTING</b></p> <p>APS and its associated persons will not vote proxies on behalf of clients. Clients are instructed to read through the information provided with the proxy documents and make a determination based on the information provided. In some instances, upon request from the client, the associated persons may give recommendations or clarifications based upon their understanding of the issues presented in the proxy materials. They may also conduct additional research on proxy issues if they believe it to be necessary. However, clients will be solely responsible for all proxy voting decisions.</p> <p style="text-align: center;"><b>CONTINGENCY AND CONTINUITY PLAN</b></p> <p>APS has a business continuity and contingency plan in place designed to respond to significant business disruptions. These disruptions can be both internal and external. Internal disruptions will impact the ability of APS to communicate and do business, such as a fire in the office building. External disruptions will prevent the operation of the securities markets or a number of firms, such as earthquakes, wildfires, hurricanes, terrorist attack or other wide-scale, regional disruptions. The response of APS to an external business disruption relies more heavily on other organizations and systems, especially on the capabilities of its registered representatives' broker/dealer and clearing firm.</p> <p>The APS continuity and contingency plan has been developed to safeguard employees' lives and firm property, to allow a method of making financial and operational assessments, to quickly recover and resume business operations, to protect books and records and to allow clients to continue transacting business.</p> <p>The plan includes:</p> <ul style="list-style-type: none"><li>• Alternate locations to conduct business;</li><li>• Hard and electronic back-ups of records;</li><li>• Alternative means of communications with employees, clients, critical business constituents and regulators;</li><li>• Review of the contingency plans for the registered representatives' broker/dealer and</li></ul>

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	<p>clearing firm and also sponsors of investment programs utilized by APS for client investments; and</p> <ul style="list-style-type: none"><li>• Details on the APS employee succession plan</li></ul> <p>The APS business continuity and contingency plan is reviewed and updated on a regular basis to ensure that the policies in place are sufficient and operational.</p> <p style="text-align: center;"><b>PRIVACY POLICY STATEMENT</b></p> <p>Your relationship with Asset Preservation Strategies, Inc. is based on trust and confidence. To fulfill its responsibilities to you, Asset Preservation Strategies, Inc. requires that you provide current and accurate financial and personal information. You deserve to expect that Asset Preservation Strategies, Inc. will protect the information you have provided in a manner that is safe, secure and professional. Asset Preservation Strategies, Inc. and its employees are committed to protecting your privacy and to safeguarding that information.</p> <p style="text-align: center;"><b>Safeguarding Customer Documents</b></p> <p>We collect non-public customer data in checklists, forms, in written notations, and in documentation provided to us by our customers for evaluation, registration, licensing or related consulting services. We also create internal lists of such data.</p> <p>During regular business hours access to customer records is monitored so that only those with approval may access the files. During hours in which the company is not in operation, the customer records will be locked.</p> <p>No individual who is not so authorized shall obtain or seek to obtain personal and financial customer information. No individual with authorization to access personal and financial customer information shall share that information in any manner without the specific consent of a firm principal. Failure to observe Asset Preservation Strategies, Inc. procedures regarding customer and consumer privacy will result in discipline and may lead to termination.</p> <p style="text-align: center;"><b>Sharing Nonpublic Personal and Financial Information</b></p> <p>Asset Preservation Strategies, Inc. is committed to the protection and privacy of its customers' and consumers' personal and financial information. Asset Preservation Strategies, Inc. will not share such information with any affiliated or nonaffiliated third party except:</p> <ul style="list-style-type: none"><li>• When necessary to complete a transaction in a customer account, such as with the clearing firm or account custodians;</li><li>• When required to maintain or service a customer account;</li><li>• To resolve customer disputes or inquiries;</li><li>• With persons acting in a fiduciary or representative capacity on behalf of the customer;</li><li>• With rating agencies, persons assessing compliance with industry standards or to the attorneys, accountants and auditors of the firm;</li><li>• In connection with a sale or merger of Asset Preservation Strategies, Inc.'s business;</li><li>• To protect against or prevent actual or potential fraud, identity theft, unauthorized transactions, claims or other liability;</li></ul>

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	<ul style="list-style-type: none"><li>• To comply with federal, state or local laws, rules and other applicable legal requirements;</li><li>• In connection with a written agreement to provide investment management or advisory services when the information is released for the sole purpose of providing the products or services covered by the agreement;</li><li>• In any circumstances with the customer's instruction or consent; or</li><li>• Pursuant to any other exceptions enumerated in the <i>California Information Privacy Act</i>.</li></ul> <p style="text-align: center;"><b>Opt-Out Provisions</b></p> <p>It is not a policy of Asset Preservation Strategies, Inc. to share nonpublic personal and financial information with affiliated or unaffiliated third parties except under the circumstances noted above. Since sharing under the circumstances noted above is necessary to service customer accounts or is mandated by law, there are no allowances made for clients to opt out.</p>

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