

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

OMB Number: 3235-0049
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Hours per response.....4.07

Name of Investment Adviser: Financial Connections Group, Inc.						
Address:	(Number and Street)	(City)	(State)	(Zip Code)	Area Code:	Telephone Number:
	21 Tamal Vista Blvd / Suite 105	Corte Madera,	CA	94925	(415)	924-1091

**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: Financial Connections Group, Inc.

SEC File Number:

801- 57202

Date:

03/05/2010

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 | 94 | % |
| <input type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services..... | | % |
| <input checked="" type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above... | 3 | % |
| <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... | 3 | % |
| <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.)

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

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 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 checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" 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 checked="" type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> (2) variable annuities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

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

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

- | | |
|-----------------------------------------------------|-----------------------------------------------------------------------|
| (1) <input type="checkbox"/> Charting | (4) <input 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 |
| (3) <input checked="" 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 checked="" type="checkbox"/> Long term purchases
(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions |
| (2) <input checked="" 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 checked="" type="checkbox"/> Other (explain on Schedule F) |
| (4) <input type="checkbox"/> Short sales | |

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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.)

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.

Financial Planning and Consultation Services are not ongoing in nature and thus terminate upon the delivery of services unless otherwise agreed as evidenced in the then-current Client Agreement. Investment Management Services involve continuous and ongoing services, and provides for the monitoring and internal review of portfolio assets. Additional triggers may also occur at the time of new deposits or significant withdrawals, or by direction from the client. Reviews are performed by Brian Pon and/or Jill Hollander.

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

Clients are provided with transaction confirmation notices and regular summary account statements directly from the custodian. Clients receiving Investment Management Services will also receive a quarterly report from the Adviser which summarizes account activity and performance. The Adviser may generate various written reports, financial plans, post-meeting communications, or other communications and solely at the Adviser's discretion.

12. Investment or Brokerage Discretion.

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

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

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

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

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

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

13. Additional Compensation.

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

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

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

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

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

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

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

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

Applicant:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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: Financial Connections Group, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Item 1D	<p><u>Advisory Services and Fees</u></p> <p>Financial Connections Group, Inc., ("Adviser") provides fee-only Investment Management, Financial Planning, Divorce Planning, Small Businesses 401(k) Consulting, and Tax Preparation Services.</p> <p><u>Financial Planning Services</u></p> <p>Financial Connections Group, Inc. offers financial planning services, advice or consultation relating to certain planning components as the client may desire. When Financial Planning Services focus only on certain areas of client interests or needs, the client must understand that their overall financial situation or needs may not be fully addressed due to service limitations set by the client. The advice provided may include recommendations for updates and reviews. Unless the Adviser is engaged for long-term services, pursuant to a written agreement that includes review and updates, it would be the client's responsibility to engage additional services under a new engagement if desired.</p> <p>Financial Connections Group, Inc. provides Financial Planning Services on an hourly or fixed fee project basis. Financial Planning Services are not ongoing in nature unless provided for in the Client Agreement. If the Adviser is not engaged for ongoing services, Financial Planning Services terminate upon the project delivery. Financial Planning Services focus on advice that is long-term in nature and the advice is based upon information presented by the client. Advice may be provided on such subjects as financial and cash management, risk management, financial concerns of non-traditional couples, estate planning, tax issues, retirement planning, long-term care, educational funding, goal setting, benefit considerations, financial concerns of professional women, or other needs as identified by the client. The Adviser will provide review and updates for a preexisting plan if so engaged.</p> <p>The Adviser's financial planning fees are based on an hourly rate of \$200.00. The number of hours to complete the plan will be estimated and depend upon the level and scope of the professional, planning and/or consulting services required as well as the nature and complexity. The Adviser may require an initial retainer up to one-half the project fee in order to schedule projects. Fees or project balances for Financial Planning are due and payable upon delivery of the plan.</p> <p>The client retains absolute discretion over all such implementation decisions and is free to accept or reject any recommendation from Financial Connections Group, Inc. Moreover, each client is advised that it remains their responsibility to promptly notify the Adviser if there any change in their financial situation or investment objectives for the purpose of reviewing, evaluating, or revising Financial Connections Group, Inc.'s previous recommendations and/or services.</p> <p>If the client elects to engage the Adviser to provide ongoing Management Services (investment management and financial planning which may include three-hours tax preparation), the fee for Financial Planning services may be waived at the discretion of a principal of the Adviser during the initial engagement year.</p>	

Schedule F
Page 1 of 14

(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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: Financial Connections Group, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Item 1D (Cont'd)	<p>Financial Planning Services may be immediately terminated by either party upon written notice. If the client did not receive the Adviser's Form ADV Part II at least 48 hours prior to engagement, the client has the right to terminate services within five days of signature with all fees due. Prepaid but unearned fees will be promptly refunded upon termination notice. Thereafter, the client may terminate services at any time and will only be invoiced for time incurred by the Adviser up until the effective date of termination.</p> <p><u>Divorce Planning Services</u></p> <p>Financial Connections Group, Inc. offers a planning service for situations involving divorce. Depending on the engagement, the Adviser will prepare a financial analysis of the various options for divorce settlement. The analysis will include a cash flow summary, net worth statement, marital inventory, short and long-term projections, etc. Adviser's services pursuant the Divorce Planning Agreement do not include investment advice, supervision or management services, or financial planning services; which may be engaged under separate agreement or addenda. If part of the project, the Adviser will provide reports to the assigned attorney or mediator to assist in the financial settlement process.</p> <p>The Adviser's hourly fee rate is \$150, and services to be provided are agreed upon at engagement through the execution of the Divorce Planning Agreement. The Adviser may require a \$1,500 retainer prior to commencement of the project. Once the retainer is exhausted, an invoice will be issued, and payable within 15 days from the invoice date. Non-payment may result in the project being suspended or cancelled.</p> <p>Divorce Planning Services may be immediately terminated by either party upon written notice. The client has the right to terminate services within five days of signature with all fees due. Prepaid but unearned fees will be promptly refunded upon termination notice. Thereafter, the client may terminate services at any time and will only be invoiced for time incurred by the Adviser up until the effective date of termination.</p> <p><u>Tax Preparation Services</u></p> <p>Ongoing Management Services clients may be offered tax preparation services. Fees are charged at the hourly rate of \$200, and negotiable at the discretion of a principal of the Adviser.</p> <p><u>ERISA Participant-Directed Defined Contribution Services</u></p> <p>Financial Connections Group, Inc. offers a planning service for small business owners in development and implementation of retirement plans for themselves and their employees. Services include plan administrator due diligence; plan design and deployment, investment criteria, employee education, and periodic review.</p>	

Schedule F
Page 2 of 14

(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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: Financial Connections Group, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Item 1D (Cont'd)	<p>The Adviser's hourly fee rate during the plan design and implementation process is \$200, and services to be provided are agreed upon the execution of the ERISA Participant-Directed Defined Contribution Plan Agreement. The number of hours to develop and deploy the plan will be estimated and will depend upon the complexity and scope of the project. A Plan Service Retainer may be required for ongoing plan advisory services and will be based upon the size of plan, number of employees, and the location of the company. The Adviser may require an initial retainer up to one-half the project fee in order to schedule projects. Fees or project balances for these services are generally due and payable upon deployment of the plan. Once the retainer is exhausted, an invoice will be issued and payable within 15 days from the invoice date. Non-payment may result in the project being suspended or cancelled.</p> <p>ERISA Participant-Directed Defined Contribution Services may be immediately terminated by either party upon written notice. The client has the right to terminate services within five days of signature with all fees due. Prepaid but unearned fees will be promptly refunded upon termination notice. Thereafter, the client may terminate services at any time and will only be invoiced for time incurred by the Adviser up until the effective date of termination.</p> <p>The client may be billed for pre-approved, third-party material and/or service that are purchased specifically for them. Legal, insurance or accounting fees incurred as a result of implementation of a plan are at client expense.</p> <p><u>Investment (Ongoing) Management Services</u></p> <p>In the event the client desires Investment Management Services upon completion of the initial Financial Planning Services, they may subsequently engage Financial Connections Group, Inc. to provide Investment Management Services, which includes ongoing Financial Planning Services.</p> <p>Investment Management Services are ongoing in nature. An initial interview and data-gathering session is completed to determine the client's individual needs, goals, objectives, time horizons, risk tolerance and any other information the client may provide.</p> <p>In the event that a client requests, the Adviser will manage all or a portion of a client's assets in accordance with the client's designated socially conscious ("SC") investment objective, pursuant to which the Adviser shall allocate client assets among various mutual funds that have social conscious investing as their primary investment objective. Those clients that direct the Adviser to allocate all or a portion of their investment assets among SC mutual funds, should understand that the following limitations correspond to an SC objective: (1) the current number of fixed income and equity SC mutual funds is limited; (2) because of this limitation, the ability of the Adviser to diversify client assets among different mutual funds is, correspondingly, currently limited; (3) the number of publicly traded companies that meet the SC investment parameters are also limited; (4) because of the current limitations of available SC funds and publicly traded companies that qualify for SC investing, there is greater probability of similarity of holdings (fixed income and equity) amongst SC funds, which, depending upon the performance of the underlying securities, could have a more pronounced positive</p>	

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Item of Form (identify)	Answer										
Item 1D (Cont'd)	<p>or negative impact on the SC portfolio; and (5) as a result of earlier-stated limitations, an SC portfolio may be more volatile than a fully diversified portfolio, and is appropriate for SC investors with an investment time horizon in excess of five years.</p> <p>The clients' active participation and involvement in the development of the portfolio as well its ongoing management is preferred. The Adviser encourages frequent client contact, however, it is up to the client to initiate the appointment at his/her convenience. Clients may call the office at any time during normal business hours to discuss the client's account, financial situation or investment needs directly with an investment advisory representative of Financial Connections Group, Inc. However, during the span of the advisory relationship, clients are obligated to promptly notify the Adviser of any changes in the client's financial status. Prompt contact in this situation allows the client and Adviser to have the opportunity to review the current investment plan to help ensure the investment strategies continue to meet changing needs, or to determine if there needs to be a change in stated investment objectives or portfolio strategies.</p> <p>Investment Management clients will receive transactional statements and regular account statements from the custodian. The Adviser will also prepare quarterly summary reports or may agree to provide other information, based upon the informational needs of the client.</p> <p>Unless the client directs otherwise, Financial Connections Group, Inc. shall generally recommend that all such investment management accounts be maintained at TD Ameritrade, Inc. ("TD Ameritrade"). Prior to engaging the Adviser to provide ongoing management services, the client will be required to enter into a formal <i>Management Agreement</i> with Financial Connections Group, Inc. setting forth the terms and conditions under which the Adviser shall manage the client's assets, and a separate custodial/clearing agreement with TD Ameritrade.</p> <p>Financial Connections Group, Inc. shall charge an annualized asset-based fee for investment management services, which shall be paid quarterly and in arrears based on the market value of the assets under management on the last business day of the previous quarter. Fees for investment management services are prorated based on deposits and withdrawals over \$100.00.</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>Assets Under Management</u></th> <th style="text-align: left;"><u>Annual Fee</u></th> </tr> </thead> <tbody> <tr> <td>Up to \$1,000, 000</td> <td>1.00%</td> </tr> <tr> <td>\$1,000,001 to \$2,000,000</td> <td>0.75%</td> </tr> <tr> <td>\$2,000,001 to \$3,000,000</td> <td>0.65%</td> </tr> <tr> <td>\$3,000,001 and up</td> <td>0.50% or Retainer</td> </tr> </tbody> </table> <p>At the discretion of Financial Connections Group, Inc., an investment management client may be charged a Retainer or Flat-Fee. If engaged in this manner, the Retainer/Flat-Fee agreement will be reviewed and reassessed every two years.</p>	<u>Assets Under Management</u>	<u>Annual Fee</u>	Up to \$1,000, 000	1.00%	\$1,000,001 to \$2,000,000	0.75%	\$2,000,001 to \$3,000,000	0.65%	\$3,000,001 and up	0.50% or Retainer
<u>Assets Under Management</u>	<u>Annual Fee</u>										
Up to \$1,000, 000	1.00%										
\$1,000,001 to \$2,000,000	0.75%										
\$2,000,001 to \$3,000,000	0.65%										
\$3,000,001 and up	0.50% or Retainer										

Schedule F
Page 4 of 14

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

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Item 1D (Cont'd)	<p>For new clients commencing services subsequent to January 1, 2002, the Adviser generally requires an account minimum of \$500,000 or a minimum annual fee of \$5,000.00. The scope of the ongoing annual financial planning and/or related consultation services to be rendered by Financial Connections Group, Inc. is intended to generally be limited to reviewing/evaluating/revising the Adviser's previous recommendations and/or services relative to a change in the client's financial situation and/or investment objectives. In the unlikely event that a client requires extraordinary financial planning and/or consultation services, the Adviser may charge an additional fee for such extraordinary services at the Adviser's hourly rates. This additional fee may be subject to a separate <i>Financial Planning Agreement</i>. In addition, in the event the client requires tax preparation services, such additional services shall be provided at an hourly rate of \$200. Existing clients may receive some tax preparation services under their original agreement and thus <i>grandfathered</i> for these services.</p> <p>The Adviser, in its sole discretion, may charge a lesser asset-based fee determined by certain other criteria (i.e., existing financial planning client, anticipated future earning capacity, anticipated future additional assets, dollar amount of assets to be managed, related accounts, account composition, negotiations with client, etc.). For those clients that have previously engaged Financial Connections Group, Inc. to perform financial planning services, the asset-based fee shall be decreased (off-set) during the initial engagement year in an amount equal to the financial planning fee previously paid.</p> <p>Both the Adviser's <i>Management Agreement</i> and the custodian's custodial/ clearing agreement may authorize the custodian to debit the account for the amount of Financial Connections Group, Inc.'s investment management fee and to directly remit that management fee to the Adviser in accordance with applicable regulatory procedures. The agreement further acknowledges that the investment advisor representative, Adviser, and its clearing and custody relationships, in connection with the performance of their respective services on behalf of the client, shall be entitled to and may share in the fee payable.</p> <p>Advisory Fees are determined based upon the fair market value of the portfolio as of the last trading day of the relevant quarter. Market value is determined by the client's custodian. In absence of a market value, the Adviser and client will seek an independent third party opinion, or otherwise in good faith. Where services are initiated at any other time other than the beginning of a calendar quarter, advisory fees will be pro-rated.</p> <p><u>General Disclosure</u></p> <p>Advisory fees will not be based upon a share of capital gains or capital appreciation of the funds of any portion of funds of an advisory contract (known as "<i>performance fees</i>"). Advisory fees are not collected for services to be performed more than six months in advance and in excess of \$500, as this type of fee arrangement results in constructive custody of funds. The aforementioned advisory fees represent fees for advisory services of the Adviser only. Clients pay transaction fees to broker/dealers and fees to other service providers, as may be applicable (i.e., retirement plan fees, trust account fees, etc.).</p>	

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(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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: Financial Connections Group, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Item 1D (Cont'd)	<p>As previously noted, payment of Investment Management fees are paid through a debit directly to the client's account by the custodian holding the client's funds and securities. The Adviser's hourly or fixed fee invoices for consultation or other services can be paid directly, if desired.</p> <p>All fees paid to Financial Connections Group, Inc. for Advisory services are separate from the fees and expenses charged to shareholders of mutual funds shares by the fund companies, or by the investment adviser managing the fund portfolios. A complete explanation of the expenses charged by mutual funds is contained in each fund's prospectus. Investors are strongly encouraged to read any offering document or prospectus before investing.</p> <p>For those clients that require an enhanced and/or specialized level of asset management services, Financial Connections Group, Inc. shall also recommend that certain clients authorize the active discretionary management of a portion of their assets by and/or among certain independent investment manager[s] and/or investment programs (the "<i>Independent Manager[s]</i>"), based upon the stated investment objectives of the client. The terms and conditions under which the client shall engage the <i>Independent Manager[s]</i> shall be set forth in separate written agreements between the client and the Adviser and the client and the designated <i>Independent Manager[s]</i>. Financial Connections Group, Inc. shall continue to render non-investment supervisory services to the client relative to the ongoing monitoring and review of account performance, asset allocation and client investment objectives, for which the Adviser shall receive an annual advisory fee which is based upon a percentage of the market value of the assets being managed by the designated <i>Independent Manager[s]</i> (between 0.20% and 1.00%). Factors which the Adviser shall consider in recommending <i>Independent Manager[s]</i> include the client's stated investment objective(s), management style, performance, reputation, financial strength, reporting, pricing, and research. The investment management fees charged by the designated <i>Independent Manager[s]</i>, together with the fees charged by the corresponding designated broker-dealer/custodian of the client's assets, are exclusive of, and in addition to, the Adviser's ongoing investment advisory fee.</p> <p>The Adviser will use its best judgment and good faith effort in rendering its services to clients. Financial Connections Group, Inc. cannot warrant or guarantee any particular level of account performance, or that account will be profitable over time. The client assumes all market risk involved in the investment of account assets and understands that investment decisions are subject to various risks, which may include market, currency, operational or political risk, among others. Except as may otherwise be provided by law, the Adviser will not be liable to the client or his/her heirs or assigns for any loss an account may suffer by reason of an investment decision made or other action taken or omitted in good faith by the Adviser with that degree of care, skill, prudence and diligence under the circumstances that a prudent person acting in a fiduciary capacity would use; any loss arising from the Adviser's adherence to the client's instructions or their legal representative; or any act or failure to act by a custodian of maintaining an account.</p>	
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(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:
**Financial Connections
Group, Inc.**

SEC File Number:
801- 57202

Date:
03/05/2010

(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	
Item 1D (Cont'd)	<p>Other than having the ability to deduct fees from client accounts, the Adviser does not have custody of the assets in the account and shall have no liability to the client for any loss or other harm to any property in the account, including any harm to any property in the account resulting from the insolvency of the custodian or any acts of the agents or employees of the custodian and whether or not the full amount or such loss is covered by any insurance coverage which may be carried by the custodian.</p> <p>Financial Connections Group, Inc. shall not be required to verify any information received from the client or from the client's other professionals, and is expressly authorized to rely thereon. If requested by the client, the Adviser may recommend the services of other professionals for implementation purposes. The client is under no obligation to engage the services of any such recommended professional.</p>	
Item 3L	<p><u>Types of Investments</u></p> <p>The Adviser does not manage but may offer assistance with partnership investments in an existing portfolio but limits advice to reviews and consultation for the overall appropriateness of the investment. The nature of the advice will be based upon information provided by the client.</p>	
Item 4	<p><u>Methods of Analysis, Sources of Information, and Investment Strategies</u></p> <p>Financial Connections Group, Inc. attempts to measure an investor's goals, risk tolerance and time horizon through an interview process and information provided by the client in an effort to determine a plan/portfolio to best fit the investor's profile. Investment strategies may be based upon a number of concepts and determined by the type of investor. Portfolios, advice, and recommendations are based upon a client's stated goals, objectives, investment time horizon and risk tolerance using the information the client provides. Information provided by the client will be deemed reliable and a realistic presentation of the client's present situation, goals and objectives. As the client's financial situation, goals, objectives, or needs change, the client must promptly notify the Adviser. Investment strategies used to implement investment advice are generally long-term in nature and primarily employ a buy and hold philosophy. Investment strategies may include short-term purchases depending upon the individual needs and objectives of the client.</p>	
Item 5	<p><u>Education and Business Standards</u></p> <p>All associated persons that offer investment advice on behalf of Financial Connections Group, Inc. must have earned a college degree and have substantive investment-related experience. They must also be a Certified Financial Planner (CFP®) practitioner in good standing with the Certified Financial Planners Board of Standards, Inc., or engaged in the educational program for this and other esteemed professional designations. All investment adviser representatives must meet the examination or experience requirements of those jurisdictions in which they provide investment advisory services.</p>	
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(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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: Financial Connections Group, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Item 6	<p><u>Education and Business Background</u></p> <p>JILL HOLLANDER [Born 1950] <i>President, Chief Compliance Officer, Information Security Officer, Shareholder, Investment Advisory Representative, Financial Planner</i></p> <p><u>Post-Secondary Educational Background</u> Bachelor of Arts - University of Arizona, Tuscon, AZ MBA Finance - Golden Gate University, San Francisco, CA College of Financial Planning - Denver, CO Certified Financial Planner™ Chartered Retirement Planning CounselorSM Certified Divorce Financial Analyst Corporate Coach University "Coaching Skills Training"</p> <p><u>Recent Business Background</u> Financial Connections; Corte Madera, CA [1994 - Present] Gladstone Managed Investments (GMI); Berkeley, CA [1993 - 1999]</p> <p>BRIAN PON [Born 1970] <i>Secretary, Shareholder, Investment Advisory Representative, Financial Planner</i></p> <p><u>Post-Secondary Educational Background</u> Bachelor of Science in Engineering Physics - University of California, Berkeley, CA Personal Financial Planning - University of California, Berkeley, CA Registered Tax Preparer IRS Special Enrolled Agent (EA) Certified Financial Planner™</p> <p><u>Recent Business Background</u> Financial Connections; Corte Madera [2000 - Present] Lawrence Berkeley National Laboratory; Berkeley, CA [1991 - 2000] H & R Block (Tax Preparer); Berkeley, CA [1997 - 2000]</p> <p>CHRISTINE REMEDIOS [Born 1961] <i>Investment Advisory Representative, Financial Planner</i></p> <p><u>Post-Secondary Educational Background</u> Bachelor of Arts, Management - University of California, San Diego, CA Personal Financial Planning - University of California, Berkeley, CA Candidate - Certified Financial Planner™ Certification</p>	

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(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

(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	
Item 6 (Cont'd)	<p><u>Recent Business Background</u> Financial Connections; Corte Madera, CA [2003 - Present] Pacific Coast Women's Investment Group; San Francisco, CA (Board Member, Treasurer) [1997 - 2003] Glenridge Cooperative Nursery School, San Francisco, CA (Co-Treasurer, Endowment Committee) [1995 - 2000]</p>	
Item 7	<p><u>Other Business Activities</u></p> <p>The Adviser provides both financial planning and investment management services to clients on a fee-only basis. Due to the Adviser offering both of these services, a potential conflict of interest may exist. Therefore, a client engaging the Adviser for both of these services is under no obligation to act upon Financial Connections Group, Inc. recommendations. If the client elects to act on any of the recommendations, they are under no obligation to effect them through the Adviser.</p> <p>The Adviser may also provide tax preparation services, for a separate fee, to its ongoing investment management services clients. Clients are never obligated to engage in these services.</p>	
Item 9	<p><u>Participation or Interest In Client Transactions</u></p> <p>The Adviser and its employees may buy or sell securities similar to those recommended to clients for their accounts. Financial Connections Group, Inc. may also make recommendations or take action with respect to investments for its clients which may differ in nature or timing from recommendations made to or actions taken for other clients or its employees. At no time will the Adviser or any related party receive preferential treatment over its clients. The Adviser enforces applicable securities law, including prohibitions against insider trading. The Adviser monitors and maintains the required personal securities transaction records for its employees.</p> <p><u>Code of Ethics</u></p> <p>The Adviser has adopted a Code of Ethics that sets forth the policies of ethical conduct for all employees. The Adviser also adheres to the Code of Ethics and Professional Responsibility adopted by the Certified Financial Planner Board of Standards, Inc. and accepts the obligation not only to comply with the mandates and requirements of all applicable laws and regulation but also to take responsibility to act in an ethical and professionally responsible manner in all professional services and activities.</p> <p>Not all organizational duties are segregated, however, the Adviser employs policies and procedures to ensure accurate record keeping and supervision. Certain functions may be outsourced to assist in these efforts as necessary.</p>	
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(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

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

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Item 9 (Cont'd)	<p>The Adviser will provide written disclosure to the client prior to an engagement, and throughout the term of the engagement, of any conflicts of interest which will or reasonably may compromise its impartiality or independence. The Adviser will provide a copy of its Code of Ethics to any client or prospective client upon request. A copy of the Certified Financial Planner Board of Standards, Inc. Code of Ethics may also be obtained at the web site www.cfp.net/learn/ethics.asp.</p>	
Item 10	<p><u>Conditions for Managing Accounts</u></p> <p>Financial Connections Group, Inc. does not require a minimum for Financial Planning Services.</p> <p>The Adviser requires a minimum of \$500,000 of investable assets for Investment Management Services or a minimum annual fee of \$5,000.</p> <p>Financial Connections Group, Inc. reserves the right to decline services to any prospective client and for any reason. The Adviser also reserves the right to waive minimum conditions based on unique individual circumstances, special arrangements, pre-existing relationships or as otherwise may be determined by the Chief Compliance Officer.</p>	
Item 12	<p><u>Investment or Brokerage Discretion</u></p> <p><u>Investment Authority</u></p> <p>The Adviser may maintain limited power of attorney to execute trades as evidenced by the Client Agreement. The Adviser does not have authority to withdraw funds or securities except where the client authorizes the deduction of advisory fees via their qualified custodian. Clients retain the authority to vote proxies. Therefore, although the Adviser may provide investment advisory services relative to client investment assets, Financial Connections Group, Inc. clients maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities beneficially owned by the client shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client's investment assets. The Adviser and/or the client shall correspondingly instruct each custodian of the assets to forward to the client copies of all proxies and shareholder communications relating to the client's investment assets.</p> <p>Clients, therefore, will agree to ensure that proxy materials are sent directly to them. Clients are welcome to delegate said proxy voting authority to a properly authorized agent (non-advisory personnel). The Adviser will not take action with respect to any securities or other investments that become the subject of any legal proceedings, including bankruptcies.</p>	
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**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Financial Connections Group,
Inc.

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Date:
03/05/2010

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Item 12 (Cont'd)	<p><u>Brokerage Recommendations</u></p> <p>Financial Connections Group, Inc. is not affiliated with any broker-dealer, however, it may recommend the services of custodians based on each client's need, overall cost, and ease of use for the client. The Adviser generally recommends the services of TD Ameritrade. Factors considered in recommending TD Ameritrade (or any other broker-dealer/custodian) to clients include financial strength, reputation, execution, pricing, research, and service, and the ability to obtain no-load mutual funds without transaction charges and other no-load and load waived funds at nominal transaction charges.</p> <p>TD Ameritrade charges transaction fees generally considered discounted from customary retail commission rates, but may be higher or lower than those charged by other broker-dealers. The Adviser will not receive any portion of the transactions fees charged to fee-only clients.</p> <p>Financial Connections Group, Inc. will arrange for the execution of securities brokerage transactions for the client account through broker-dealers that the Adviser reasonably believes will provide "best execution." In seeking best execution, the determinative factor is not the lowest possible commission cost but whether the transaction represents the best qualitative execution, taking into consideration the full range of a broker-dealer's services including the value of research provided, execution capability, transaction fees, and responsiveness. Accordingly, although Financial Connections Group, Inc. will seek competitive transaction fees, it may not necessarily obtain the lowest possible transaction fees for account transactions.</p> <p>The account may pay to a broker-dealer a transaction fee greater than another qualified broker-dealer might charge to effect the same transaction where Financial Connections Group, Inc. determines in good faith that the transaction fee is reasonable in relation to the value of the brokerage and research services received.</p> <p>Transactions for each client account will generally be effected independently, unless the Adviser decides to purchase or sell the same securities for several clients at approximately the same time. Financial Connections Group, Inc. may (but is not obligated to) combine or "batch" such orders to obtain best execution, to negotiate more favorable commission rates or to allocate equitably among the Adviser's clients differences in prices and transaction fees or other transaction costs that might have been obtained had such orders been placed independently. Under this procedure, transactions will be averaged as to price and will be allocated among the Adviser's clients in proportion to the purchase and sale orders placed for each client account on any given day. To the extent that the Adviser determines to aggregate client orders for the purchase or sale of securities, including securities in which the Adviser's officer(s) and/or associated person(s) may invest, the Adviser shall generally do so in accordance with the parameters set forth in SEC No-Action Letter, <i>SMC Capital, Inc.</i> The Adviser shall not receive any additional compensation or remuneration as a result of the aggregation.</p>	

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

Applicant:
Financial Connections Group,
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801- 57202

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03/05/2010

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Item 12 (Cont'd)	<p>The client may direct Financial Connections Group, Inc. to use a particular broker-dealer (subject to the Adviser's right to decline and/or terminate the engagement) to execute some or all transactions for the client's account. In such event, the client will negotiate terms and arrangements for the account with that broker-dealer, and the Adviser will not be required to seek better execution services or prices from other broker-dealers nor be able to "batch" the client's transactions for execution through other broker-dealers with orders for other accounts managed by Financial Connections Group, Inc. As a result, the client may pay higher transaction fees or other transaction costs or greater spreads, or receive less favorable net prices, on transactions for the account than would otherwise be the case. In the event that transactions for client accounts are effected through a broker-dealer that refers investment management clients to the Adviser, the potential for conflict of interest may arise.</p> <p>All account restrictions, limitations, and rescissions will be made in writing by the client and approved in writing by a principal of the Adviser. A record will be made and retained per regulation for each of these actions.</p>	
Item 13	<p><u>Additional Consideration Received</u></p> <p>Although not a material consideration when determining whether to recommend that a client utilize the services of TD Ameritrade, Financial Connections Group, Inc. may receive from TD Ameritrade, without cost or at a discount, support services and/or products which assist the Adviser to monitor and service client accounts maintained at TD Ameritrade. The benefits received by the Advisor or its related persons do not depend on the amount of transactions directed to TD Ameritrade. The Adviser may have the opportunity to receive traditional "non-cash benefits" from TD Ameritrade such as customized statements; receipt of duplicate client confirmations and bundled duplicate statements; access to a trading desk servicing the Adviser; access to block trading which provides the ability to aggregate securities transactions and then allocate the appropriate shares to client accounts; ability to have investment advisory fees deducted directly from client accounts; access (for a fee) to an electronic communication network for client order entry and account information; access to mutual funds which generally require significantly high minimum initial investments or those that are otherwise only generally available to institutional investors; reporting features; receipt of regulatory compliance communications; and perhaps discounts on business-related products.</p> <p>While TD Ameritrade does not directly provide any research, it does offer discounts on research products and industry subscriptions. Any research received is used for the benefit of all clients. Computer real-time software may be purchased through TD Ameritrade or independent companies to facilitate sending and receiving account information. Advisory representatives are not registered representatives of TD Ameritrade. The Adviser has no written or verbal arrangements whereby it receives soft dollars.</p>	
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(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:
**Financial Connections
Group, Inc.**

SEC File Number:
801- 57202

Date:
03/05/2010

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Item 13 (Cont'd)	<p>Financial Connections Group, Inc. and/or its investment advisor representatives are members of the Garrett Planning Network, Certified Financial Planner Board of Standards, Inc., Financial Planning Association, and the National Association of Personal Financial Planners, all of whom assist financial planners in fee-only practices. The Adviser or its investment advisor representatives may pay membership or operational fees to these entities but nothing is paid to them for client referrals.</p> <p>Financial Connections Group, Inc. also participates in a marketing program established between Garrett Planning Network and The Motley Fool (www.fool.com). The program promotes fee-only financial planners that members of The Motley Fool community may be interested working with and, although this is a marketing program only, the Adviser has chosen to opt-in to generate additional prospects for its financial planning business. The fee paid is a flat monthly rate, paid to The Motley Fool regardless of whether leads are generated or interested parties become clients. The Adviser does not believe this is a "solicitor" relationship but feels the relationship between the two entities should be disclosed to its clients or prospective clients.</p> <p>Clients referred to Financial Connections Group, Inc. by any of these organizations do not pay more for services than those who learn about the Adviser from other referral sources.</p>	
Business Continuity Plan	<p><u>Business Continuity Plan</u></p> <p>The Adviser has developed a business continuity plan to allow for appropriate response to events that pose a significant business disruption to its operations. A statement concerning the current plan is available upon request.</p>	
Contact Information	<p><u>Contact Information</u></p> <p>Questions or concerns relative to Financial Connections Group, Inc., its associated staff, or services it provides may be made to the attention of the President at the address or telephone number noted on the first page of this document.</p> <p>Additional information about the Adviser and other advisory firms is available on the Internet at www.adviserinfo.sec.gov. A search of this site for the Adviser can be accomplished by its unique identifier known as an IARD number. The IARD number for Financial Connections Group, Inc. is 108906.</p>	
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(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:
Financial Connections Group,
Inc.

SEC File Number:
801- 57202

Date:
03/05/2010

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Privacy Policy	<p><u>Privacy Statement</u></p> <p>Financial Connections Group, Inc. is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.</p> <p>The categories of nonpublic information that we collect from you may include information about your personal finances that it is needed for the financial planning process, investment management and/or tax preparation.</p> <p>If you request it, we provide specific information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. With your permission, we share a limited amount of information about you with TD Ameritrade in order to execute securities transactions on your behalf.</p> <p>We maintain a secure office, including detection and alarm systems, to ensure that your information is not placed at unreasonable risk. We employ a firewall barrier, data encryption techniques and authentication procedures in our computer environment.</p> <p>We do not provide your personal information to mailing list vendors or solicitors.</p> <p>We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our company records and your personal records as permitted by law.</p> <p>Personally identifiable information about you will be maintained while you are a client, and for the period thereafter as required by federal and state securities laws. After that time, information may be destroyed.</p> <p>We will notify you in advance if our privacy policy is expected to change.</p>	
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