

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

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Name of Investment Adviser:						
Address:	(Number and Street)	(City)	(State)	(Zip Code)	Area Code:	Telephone Number:

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

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

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

Applicant:

SEC File Number:

Date:

801-

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 type="checkbox"/> (1) | Provides investment supervisory services | _____ % |
| <input type="checkbox"/> (2) | Manages investment advisory accounts not involving investment supervisory services..... | _____ % |
| <input type="checkbox"/> (3) | Furnishes investment advice through consultations not included in either service described above... | _____ % |
| <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 type="checkbox"/> (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities... | _____ % |
| <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 <input type="checkbox"/> | No <input type="checkbox"/> |
|--|------------------------------|-----------------------------|

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

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

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

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

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

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

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

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

- | | |
|---|---|
| <input type="checkbox"/> A. Equity securities | <input type="checkbox"/> H. United States government securities |
| <input type="checkbox"/> (1) exchange-listed securities | <input type="checkbox"/> I. Options contracts on: |
| <input type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> (1) securities |
| <input type="checkbox"/> (3) Foreign issuers | <input type="checkbox"/> (2) commodities |
| <input type="checkbox"/> B. Warrants | <input type="checkbox"/> J. Futures contracts on: |
| <input type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles |
| <input type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (2) intangibles |
| <input type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input type="checkbox"/> F. Municipal securities | <input type="checkbox"/> (1) real estate |
| <input type="checkbox"/> G. Investment company securities: | <input type="checkbox"/> (2) oil and gas interests |
| <input type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> (2) variable annuities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input 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 type="checkbox"/> Cyclical |
| (2) <input type="checkbox"/> Fundamental | (5) <input 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 type="checkbox"/> Financial newspapers and magazines | (5) <input type="checkbox"/> Timing services |
| (2) <input type="checkbox"/> Inspections of corporate activities | (6) <input type="checkbox"/> Annual reports, prospectuses, filings with the |
| (3) <input type="checkbox"/> Research materials prepared by others | Securities and Exchange Commission |
| (4) <input type="checkbox"/> Corporate rating services | (7) <input type="checkbox"/> Company press releases |
| | (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 type="checkbox"/> Long term purchases
(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions |
| (2) <input type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input type="checkbox"/> Option writing, including covered options,
uncovered options or spreading strategies |
| (3) <input type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input 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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5. Education and Business Standards.

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

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

6. Education and Business Background.

For:

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

On Schedule F, give the:

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

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

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

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

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

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- ☐ C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- | | |
|--|--|
| <input 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)

Applicant:

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Date:

9. Participation or Interest in Client Transactions.

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

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

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

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

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

Yes No
☐ ☐

(If yes, describe on Schedule F)

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

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

Applicant:

SEC File Number:
801-

Date:

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 type="checkbox"/> | <input type="checkbox"/> |
| (2) amount of securities to be bought or sold? | <input type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input type="checkbox"/> | <input type="checkbox"/> |
| (4) commission rates paid? | <input 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 product and research services received.

13. Additional Compensation.

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

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

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

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

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

Has applicant provided a Schedule G balance sheet?..... ☐ Yes ☐ No

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant

Guardian Wealth Management, Inc.

SEC File Number:

801-61330

Date:

08-26-2008

Part II, Item 1D

Guardian Wealth Management, Inc. ("the Adviser") provides investment advisory services to its clients on a discretionary basis. The advisory services include, among other things, providing advice regarding asset allocation and the selection of investments. Account management or supervision is guided by the stated objectives of the client. In addition, the Adviser considers the client's risk profile and financial status prior to making any recommendations.

Fees are paid quarterly in advance. Fees are due on the first day of the calendar quarter, are based on the account's asset value as of the last business day of the prior calendar quarter month and are pro-rated for cash inflows which change the fee by \$30. Fees are prorated for accounts opened during the quarter, and are billed at the next quarterly billing date.

Annualized Fees

From	To	Per Year
\$0	\$250,000.00	1.50%
\$250,000.01	\$500,000.00	1.25%
\$500,000.01	\$1,000,000.00	1.00%
\$1,000,000.01	\$2,000,000.00	0.75%
Over \$2,000,000		Negotiable

Mitigating criteria could also result in reduced fees. An employee and employee's family of the Advisor may qualify for reduced fees. Family and company portfolios could be grouped for determination of account balances used in determination of fees. Investment advisory fees for assets above \$2,000,000 will be negotiated. On a per client basis, minimum annual fee is equal to \$5,000 excluding clients by association who have a Qualified Retirement Plan Participant account (i.e. SIMPLE – IRA, 401k, SEP-IRA, etc.).

Fees are computed by taking the value of the investment assets upon management of the firm and then multiplied by the corresponding fee structure as detailed above at the beginning of each quarter. Assets that transfer under the firm's management after the first day of the billing quarter are pro-rated for the initial billing cycle.

Services include: ongoing asset allocation, portfolio rebalancing, monitoring of financial plan progress, quarterly meetings and detailed reporting, monthly statements from custodian, access to Dimensional Fund Advisors Mutual Funds (DFA). DFA is only available to fee-only approved advisors.

Financial Planning Fees based on hourly rates are invoiced at engagement end and are due upon receipt. Certain engagements may require a deposit. Hourly consultation fees are billed at \$200 per hour with a \$200 minimum. Fees for a comprehensive Financial Plan are generally \$2,000. This fee is for the preparation and production of the plan and is somewhat negotiable between advisor and client prior to preparation of financial plan.

An advisory client will have a period of five (5) business days from the date of signing the investment advisory agreement to unconditionally rescind the agreement and receive a full refund of all investment management fees. Thereafter, either party may terminate the investment advisory agreement with 30 days written notice. Upon termination, fees will be prorated to the date of termination and the unearned portion of the fee will be refunded to the client.

The account Custodian may charge fees, which are in addition to and separate from the investment advisory service fee. Custodians may charge accounts for various transaction costs, retirement plan and administration fees. In addition, some mutual fund assets deposited in the account may have been subject to deferred sales charges and 12 (b)(1) fees and other mutual fund annual expenses as described in the fund's prospectus. Advisory clients should also note that fees for comparable services vary and lower fees for comparable services may be available from other sources.

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant	SEC File Number:	Date:
Guardian Wealth Management, Inc.	801-61330	08-26-2008

Part II, Item 4B (8)	Principia Pro Morningstar™ Reports & Ibbotson and Associates Academic Research as licensed by Dimensional Fund Advisors.
Part II, Item 4C (7)	<p>Asset class diversification based on Modern Portfolio Theory (MPT) and Efficient Market Hypothesis. MPT was theorized by Harry Markowitz in 1952. The theory looks at the portfolio performance based upon a combination of its assets' risk and return. MPT helps us understand through the use of mathematical quadratic equations, the relationship between risk and return. The set of portfolios that is the foundation of modern portfolio theory is known as the efficient frontier.</p> <p>For a given level of expected return, there is no other portfolio characterized by lower risk. For a given level of risk, there is no portfolio with a higher expected return. The rational investor will choose the highest expected return with the lowest risk.</p> <p>Investors attempt to find the optimum portfolio, balancing risk and return by using indifference curves. These measure the risk/reward preferences that an investor is willing to make along the efficient frontier. These curves do not intersect with one another since they represent different investor preferences. The slope of any curve is a function of the risk-averse nature of the investor. The higher the curve, the greater is the investor's aversion to risk. Portfolio possibilities are represented all along the efficient frontier curve, and the rational investor will seek out the optimum portfolio position. This occurs at a point where the highest indifference curve is tangent to the efficient frontier curve.</p> <p>All possible portfolios below the line are attainable, but they may not maximize return for the risk level assumed. No attainable portfolio can lie above the efficient frontier. Portfolios outside the efficient frontier are not included in the feasible set or array of possible options. This is because no risk and expected return level is attainable at that point. Ultimately it is the individual who will have to decide what combination of risk and return in a portfolio is to be selected.</p>
Part II, Item 5	Undergraduate degree from college or university with CPA, PFS, or CFP designation.

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant	SEC File Number:	Date:
Guardian Wealth Management, Inc.	801-61330	08-26-2008

Part II, Item 6	<p>Donald C. VanLandingham, Jr., CPA/PFS YOB: 1956 Education: Georgia State University, BBA Accounting Business Background: Guardian Wealth Management, Inc. 1997 to present</p> <p>Kathy J. VanLandingham YOB: 1956 Business Background: Guardian Wealth Management, Inc. 1997 to present</p> <p>David A. Hodges, CFP YOB: 1974 Education: University of Tennessee at Chattanooga, BA Economics and Spanish Business background: Guardian Wealth Management, Inc. November 2001 to present Evergreen Management, Inc. March 2000 to October 2001</p> <p>Cory S. Colquette, MBA, CPA/PFS YOB: 1976 Education: University of Tennessee at Chattanooga, BS Biology, MBA Business background: Guardian Wealth Management, Inc. October 2005 to present</p> <p>Michele del Valle, CPA YOB: 1966 Education: Barry University, Miami Shores, FL. Bachelor of Science in Business Administration (Accounting) Business background: Guardian Wealth Management, Inc., July 2008 - present Webb Financial Consultants/FSC Securities Sept. 2002 – July 2008</p>
Part II, Item 7C	<p>Don VanLandingham is 50% owner / partner in SV Partners, LLC. This business owns and manages an office suite complex with another individual as equal partners in a commercial real estate holding. Don VanLandingham spends less than 1 hour a month with the involvement of this business.</p>
Part II, Item 9E	<p>Code of Ethics</p> <p>The Adviser 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. The Adviser and its personnel owe a duty of loyalty, fairness and good faith towards 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. The Code covers a range of topics that may include: general ethical principles, reporting personal securities trading, exceptions to reporting securities trading, reportable 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. The Adviser will provide a copy of the Code to any client or prospective client upon request.</p> <p>Associated persons may own an interest in or buy or sell for their accounts the same securities, which may be purchased or sold in the accounts of advisory clients. Associated persons seek to ensure that they do not personally benefit from the short-term market effects of their recommendations to clients and their personal transactions are regularly monitored. Associated persons are aware of the rules regarding material non-public information and insider trading. Associated persons may also buy or sell specific securities for their accounts based on personal investment considerations, which the adviser does not deem appropriate to buy or sell for clients.</p>
Part II, Item 10	<p>Guardian Wealth Management requires a minimum investment of \$500,000 in assets under management or minimum advisory fee of \$5,000 annually.</p>

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant	SEC File Number:	Date:
Guardian Wealth Management, Inc.	801-61330	08-26-2008

Part II, Item 12A	<p>The Adviser will have complete discretion over the selection and amount of securities to be bought or sold without obtaining specific client consent.</p> <p>The adviser may also select the broker-dealers for trade execution at its discretion. Guardian Wealth Management custodies it's entire book of business with Aegon Financial (5%) and TD Ameritrade Institutional services (95%). All current and new accounts are custodied with TD Ameritrade. This decision was made due to the substantial savings in transaction related investment fees and speed and accuracy that TD Ameritrade can provide to Guardian Wealth Management, Inc.'s clients. Guardian Wealth Management believes that the trading fees charged by TD Ameritrade are much more reasonable than transaction / investment fees that were being charged by other Broker Dealers that were researched. In selecting a broker for any transaction or series of transactions, the adviser may consider a number of factors, including, for example, net price, the financial stability and reputation of the broker, the quality of the investment research, investment strategies, special execution capabilities, clearance, settlement, custody, record keeping, accuracy and other services provided by such broker.</p>