

Form ADV: Part II

Uniform Application for Investment Advisor Registration

Contents

This part of Form ADV gives information about the Investment Advisor and its business. 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.**

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Part II - Page 2

Applicant: Concert Wealth Management Inc.	SEC File Number 801-67992	Date: 09/01/2010
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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 instructions below.)

Applicant:

<input checked="" type="checkbox"/>	(1)	Provides investment supervisory services	98 %
<input checked="" type="checkbox"/>	(2)	Manages investment advisory accounts not involving investment supervisory services	1 %
<input checked="" 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 checked="" type="checkbox"/>	(7)	On more than an occasional basis, furnishes advice to clients on matters not involving securities	1 %
<input type="checkbox"/>	(8)	Provides a timing service	%
<input type="checkbox"/>	(9)	Furnishes advice about securities in any manner not described above	%

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term? Yes ☒ No ☐

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	

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

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Applicant:

Concert Wealth Management Inc.

SEC File Number

801-67992

Date:

09/15/2010

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

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

4. Methods of Analysis, Sources of Information, and Investment Strategies.
A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting | (4) <input checked="" type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input 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 type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options, uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input checked="" type="checkbox"/> Short sales | |

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

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Part II - Page 4

Applicant:
Concert Wealth Management Inc.

SEC File Number
801-67992

Date:
09/15/2010

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:
- ☐ (1) broker-dealer
 - ☐ (2) investment company
 - ☒ (3) other investment adviser
 - ☐ (4) financial planning
 - ☐ (5) commodity pool operator, commodity trading advisor or futures commission merchant
 - ☐ (6) banking or thrift institution
 - ☐ (7) accounting firm
 - ☐ (8) law firm
 - ☐ (9) insurance company or agency
 - ☐ (10) pension consultant
 - ☒ (11) real estate broker or dealer
 - ☐ (12) entity that creates or packages limited partnerships

(For each checked in box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? Yes ☐ No ☒

(If yes, describe on Schedule F the partnerships and what they invest in.)

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

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Applicant:

Concert Wealth Management Inc.

SEC File Number

801-67992

Date:

09/15/2010

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.)

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.

Reviews: Accounts are reviewed on an ongoing basis, but at least once quarterly. The client is encouraged to notify the Advisor and Investment Advisor Representative if changes occur in his/her personal financial situation that might adversely affect his/her investment plan. More frequent reviews may occur by such triggers as tax law changes, changes in personal factors and/or changes in the value of the securities held.

Reviewers: The Advisor Representative assigned to the account reviews the account at least quarterly to make sure the investments continue to be suitable according to the investment plan.

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

The client will receive written statements no less than quarterly from the trustee or custodian and other supporting reports from Mutual Funds, Asset Managers, Trust Companies or Custodians, Insurance companies, Broker/Dealers and others who are involved with client accounts.

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

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Applicant:
Concert Wealth Management Inc.

SEC File Number
801-67992

Date:
09/15/2010

12. Investment or Brokerage Discretion.

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

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

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

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

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and Services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for 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 <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

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

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

- has custody of client funds or securities; 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"/>

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

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

Applicant:
Concert Wealth Management Inc.

SEC File Number:
801-67992

Date:
09/15/2010

(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:
Concert Wealth Management Inc.

IRS Empl. Ident. No.:
37-1532751

Item 1

Advisory Services and Fees

CONCERT Wealth Management, Inc. provides (1) financial planning and other consulting services; (2) discretionary management advisory services; (3) non-discretionary advisory services; and (4) advice regarding other investment management firms.

Financial Planning and Other Consulting Services

CONCERT Wealth Management (CWM) may provide Financial Planning Services to some of its clients. The advisor's Financial Planning services may include recommendations for portfolio customization based on the client's investment objectives, goals and financial situation. Financial Planning Services may also include recommendations relating to investment strategies as well as tailored investment advice. The fixed fee for comprehensive financial planning services is \$1500-\$2500 per plan as contracted for with client in advance and may be negotiated in advance based at the discretion of the advisor and dependent on the complexity of the plan. For clients retaining CWM to also manage investment accounts as discussed below, CWM does not typically charge a separate fee for the financial planning process.

Some clients will contract to have investment advisory advice and/or financial planning advice provided based on an hourly fee rather than based on the assets under management. The advisors hourly fee will be billed at a rate of \$250 to \$400 per hour for professional time, but may be negotiated in advance. Hourly fee-based clients are billed on a monthly basis upon completion of work performed.

CONCERT Wealth Management also provides consulting and expert witness services to parties involved in litigation and to their legal counsel. Such services include, but are not limited to, advice regarding property settlements and divorce proceedings

Asset Management Services and Fees: Discretionary Accounts

Pursuant to an investment advisory contract signed by each client, the Management Fee is payable in advance at the beginning of each quarter and based on the amount of the assets under management at the end of the previous quarter. Example: For the quarter beginning April 1st, the fees are calculated based on the assets under management at the close of market on March 31st. The quarterly fee calculation is based on the annual fee rate as follows: Assets Under Management x (1/4) Annual Fee Rate. The deducted fees will be itemized on the custodial statement.

Current Fee Schedule	
Aggregate Assets	Annual Fee
of the first \$499,999	3.00%
from \$500,000-749,999	2.50%
from \$750,000-999,999	2.00%
\$1,000,000 and above	1.50 %

Fees other than the Current Fee Schedule (above) may be negotiated by the advisor, at the sole discretion of the advisor. As an exception, the Client may pay a flat rate or hourly fee for Advisory services with consent of the Advisor and notification of the Principal. Commission based fees may exist within special circumstances and only where approved by both the Principle and the Chief Compliance Officer and may not be offered without their prior approval. CWM considers commission based fees to have an inherent conflict of interest, and as such, the circumstances for commission based fees will require documentation and frequent review of transactions to ensure fiduciary prudence. Comparison to fees on similarly advised accounts will be made available for regulatory review.

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

Applicant:
Concert Wealth Management Inc.

SEC File Number:
801-67992

Date:
09/15/2010

(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:
Concert Wealth Management Inc.

IRS Empl. Ident. No.:
37-1532751

Termination and Reimbursement

A Client may terminate their account within five (5) days of signing the Client Agreement without penalty, or thereafter by providing a *thirty (30) day notice* to the Firm. When provided a 30-day notice, the Termination Date will be determined as 30 days after the date the notice is received (*not sent*). The Client will be entitled to a pro rata reimbursement of any prepaid quarterly fees which will be based upon the number of days remaining in the quarter (RDQ) after the Termination Date against the total number of days in the quarter (TDQ) as follows: $RDQ/TDQ \times FEE = \text{Reimbursement}$. A detail of the reimbursement calculations and a request for comments and feedback of the Firms' services will be provided in an "Account Closure and Exit Interview".

Additional Expenses to be Aware of

All fees paid to CONCERT Wealth Management (CWM) for investment advisory services are separate and distinct from the expenses charged by mutual funds to their shareholders and the product sponsor in the case of variable insurance products. These fees and expenses are described in each fund's or variable product's prospectus and may include a management fee, distribution fee or other fund expenses.

If the sponsor also imposes sales charges, a Client may pay an initial or deferred sale or surrender charge. A client could invest in these products directly, without the services of CWM.

Asset Management Services and Fees: Nondiscretionary Accounts

CONCERT Wealth Management (CWM) may also provide nondiscretionary investment management advice regarding the investment of assets in a client's investment account. In such case, the Client is responsible for making investment decisions, but may receive advice from CWM regarding those decisions. The fees for each nondiscretionary account are typically charged based on an annual percentage of assets under management; However at the Client's discretion and approval of CWM Principal and Compliance Officer.

Sub-Advised Accounts:

CONCERT Wealth Management (CWM) may also utilize sub-advisers to manage one or more of a Client's investment accounts. The sub-adviser may be retained by CWM on a discretionary basis, or by the client. CWM receives a fee as described under asset management services and fees, and the client pays directly the fees charged by the sub-adviser as set forth in a written agreement between the Client and sub-adviser. Other fee deduction arrangements may be made; However any sub-advisor agreements will be fully disclosed to the client.

CONCERT Wealth Management believes that its fees are competitive with fees charged by other investment advisers for comparable services; However, comparable services may be available from other sources for fees lower than those charged by CONCERT Wealth Management.

Item 5

Education and Business Standards:

CONCERT Wealth Management requires that persons providing investment advice should be an Investment Advisor Representative with the equivalent of a Series 65 or Series 7 and Series 66 license, and have a bachelor's degree or equivalent of 3 to 5 years business experience.

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

Applicant:
Concert Wealth Management Inc.

SEC File Number:
801-67992

Date:
09/15/2010

(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:
Concert Wealth Management Inc.

IRS Empl. Ident. No.:
37-1532751

Item 6	<p>Education and Business Background: <i>(A complete listing of CONCERT'S advisor representatives and their respective locations are attached at the end of this Schedule F)</i></p> <p>Felipe Luna Year of Birth: 1967 BS Engineering, United States Naval Academy, Annapolis, Maryland Licenses: Series 7, 65, 63, 3, 8 / California State Life Insurance President, Director Investment Policy Committee, CONCERT Wealth Management, Inc: 9/2006 to Present Corporate Vice President, Branch Manager, UBS Financial Services Inc.: 12/3/02 to 8/2006 Vice President, Salomon Smith Barney Inc.: 6/1998 to 11/02 Financial Consultant, Merrill Lynch Inc.: 10/94 to 6/1998</p> <p>Elizabeth Luna Year of Birth: 1971 BA Political Science and Spanish, Santa Clara University Licenses: Series 65, California State Real Estate Broker Executive Vice President, CONCERT Wealth Management: 7/2006 to Present President/Broker, Concert Real Estate Advisors: 11/2005 to Present Senior Claims Examiner, CalComp Insurance: 6/1993 to 6/1998</p> <p>James Thorn Year of Birth: 1955 BS Environmental Biology, San Jose State University Licenses: Series 7 Chief Compliance Officer, CONCERT Wealth Management, Inc: 1/2010 to Present Chief Compliance Officer, Silicon Valley Capital Management, 12/1995 to 12/2009</p> <p>Erik Schei Year of Birth: 1981 BS Mathematics, California Polytechnic University, San Luis Obispo Licenses: Series 7, 63, 65 Investment Research Associate, CONCERT Wealth Management, Inc.: 2/2007 to Present Client Service Associate, Salomon Smith Barney: 2004 to 1/2007</p> <p>James DeCesare, CFP Year of Birth: 1949 BS, California State University, Northridge Licenses: Series 7, 66; California State Life Insurance Head of Financial Planning, CONCERT Wealth Management: 1/2007 to Present Financial Planner, Royal Alliance Associates: 2/2006 to 1/2007 Financial Advisor, UBS Financial Services: 12/2002 to 2/2006</p> <p>Dennis Navarra Year of Birth: 1952 BA, Business Economics and Accounting, University of Chicago Licenses: Series 65 Managing Director, CONCERT Wealth Management: 3/2008 to Present Chief Operating Officer, CONCERT Global Group, Ltd.: 7/2010 to Present</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:
Concert Wealth Management Inc.

SEC File Number:
801-67992

Date:
09/15/2010

(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:

Concert Wealth Management Inc.

IRS Empl. Ident. No.:

37-1532751

**Item 7(A,B
&C) &
Item 8C(11)**

Other Business Activities & Other Financial Industry Activities or Affiliations

CONCERT Wealth Management, Inc. is a subsidiary of CONCERT Global Group Ltd. ("CONCERT Global"). On occasion, CONCERT Wealth Management may refer clients to CONCERT Real Estate Advisors, also a subsidiary of CONCERT Global. Any compensation earned by this affiliate will be separate, yet typical compensation, relating to the purchase or investment counseling of real estate transactions. CONCERT Global also owns CONCERT Business Consulting and may cross refer clients between CONCERT Wealth Management and Business Consulting. This is a potential conflict of interest because there is an incentive to refer clients to an affiliate. CONCERT Global also owns CONCERT Advisor services, which handles transitioning individuals from a broker dealer sponsored platform to an independent investment advisory model. CONCERT Wealth Management has an affiliated investment adviser, CONCERT Private Wealth Advisor Solutions LLC, that currently provides similar services as CONCERT Wealth Management.

Certain associated persons of CONCERT Wealth Management are also registered securities representatives of Financial Advisers of America, a registered broker-dealer member of FINRA. Neither of these firms are affiliated with CONCERT Wealth Management. In this capacity these associated persons of CONCERT Wealth Management may recommend securities, or other products, and receive normal securities transactions commissions if products are purchased through any firms with which these associated persons are affiliated. Thus, a conflict of interest exists between the interests of associated persons and those of the advisory clients. However, clients are under no obligation to act upon any recommendations of the associated persons or effect any transactions through the associated persons if they decide to follow the recommendations.

Associated persons who are properly licensed may also be insurance agents/brokers of various insurance companies. In these capacities associated persons of the Adviser may receive insurance commissions if insurance products are purchased through the associated persons. Thus, a conflict of interest exists between the interests of associated persons and those of the advisory clients. However, clients are under no obligation to act upon any recommendations of the associated persons or effect any transactions through the associated persons if they decide to follow the recommendations.

Item 9

Participation or Interest In Client Transactions

CONCERT Wealth Management Inc. and/or its advisory representatives may from time to time purchase or sell products that they may recommend to clients. CONCERT Wealth Management has adopted a Code of Ethics that sets forth the basic policies of ethical conduct for all managers, officers, and employees of the adviser. In addition, the Code of Ethics governs personal trading of each employee deemed to be an Access Person and is intended to ensure that securities transactions effected by Access Persons of CONCERT Wealth Management are conducted in a manner that avoids any actual or potential conflict of interest between such persons and clients of the adviser or its affiliates. CONCERT Wealth Management collects and maintains records of securities holdings and securities transactions effected by Access Persons. These records are reviewed to identify and resolve potential conflicts of interest. CONCERT Wealth Management's Code of Ethics is available upon request.

In their capacity as registered representatives, associates of the Adviser may receive payments from certain mutual funds distributed pursuant to a 12b-1 distribution plan or other such plans as compensation for administrative services, representing a separate financial interest. As such, a conflict of interest may exist with respect to recommendations to buy or sell securities. In all cases, transactions are effected in the best interests of the client. The Adviser does not permit insider trading and has implemented procedures to ensure that its policy regarding insider trading is being observed by these associated persons.

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

Applicant:
Concert Wealth Management Inc.

SEC File Number:
801-67992

Date:
09/15/2010

(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:
Concert Wealth Management Inc.

IRS Empl. Ident. No.:
37-1532751

Item 9 cont. **Participation or Interest In Client Transactions (Continued)**
From time to time, CONCERT Wealth Management (CWM) may recommend to or purchase or sell on behalf of clients, securities or other investment products in which CWM, its affiliates, or other related persons have a financial interest as the investment manager, general partner, or trustee, or as a co-investor in such investment products. Due to the nature of its clientele, CWM may from time to time trade in investments issued by its clients. In all such cases, CWM shall do so in the best interest of its clients purchasing such investments.

Item 10 **Conditions For Managing Accounts**
CONCERT Wealth Management's (CWM) cumulative minimum account is \$250,000. However, based on facts and circumstances CWM may, at its sole discretion, accept accounts with a lower value.

Item 12(A1 & A2) **Investment or Brokerage Discretion**
CONCERT Wealth Management (CWM) generally has discretion over the selection and amount of securities to be bought or sold in client accounts without obtaining prior consent or approval from the client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the client and agreed to by CWM.

Discretionary authority will only be authorized upon full disclosure to the client. The granting of such authority will be evidenced by the client's execution of an Investment Advisory Agreement containing all applicable limitations to such authority. All discretionary trades made by CWM will be in accordance with each client's investment objectives and goals.

Best Execution

CONCERT Wealth Management (CWM) has a fiduciary duty to seek best execution for client transactions. While best execution is difficult to define and challenging to measure, there is some consensus that it does not solely mean the achievement of the best price on a given transaction. In selecting a broker-dealer for any transaction or series of transactions, CWM may consider a number of factors including: 1) the broker's capital depth, 2) the broker's market access, 3) the broker's transaction confirmation and account statement practices, 4) our knowledge of negotiated commission rates and spreads currently made available, 5) the nature and character of the markets for the security to be purchased or sold, 6) the desired timing of the transaction, 7) the execution, 8) clearance and settlement capabilities of the broker selected and others considered, 9) our knowledge of any actual or apparent operational problems of a broker, 10) offering to CONCERT Wealth Management online access to computerized data regarding clients' accounts and 11) the reasonableness of the commission or its equivalent for the specific transaction. Based on the above criteria, CONCERT Wealth Management Inc. may not necessarily pay the lowest commission as specific transactions may involve specialized services on the part of the broker. This would justify higher commissions (or their equivalent) than other transactions requiring routine services. If CONCERT Wealth Management is directed by the client to direct trades to a specific broker-dealer other than the custodian typically used by CONCERT Wealth Management Inc. for trade execution, it is disclosed that CONCERT Wealth Management's ability to negotiate commissions (where applicable), obtain volume discounts, or otherwise obtain best execution may not be as favorable as might otherwise be obtained.

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Order Aggregation

CONCERT Wealth Management Inc. may combine orders into block trades when more than one account is participating in the trade. Block trading is performed when it is consistent with the duty to seek best execution and is consistent with the terms of CONCERT Wealth Management's investment advisory agreements. Equity trades are blocked based upon fairness to client, both in the participation of their account, and in the allocation of orders for the accounts of more than one client. Allocations of all orders are performed in a timely and efficient manner. All managed accounts participating in a block execution receive the same execution price (average share price) for the securities purchased or sold in a trading day. Any portion of an order that remains unfilled at the end of a given day will be rewritten on the following day as a new order with a new daily average price to be determined at the end of the following day. Due to the low liquidity of certain securities, broker availability may be limited. Open orders are worked until they are completely filled, which may span the course of several days. If an order is filled in its entirety, securities purchased in the aggregated transaction will be allocated among the accounts participating in the trade in accordance with the allocation statement. If an order is partially filled, the securities will be allocated pro rata based on the allocation statement. CONCERT Wealth Management may allocate trades in a different manner than indicated on the allocation statement (non-pro rata) only if all managed accounts receive fair and equitable treatment.

**Item
12A(3)&(4)**

Investment or Brokerage Discretion

CONCERT Wealth Management has discretionary authority to select the broker or dealer for custodial and execution services. CONCERT Wealth Management has established custodial relationships with various custodians including Schwab Institutional, Fidelity Investments, Broadcort and American Funds. Client may also request a particular custodian, but should understand that setting up any new relationship may involve contractual and technical constraints. While a fiduciary, CONCERT Wealth Management endeavors to act in its clients' best interests and CONCERT Wealth Management's recommendations that Clients maintain their assets in accounts at the directed Custodian or Broker/Dealer may be based in part on the benefit to CONCERT Wealth Management of the availability of some of the products and services and not solely based on the nature, cost or quality of custody and brokerage services, which may create a potential conflict of interest. Some of these products and services (which may include software/technology that provide access to client account data; facilitate trade execution; provide research, pricing and other market information; facilitate payment of advisory fees from its clients' accounts; and assist with recordkeeping and back office functions) assist in managing and administering CONCERT Wealth Managements Clients' account regardless of the Custodian or Broker/Dealer utilized.

Item 12B

Brokerage Discretion

Where CONCERT Wealth Management does not exercise brokerage discretion, it may recommend brokers to clients for execution and/or custodial services where requested by the client. CONCERT Wealth Management may recommend brokers based on criteria such as, but not limited to, reasonableness of commissions charged to the client, services made available to the client, and location of broker offices. Clients are not obligated to use the recommended broker and will not incur any extra fee or cost associated with using a broker not recommended by CONCERT Wealth Management.

Associated persons in their capacity as registered representatives of Financial Advisers of America may suggest that clients implement recommendations through Financial Advisers of America. If the client so elects, associated persons would receive normal and customary commissions as sales agents resulting from any securities transactions, presenting associated persons with a conflict of interest. Furthermore, in implementing a plan through relationships maintained by associated persons, clients may pay commissions or fees that are higher or lower than those that may be obtained from elsewhere for similar services. Clients are advised that they are under no obligation to implement the plan or its recommendations through the associated persons in their capacities as registered representatives.

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

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Item 13A

Additional Compensation

CONCERT Wealth Management (CWM) is independently owned and operated and is not affiliated any Custodian or Broker-Dealer. CWM may recommend various custodians such as Charles Schwab & Co (Schwab), Pershing, or Fidelity to maintain custody of Clients' assets and to effect trades for their accounts. Although CWM may provide custodial recommendations, it is the Clients' decision to custody assets with any custodian. Such custodians may provide access to its institutional trading and custody services, which are typically not available to retail investors.

For example, services are generally available to independent investment advisors on an unsolicited basis, at no extra charge to them so long as a total of at least \$10 million of the advisor's clients' assets are maintained in accounts at Schwab. These services are not contingent upon CWM committing to Schwab any specific amount of business. Schwab's brokerage services include the execution of securities transactions, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.

Custodians generally do not charge separately for custody services but are compensated by account holders through commissions and other transaction-related or asset-based fees for securities trades that are executed through the custodian or that settle into the custodians' accounts. Custodians also make available to CWM other products and services that benefit the firm, but may not directly benefit the clients' accounts.

For example, Schwab products and services that assist CWM in managing and administering clients' accounts include software and other technology that (i) provide access to client account data (such as trade confirmations and account statements); (ii) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; (iii) provide research, pricing and other market data; (iv) facilitate payment of Investment Advisory fees from its clients' accounts; and (v) assist with back office-functions, recordkeeping and client reporting.

Client Benefit Agreement

Investment Advisor Representatives may be provided financial assistance for start up costs by Myriad Financial Inc. ("Myriad"). While Myriad is owned separately from CONCERT Global, some partial owners and members of the CONCERT group that are also partial owners of Myriad. Clients should be aware that CONCERT Wealth Management receives economic assistance from Schwab Advisor Services to use towards services received from Myriad by terms of a Client Benefit Agreement between Charles Schwab & Co., Inc.'s Advisor Services division and CONCERT Wealth Management, Inc.; and that a conflict of interest exists wherein such benefit would influence the decision to choose Schwab for custodial services.

Proxy Voting

The Client clearly keeps the authority and responsibility for the voting of proxies for securities held in Client's accounts. *CONCERT Wealth Management does not vote proxy.* The Client and CONCERT Wealth Management agree to this by contract. For accounts subject to the provisions of the Employee Retirement Income Security Act of 1974 ("ERISA"), the plan fiduciary specifically keeps the authority and responsibility for the voting of any proxies for securities held in plan accounts. Also, CONCERT Wealth Management cannot give any advice or take action with respect to the voting of these proxies.

Clients may refer any questions regarding this Disclosure Document to:
CONCERT Wealth Management Compliance Department
1871 The Alameda, Suite 350 San Jose, CA 95050
eMail: Compliance@concertwm.com
Telephone: (408) 856-6224

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Education and Business Background (Continued)

Silicon Valley—Concert Wealth Management Main Office

❖ Felipe Luna

Year of Birth: 1967

BS Engineering, United States Naval Academy, Annapolis, Maryland

Licenses: Series 7, 65, 63, 3, 8 / California State Life Insurance

President and Director Investment Policy Committee, CONCERT Wealth Management, Inc.: 9/2006 to Present

Corporate Vice President, Branch Manager, UBS Financial Services Inc.: 12/3/02 to 8/2006

Vice President, Salomon Smith Barney Inc.: 6/1998 to 11/02

Financial Consultant, Merrill Lynch Inc.: 10/94 to 6/1998

❖ Elizabeth Luna

Year of Birth: 1971

BA Political Science and Spanish, Santa Clara University

Licenses: Series 65, California State Real Estate Broker

Executive Vice President, CONCERT Wealth Management: 7/2006 to Present

President/Broker, Concert Real Estate Advisors: 11/2005 to Present

Senior Claims Examiner, CalComp Insurance: 6/1993 to 6/1998

❖ James DeCesare, CFP

Year of Birth: 1949

BS, California State University, Northridge

Licenses: Series 7, 66; California State Life Insurance

Head of Financial Planning, CONCERT Wealth Management: 1/2007 to Present

Financial Planner, Royal Alliance Associates: 2/2006 to 1/2007

Financial Advisor, UBS Financial Services: 12/2002 to 2/2006

❖ Dennis Navarra

Year of Birth: 1952

BA, Business Economics and Accounting, University of Chicago

Licenses: Series 65

Managing Director, CONCERT Wealth Management: 3/2008 to Present

Chief Operating Officer, CONCERT Global Group, Ltd.: 7/2010 to Present

❖ Erik Schei

Year of Birth: 1981

BS Mathematics, California Polytechnic University, San Luis Obispo

Licenses: Series 7, 63, 65

Investment Research Associate, CONCERT Wealth Management, Inc.: 2/2007 to Present

Client Service Associate, Salomon Smith Barney: 2004 to 1/2007

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❖ Alena Povarova

Year of Birth: 1982

BS, Santa Clara University

Licenses: Series 65

Technical Analyst, CONCERT Wealth Management: 3/2008 to Present

Chief Operating Officer/ Portfolio Co-Manager, CONCERT Capital Management, Inc.: 3/2010 to Present

❖ Kerby Woo, CFP®

Year of Birth: 1975

BA Economics, University California Los Angeles

Licenses: Series 7, 9, 10, 63, 65, 66

Vice President, CONCERT Wealth Management: 12/2009 to Present

Vice President, Emerson Equity LLC: 7/2009 to 11/2009

Financial Planner, MetLife: 5/2009 to 7/2009

Vice President, Charles Schwab & Co.: 12/1998 to 1/2009

❖ David S. Samuels, CFP®, CLU, AIF®

Year of Birth: 1953

BA Music, Cal State Northridge

Licenses: Series 6, 7, 22, 24, 63, 65, California State Life Insurance

Investment Advisor Representative, CONCERT Wealth Management: 6/2010 to Present

Registered Investment Advisor, Corinthian Wealth Management: 4/2007 to 6/2010

Registered Representative, AIG Financial Advisors: 4/2007 to 6/2010

Registered Principal, Sentra Securities Corporation: 12/1998 to 10/2005

❖ R. Devin MacKie

Year of Birth: 1961

BS Business Administration/Marketing, San Jose State University

Licenses: Series 7, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 6/2010 to Present

Registered Investment Advisor, Corinthian Wealth Management: 4/2007 to 6/2010

Registered Representative, AIG Financial Advisors: 10/2005 to 3/2007

Registered Representative, Sentra Securities Corporation: 10/2003 to 10/2005

Registered Representative, Assante Capital Management Inc., 1/1999 to 9/2003

Registered Representative, Reinhardt Werba Bowen Securities, Inc. 6/1996 to 1/1999

❖ Lance Ichikawa

Year of Birth: 1961

BA Mathematics, UC Berkeley

Licenses: Series 7, 65

Investment Advisor Representative, CONCERT Wealth Management: 4/2010 to Present

Financial Advisor, Emerson Equity LLC: 8/2006 to 4/2010

Financial Consultant, WM Financial Services: 11/2005 to 8/2006

Investment Consultant, Charles Schwab: 5/2003 to 11/2005

Investment Consultant, Fisher Investments: 8/2002 to 9/2002

Stock Broker, US Bancorp Piper Jaffray: 1/2001 to 8/2002

Stock Broker, Dean Witter Reynolds: 9/1985 to 2/2001

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

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Willow Glen, California

❖ ***Knight and Company***

Kirk Knight, CPA, CFP, PFS

Year of Birth: 1951

BS Accounting, San Jose State University

Investment Adviser Representative, CONCERT Wealth Management: 3/2010 to Present

Partner, Knight and Company: 10/1985 to Present

❖ ***Gael Knight, CPA***

Year of Birth: 1975

BS Accounting, BS Finance, Chico State University

Licenses: Series 65

Investment Adviser Representative, CONCERT Wealth Management: 3/2010 to Present

Partner/Manager, Knight and Company: 5/2005 to Present

Carmel/Monterey Bay

❖ ***James E. Butler, Financial Planner***

Year of Birth: 1942

BA, University of Maine

Licenses: Series 7, 63, 65

Investment Advisor Representative: CONCERT Wealth Management: 8/08 to Present

Financial Adviser: UBS: 10/2002 to 8/2008

❖ ***Newton Kendrick, Relationship Manager/Investment Advisor***

Year of Birth: 1961

BA, Washington and Lee University

Licenses: Series 7, 66

Investment Advisor Representative, CONCERT Wealth Management:

Financial Advisor, Merrill Lynch 10/2006 to 6/2009

Financial Advisor, UBS Financial Services 9/2003 to 10/2006

Menlo Park, CA

❖ ***Menlo Oaks Capital Group, LLC***

Patrick E. White, Portfolio Coordinator

Year of Birth: 1950

Licenses: Series 7, 63

Insurance License OA66757

Investment Advisor Representative, CONCERT Wealth Management: 12/2009 to Present

Financial Advisor, UBS Financial Services, Inc: 8/1996 to 12/2009

Financial Advisor, Dean Witter Reynolds Inc 5/1986 – 8/1996

Financial Advisor, Trafalgar Securities Corp. 2/1985 – 9/1985

Financial Advisor, Rothschild, Unterberg, Towbin 5/1983 – 11/1983

Financial Advisor, Merrill Lynch 4/1981 – 4/1983

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Walnut Creek, California

❖ *Hunt Wealth Management*

Ron H. Hunt

Year of Birth: 1950

BS, University of Oregon

Licenses: Series 3, 7, 15, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 4/2009 to Present

Financial Advisor, Smith Barney: 7/1993 to 3/2009

Financial Consultant, Lehman Brothers: 9/1983 to 7/1993

❖ *David Hunt*

Year of Birth: 1983

BS, UC Davis

Licenses: Series 7, 66

Investment Advisor Representative, CONCERT Wealth Management: 4/2009 to Present

Team Associate, Smith Barney: 6/2006 to 4/2009

Modesto, CA

❖ *Mraz, Amerine and Associates*

William Amerine, Relationship Manager

Year of Birth: 1935

BS, Oregon State College

Licenses: Series 7, 31, 66

Investment Advisor Representative, CONCERT Wealth Management: 10/2007 to Present

Financial Advisor, Morgan Stanley: 1999 to 10/2007

❖ *David Mraz, Portfolio Manager*

Year of Birth: 1945

BA, MBA Santa Clara University

Licenses: Series 4, 5, 12, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 10/2007 to Present

Vice President Investments, Morgan Stanley: 5/1975 to 10/2007

❖ *Deidre Mraz, Relationship Manager*

Year of Birth: 1984

BA, Santa Clara University

Licenses: Series 65

Investment Advisor Representative, CONCERT Wealth Management: 9/2008 to Present

Sales Assistant, Morgan Stanley: 1/2007 to 8/2008

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San Diego, California

❖ ***CONCERT Wealth Management San Diego***

Paul Spitzer, Managing Director

Year of Birth: 1949

Licenses: Series 7, 9, 10, 24, 63

Investment Advisor Representative, CONCERT Wealth Management: 2/2009 to Present

Financial Advisor, Wachovia Securities: 6/2000 to 2/2009

Financial Advisor, A.G. Edwards & Sons: 2/1990 to 6/2000

❖ ***Tate Asset Management***

Christopher Tate, Senior Vice President

Year of Birth: 1969

BS, University of Utah

Licenses: Series 7, 66

Investment Advisor Representative, CONCERT Wealth Management: 5/2009 to Present

Financial Advisor, Merrill Lynch: 4/1998 to 5/2009

❖ ***Brady Fuchs***

Year of Birth: 1967

Licenses: Series 7, 63, 66

Investment Advisor Representative, CONCERT Wealth Management: 8/2009 to Present

Financial Advisor, CitiGroup: 5/2005 to 8/2009

Financial Advisor, WM Financial Services: 6/2004 to 5/2005

❖ ***C. Scott Smith***

Year of Birth: 1951

BS, Bowdoin College

Licenses: Series 7, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 6/2009 to Present

Financial Advisor, Wachovia Securities: 6/2005 to 6/2009

Financial Advisor, Salomon Smith Barney: 6/1994 to 6/2005

❖ ***Daniel Osgood***

Year of Birth: 1967

BA, University of California San Diego

Licenses: Series 7, 31, 63, 66

Investment Advisor Representative, CONCERT Wealth Management: 10/2009 to Present

Financial Advisor, Wachovia Securities: 7/2006 to 9/2009

Financial Advisor, Piper Jaffray: 01/2001 to 7/2006

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San Diego, California

❖ ***CONCERT Retirement Plan Consulting***

J. Patrick Berry, CFP®, President

Year of Birth: 1967

BS, San Diego State University

Licenses: Series 6, 7, 31, 63 & 65; California State Insurance License

Investment Advisor Representative, CONCERT Wealth Management: 4/2009 to Present

Financial Advisor, Smith Barney: 3/1998 to 4/2009

San Diego, California--Olivenhain

❖ James Fardeen, CIMA®

Year of Birth: 1962

Investment Advisor Representative, CONCERT Wealth Management: 8/2009 to Present

Licenses: Series 7, 31, 66

Financial Advisor, Merrill Lynch: 4/2004 to 8/2009

Consultant, QCFC: 2/2002 to 12/2003

Director, Lante: 3/2001 to 2/2002

Partner, KPMG: 7/1999 to 3/2001

San Diego, California

❖ Brian Britt, Independent Partner/Senior Wealth Advisor

Year of Birth: 1964

BS Finance, St John University,

Licenses: Series 6, 7, 24, 26, 63, 65; California State Life Insurance

Investment Advisor Representative, CONCERT Wealth Management: 3/2010 to Present

Registered Representative, P.K.S. Investments 3/2010 to Present

Registered Representative, Merrill Lynch: 11/1999 to 3/2010

Westlake Village, California

❖ ***Englander & Englander, LLP***

Joseph Harris, CPA

Year of Birth: 1984

BBA Accountancy, University of Notre Dame

Licenses: Series 65

Investment Advisor Representative, CONCERT Wealth Management: 3/2010 to Present

CPA, Englander and Englander LLP: 1/2009 to Present

CPA, Deloitte: 6/2005 to 1/2009

Sacramento Valley

❖ Jeff Alkire, Managing Director

Year of Birth: 1969

BA Economics, Ohio State University

Licenses: Series 65

Investment Advisor Representative, CONCERT Wealth Management: 3/2006 to Present

Account Vice President, UBS: 12/2003 to 3/2006

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Sacramento Valley

❖ Michael Knittel

Year of Birth: 1977

BA International Relations, UC Davis

Licenses: Series 7, 63, 66

Investment Advisor Representative, CONCERT Wealth Management: 9/2010 to Present

VP Investments, RBC Capital Markets: 5/2008 to 9/2010

VP, Financial Consultant, Wachovia Securities: 1/2008 to 5/2008

Financial Advisor, A. G. Edwards & Sons: 03/1999 to 1/2008

Newport Beach, California

❖ *California Private Wealth Management*

William Dolan, President

Year of Birth: 1966

BA Communications, Loyola Marymount University

Licenses: Series 7, 31, 66

Investment Advisor Representative, CONCERT Wealth Management: 8/2010 to Present

Financial Advisor, Morgan Stanley Smith Barney: 10/2008 to 5/2010

Seattle, Washington

❖ *Mt. Baker Capital*

Chris Balka, Senior Vice President

Year of Birth: 1952

BS, University of Idaho

Licenses: Series 7, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 5/2009 to Present

Financial Advisor, Citigroup: 12/1994 to 5/2009

Tempe, Arizona

❖ James Tilton, CPA

Year of Birth: 1954

BS, Arizona State University

Licenses: Series 7, 66

Investment Advisor Representative, CONCERT Wealth Management: 11/2009 to Present

Registered Representative, H.D. Vest Securities: 5/2008 to 11/2009

Houston, Texas

❖ Gil Baumgarten

Year of Birth: 1959

Licenses: Series 3, 7, 8, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 9/2010 to Present

Sr. Portfolio Manager, UBS Financial Services: 2/2000 to 9/2010

Sr. Financial Advisor, Salomon Smith Barney: 7/1993 to 3/2000

Financial Advisor, Lehman Brothers: 4/1988 to 7/1993

Financial Advisor, E. F. Hutton & Company: 7/1985 to 4/1988

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Brewer, Maine / New Bern, North Carolina

❖ ***East Coast Investment Services, LLC***

Michael Hardy

Year of Birth: 1975

USMC

Licenses: Series 7, 63, 65

Senior Financial Advisor, CONCERT Wealth Management: 3/2010 to Present

President, East Coast Investments, LLC: 3/2010 to Present

Financial Advisor, UBS Financial Services: 1/2008 to 3/2010

Financial Advisor, Bangor Securities/LPL Financial.: 11/2004 to 1/2008

Investment Representative, Edward Jones: 2/2003 to 11/2004

Abington, Pennsylvania

❖ ***MG Financial Management, LLC***

Michael Guarracino

Year of Birth: 1965

BA Business, Arizona; MBA Marketing, Mercer

Licenses: Series 7, 63, 65

Senior Financial Advisor, CONCERT Wealth Management: 5/2010 to Present

Financial Advisor, LPL Financial.: 1/2005 to 5/2010

Investment Representative, Edward Jones: 1/2003 to 1/2005

Finance Manager, Lucent Technologies: 9/1997 to 1/2003

Little Rock, Arkansas

❖ ***Sage Asset Management***

John Turbeville, Principal/Senior Financial Advisor

Year of Birth: 1950

Licenses: Series 4, 5, 7, 24, 65

Financial Advisor, Merrill Lynch 8/2005: to 01/2010

Financial Advisor, UBS: 04/2000 to 08/2005

❖ ***Carrie Carr, Financial Advisor***

Year of Birth: 1975

BA, University of Arkansas

Licenses: Series 7, 63, 66

Investment Advisor Representative, CONCERT Wealth Management: 2/2010 to Present

Financial Advisor, Merrill Lynch: 01/2008 to 2/2010

Registered Sales Assistant, Stephens, Inc.: 04/2003 to 12/2007

English Instructor, U.S. Navy: 04/2001 to 04/2003

St. Louis, Missouri

❖ ***A. Jean Reeve***

Year of Birth: 1947

Licenses: Series PC, 000, 1, 63, 65

Investment Advisor Representative, CONCERT Wealth Management: 1/2010 to Present

Investment Representative, Merrill Lynch, Pierce, Fenner & Smith: 10/1978 to 1/2008

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