

Firm Brochure
(Part 2A of Form ADV)

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This brochure provides information about the qualifications and business practices of Integrated Wealth Management, LLC, (IWM). If you have any questions about the contents of this brochure, please contact us at: 480-663-6000, or by email at: BPINE@IWMLLC.COM. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority. IWM is a registered investment adviser. However, this registration does imply a certain level of skill or training.

Additional information about IWM is available on the SEC's website at www.adviserinfo.sec.gov.

3/31/2011

Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

The U.S. Securities and Exchange Commission issued a final rule in July 2010 requiring advisers to provide a Firm Brochure in narrative “plain English” format. The new final rule specifies mandatory sections and organization.

Full Brochure Available

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: 480-663-6000 or by email at: BPINE@IWMLLC.COM.

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Advisory Business

Firm Description

Integrated Wealth Management, LLC, (IWM) was founded in 2001.

IWM provides comprehensive financial planning and investment management to individuals, pension and profit sharing plans, trusts, estates, charitable organizations and small businesses. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

IWM also utilizes various investment vehicles such as annuities, insurance programs, stocks, bonds, mutual funds, limited partnerships, real estate investment trusts. Securities are offered through Geneos Wealth Management Inc. Member FINRA/SEPC. IWM 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. IWM directly or indirectly compensates for client referrals. Referral arrangements are specifically disclosed to clients through a Solicitor's Disclosure Statement that is signed by the client.

Investment advice is an integral part of financial planning provided by IWM. In addition, IWM advises clients regarding cash flow, college planning, retirement planning, tax planning and estate planning. Investment advice is provided, with the client making the final decision on investment selection. IWM does not act as a custodian of client assets. The client always maintains asset control. IWM places trades for clients with discretion provided the client authorizes such trading in a signed investment advisory agreement .

A written evaluation of each client's initial situation is provided to the client, often in the form of a comprehensive asset allocation spreadsheet, action checklist, goals and objectives summary, and/or proposed investment portfolio. Periodic reviews are also conducted to provide reminders of the specific courses of action that need to be taken and to review the progress of existing plans.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client.

The initial meeting, which may be by telephone or in person, is free of charge and is considered an exploratory interview to determine the extent to which financial planning and/or investment management may be beneficial to the client.

Principal Owners

Brent S. Pine is 100% owner of IWM.

Types of Advisory Services

IWM provides investment supervisory services, also known as asset management services; manages investment advisory accounts not involving investment supervisory services; furnishes investment advice through consultations; issues periodic newsletters; and issues, charts, graphs, formulas, or other devices which clients may use to evaluate securities.

On more than an occasional basis, IWM furnishes advice to clients on matters not involving securities, such as financial planning matters, taxation issues, and trust services that often include estate planning.

IWM provides a timing service within certain investment programs it offers; this includes taking active steps to mitigate downside volatility by moving some or all of a clients account to cash or by reducing exposure to equity and/or fixed income markets when warranted – there is no guarantee that attempts by IWM to mitigate downside volatility will be successful.

As of 3/25/2011, IWM manages approximately \$81 million in assets for approximately 543 client accounts. Approximately \$73 million is managed on a discretionary basis, and \$7million is managed on a non-discretionary basis.

Tailored Relationships

The goals and objectives for each client are documented. In some cases, Investment policy statements are created that reflect the stated goals and objectives of the client. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without client consent.

Types of Agreements

The following agreements define the typical client relationships.

Financial Planning Agreement

A financial plan is designed to help the client with all aspects of financial planning without ongoing investment management after the financial plan is completed.

The financial plan may include, but is not limited to: a net worth statement; a cash flow statement; a review of investment accounts, including reviewing asset allocation and providing repositioning recommendations; strategic tax planning; a review of retirement accounts and plans including recommendations; a review of insurance policies and recommendations for changes, if necessary; one or more retirement scenarios; estate planning

review and recommendations; and education planning with funding recommendations.

Detailed investment advice and specific recommendations are provided as part of a financial plan. Implementation of the recommendations is at the discretion of the client.

The fee for a financial plan is predicated upon the facts known at the start of the engagement. The fee range is from \$500 to \$5,000 and is negotiable. Since financial planning is a discovery process, situations occur wherein the client is unaware of certain financial exposures or predicaments.

In the event that the client's situation is substantially different than disclosed at the initial meeting, a revised fee will be provided for mutual agreement. The client must approve the change of scope in advance of the additional work being performed when a fee increase is necessary.

Investment Advisory Agreement

A client may choose to have IWM manage some/all of their investments. In this case, all aspects of the client's financial affairs are reviewed. Realistic and measurable goals are set and objectives to reach those goals are defined. As goals and objectives change over time, suggestions are made and implemented on an ongoing basis.

An Investment Advisory Agreement is signed by the client prior to an account being managed. An Investment Advisory Agreement includes the terms and conditions of investment management.

The Investment Advisory fee is based on a percentage of the investable assets according to the following schedule:

Investment Advisory Fee Schedule

<u>Assets Under Management</u>	<u>Annual Fee</u>
\$0 to \$250,000	2.00%
\$250,001 to \$500,000	1.50%
\$500,001 to 1,000,000	1.25%
>\$1,000,001 to \$5,000,001	1.00%

The fees for investment advisory services are negotiable. Current client relationships may exist where the fees are higher or lower than the fee schedule above.

Although the Investment Advisory Agreement is an ongoing agreement the length of service to the client is at the client's discretion. The client or the investment manager may terminate an Agreement by written notice to the other party. Billing occurs in advance of each calendar quarter. At termination, fees will be calculated based on the days assets are managed up to the day of termination. If a credit is owed the client at time of termination, the credit is sent to the client in a timely manner. The portfolio value at the completion of the prior full billing quarter is used as the basis for the fee computation, adjusted for the number of days during the billing quarter prior to termination.

Asset Management

Assets are invested primarily in no-load or low-load mutual funds and exchange-traded funds (ETF's), through brokerage accounts with various custodians. Custodians may charge a transaction fee for the purchase of certain funds and ETF's.

Stocks and bonds may be purchased or sold through a brokerage account when appropriate. The brokerage firm charges a fee for stock and bond trades. IWM does not receive any compensation, in any form, from fund companies.

Investments may also include: equities (stocks), warrants, corporate debt securities, commercial paper, certificates of deposit, municipal securities, investment company securities (variable life insurance, variable annuities, and mutual funds shares), U. S. government securities, options contracts, futures contracts, and interests in partnerships and REIT's.

Initial public offerings (IPOs) are not available through IWM.

Termination of Agreement

A Client may terminate any of the aforementioned agreements at any time by notifying IWM in writing. As described in the Advisory Fee Schedule section of this document, IWM will refund any unearned portion of management fees paid in advance.

IWM may terminate any of the aforementioned agreements at any time by notifying the client in writing. As mentioned above, IWM will refund any unearned portion of management fees paid in advance.

Fees and Compensation

Description

IWM bases its investment advisory fees on a percentage of assets under management; the Investment Advisory Agreement, which is signed by the client, provides a detailed explanation of fees. Affiliates of IWM can receive commissions for the sale of securities and insurance products as a part of the

financial planning process. As a result, the potential for a conflict of interest exists.

Financial plans are priced according to the degree of complexity associated with the client's situation.

Fees are negotiable.

Fee Billing

Investment management fees are billed quarterly, in advance, meaning that we invoice you at the end of each calendar quarter based on the asset value as of the last day of the prior quarter. Fees are usually deducted from a designated client account to facilitate billing. The client provides consent to this billing by signing an investment advisory agreement in advance of debiting management fees from the account.

Fees for financial plans are billed quarterly, with the balance due upon receipt of billing invoice. This billing invoice is sent to the client at the beginning of each calendar quarter.

Other Fees

Custodians may charge transaction fees on purchases or sales of certain mutual funds and exchange-traded funds. Whenever possible, IWM will utilize positions that do not result in a transaction charge to purchase or sell the security. However, securities can be chosen that result in a transaction fee to both buy and sell.

IWM, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., tenure of the relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

Expense Ratios

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.75 means that the mutual fund company charges 0.75% per annum for their services. These fees are in addition to the fees paid by you to IWM and are deducted directly from your mutual fund.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

Past Due Accounts and Termination of Agreement

IWM reserves the right to stop work on any account that is more than 60 days overdue. In addition, IWM reserves the right to terminate any financial planning engagement where a client has willfully concealed or has refused to

provide pertinent information about financial situations when necessary and appropriate, in IWM's judgment, to providing proper financial advice. Any unused portion of fees collected in advance will be refunded.

Performance-Based Fees

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

IWM does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Types of Clients

Description

IWM generally provides investment advice to individuals, pension and profit sharing plans, trusts, estates, or charitable organizations, or corporations or business entities.

Client relationships vary in scope and length of service.

Account Minimums

The minimum account size is \$100,000 of assets under management; account size may be negotiated.

IWM has the discretion to waive the account minimum. Accounts of less than \$100,000 may be set up when the client and the advisor anticipate the client will add additional funds to the accounts bringing the total to \$100,000 within a reasonable amount of time. Other exceptions may apply to employees of IWM and their relatives, or relatives of existing clients.

Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis, Sources of Information and Investment Strategies

Security analysis methods may include charting, fundamental analysis, technical analysis, and other forms of analysis as described below:

For the IWM Strategic Asset Allocation (IWM SAA) Program, Interwealth® Asset Management Program and InterWealth® VA Program, IWM utilizes various asset allocation tools to determine asset class weightings; IWM also combines input from several areas including client risk measurements and

objectives, tactical and fundamental analysis, relative strength analysis and various third party research.

IWM recommends certain select Third-Party Investment Advisory Program's. The selection of third-party advisers and programs will be based on the unique aspects of their investment strategy and on an analysis of other relevant factors including performance, and management history.

Investment Strategies

Investment strategies vary for each client but may include tactical and strategic, asset allocation, markets and sectors and buy & hold and alternatives (commodities and real estate, etc.); some investment strategies will move to cash to attempt to mitigate downside volatility. We often combine multiple investment strategies in an attempt to reduce portfolio volatility, although there is no assurance to that any combination of investment strategies will be successful in accomplishing that objective.

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time. In certain cases, an Investment Policy Statement that documents the client's objectives and their desired investment strategy is created.

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of

return (i.e. interest rate). This primarily relates to fixed income securities.

- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Disciplinary Information

Legal and Disciplinary

The firm and its employees have not been involved in legal or disciplinary events related to any past or present investment clients.

Other Financial Industry Activities and Affiliations

Financial Industry Activities

Not applicable.

Affiliations

IWM has arrangements that are material to its advisory business or its clients with a related person who is a broker-dealer (Geneos Wealth Management, Inc.).

Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics

The employees of IWM have committed to a Code of Ethics that is available for review by clients and prospective clients upon request. The firm will

provide a copy of the Code of Ethics to any client or prospective client upon request.

Participation or Interest in Client Transactions

IWM and its employees may buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of client trades. Employees comply with the provisions of the IWM *Compliance Manual* in regards to participation or interest in client transactions.

Personal Trading

The Chief Compliance Officer (CCO) of IWM is Mark Jones. He reviews all employee trades each quarter. His trades are reviewed by Brent Pine CPA, CFP®. The personal trading reviews ensure that the personal trading of employees does not affect the markets, and that clients of the firm receive preferential treatment. Since most employee trades are small mutual fund trades or exchange-traded fund trades, the trades do not affect the securities markets.

Brokerage Practices

Selecting Brokerage Firms

IWM does not have any affiliation with product sales firms. Specific custodian recommendations are made to Clients based on their need for such services. IWM recommends custodians based on the proven integrity and financial responsibility of the firm and the best execution of orders at reasonable commission rates.

IWM recommends brokerage firms and trust companies (qualified custodians), such as Charles Schwab Institutional and Charles Schwab Trust Bank.

IWM *DOES NOT* receive fees or commissions from any of these arrangements.

Best Execution

IWM reviews the execution of trades at each custodian annually. The review is documented in the IWM *Compliance Manual*. Trading fees charged by the custodians is also reviewed. IWM does not receive any portion of the trading fees.

As the designated RIA, IWM will seek to obtain best execution for the client's transactions. IWM will use best efforts to "block trade" securities to insure all client transactions for the same security receive the same price. However, when electronically traded funds (ETF's) or individual stocks are purchased or sold, individual clients may receive slightly different prices based on transactions not occurring exactly simultaneously.

Soft Dollars

Not applicable.

Order Aggregation

Most trades are mutual funds or exchange-traded funds where trade aggregation does not garner any client benefit.

Review of Accounts

Periodic Reviews

For investment advisory clients, securities are reviewed on a regular basis. Adjustments that are needed will be made accordingly. Triggering factors include, but are not limited to, the state of the economic environment, price momentum, relative strength, volume, accumulation, distributions, earnings, earnings potential, volatility and mutual fund screening. In the case of mutual funds, the funds are reviewed periodically to determine if they are meeting expectations on a basis of risk versus reward and a variety of other factors. IWM shall review with clients on an annual basis or sooner based upon client request.

For financial planning services, the client will receive an annual review and consultation. Such review and consultation may contain some or all of the following; specific advice concerning any changes in the client's investments, retirement planning, tax planning, and estate planning.

Review Triggers

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a client's own situation.

Regular Reports

IWM will provide advisory clients with a comprehensive quarterly statement on certain investment advisory programs. Quarterly statements will include the beginning period balance, the current market value, and performance data. IWM is not responsible for accurate reporting if a client fails to provide accurate information. In some circumstances, a quarterly statement may be provided to the client by a third party under contract with IWM to provide statements to its clients. Under circumstances where the client has expressly consented, quarterly statements and other client notifications may be sent to clients via electronic means (such as e-mail), or posted to a secure web site for client access.

Trade Confirmations:

Individual trade confirmations and reports of account activity is provided by the custodian.

Client Referrals and Other Compensation

Incoming Referrals

IWM has been fortunate to receive many client referrals over the years. The referrals came from current clients, estate planning attorneys, accountants, employees, personal friends of employees and other similar sources. The firm may compensate a referring parties either directly or indirectly for client referrals.

IWM may from time to time compensate, either directly or indirectly, any person (defined as a natural person or a company) for referrals. The relationship between the solicitor and the investment advisor is disclosed to the client at the time of the solicitation or referral.

Referrals Out

IWM does not accept referral fees or any form of remuneration from other professionals.

Other Compensation

Affiliates of IWM may sell insurance and investment products and receive commission income on the sale of such products. They could also receive 12b-1 fees as a result of placing clients with mutual funds. This results in a potential conflict of interest; full disclosure will be made prior to such sale.

For Advisory Referral Program accounts, IWM is paid a portion of the advisory fee paid by Clients to third-party advisers to whom IWM refers Client accounts. IWM has entered into contracts with various third-party advisers performing portfolio management. Full disclosure, either Form ADV Part II or its equivalent, will be given to the client at the time of solicitation.

Custody

SEC “Custody”

IWM will not have custody of any of the managed assets. Securities for IWM will be purchased through the facilities of either Schwab Institutional, a division of Charles Schwab & Co., Inc., or Prudential. In most instances, it will be the client’s sole responsibility for paying all the fees or charges of the custodian. The client approves the custodian to be used.

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly.

Performance Reports

Clients are urged to compare the account statements received directly from their custodians to the performance report statements provided by IWM.

Net Worth Statements

Clients may be provided net worth statements and/or comprehensive asset allocation statements generated from IWM. These statements may contain approximations of account balances and other information provided by the client, as well as the value of land, real estate or other assets that are difficult to assess current fair value. These statements are used for long-term financial planning where the exact values of assets may not be material to the financial planning tasks being performed.

Investment Discretion

Discretionary Authority for Trading

IWM may manage client accounts on a discretionary or non-discretionary basis on behalf of its clients.

With discretionary accounts, IWM has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, the amount of the securities to be bought or sold and the timing of such trades. Discretionary trading authority facilitates placing trades in your accounts on your behalf as a function of managing assets. Discretionary trading is approved by clients in writing via the Investment Advisory Agreement.

With non-discretionary accounts, IWM consults with the client prior to each trade to obtain concurrence if trading authorization has not been given.

Both Schwab Institutional and Prudential, provide Affiliates of IWM access to trading software which Affiliates may use to transfer data from the Clients accounts into performance reporting software. In addition, these software programs allow Affiliates to place trades within Client accounts electronically. Affiliates and advisory Client's of IWM also have access to the Schwab Institutional and Prudential web site.

Limited Power of Attorney

A limited power of attorney is a trading authorization for this purpose. You may be asked to sign a limited power of attorney so that we may execute the trades that you have approved.

Voting Client Securities

Proxy Votes

IWM does not vote proxies on securities. Clients are expected to vote their own proxies.

Financial Information

Financial Condition

IWM does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because IWM does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$600 per client, and six months or more in advance.

Business Continuity Plan

General

IWM has a Business Continuity Plan in place that provides detailed steps to mitigate and recover from the loss of office space, communications, services or key people.

Disasters

The Business Continuity Plan covers natural disasters such as snow storms, hurricanes, tornados, and flooding. The Plan covers man-made disasters such as loss of electrical power, loss of water pressure, fire, bomb threat, nuclear emergency, chemical event, biological event, T-1 communications line outage, Internet outage, railway accident and aircraft accident. Electronic files are backed up daily and archived offsite.

Alternate Offices

Alternate offices are identified to support ongoing operations in the event the main office is unavailable. It is our intention to contact all clients within five days of a disaster that dictates moving our office to an alternate location.

Loss of Key Personnel

IWM has a Business Continuation Agreement to support IWM in the event of Brent Pine's serious disability or death.

Information Security Program

Information Security

IWM maintains an information security program to reduce the risk that your personal and confidential information may be breached.

Privacy Notice

IWM is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.

The categories of nonpublic information that we collect from you may include information about your personal finances, information about your health to the extent that it is needed for the financial planning process, information about transactions between you and third parties, and information from consumer reporting agencies, e.g., credit reports. We use this information to help you meet your personal financial goals.

With your permission, we disclose limited information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. You may opt out from our sharing information with nonaffiliated third parties by notifying us at any time by telephone, mail, fax, email, or in person. With your permission, we share a limited amount of information about you with your brokerage firm in order to execute securities transactions on your behalf.

We maintain a secure office to ensure that your information is not placed at unreasonable risk. We employ a firewall barrier, secure data encryption techniques and authentication procedures in our computer environment.

We do not provide your personal information to mailing list vendors or solicitors. 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.

Personally identifiable information about you will be maintained while you are a client, and for the required period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this *Privacy Notice* to you annually, in writing.

Brochure Supplement (Part 2B of Form ADV)

Education and Business Standards

IWM seeks to employ advisors that have work experience that demonstrates their aptitude for financial planning and investment management.

Additionally, IWM requires advisors to have as a minimum, the state licensing requirements to perform as an advisory affiliate. It also seeks to employ advisors that have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework or certification/title include: an MBA, a CFP®, a CFA, a ChFC, JD, CTFA, EA, CCO, or CPA.

Professional Certifications

Certain IWM advisors have earned certifications and credentials as follows:

Certified Financial Planner (CFP): Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background

Certified Public Accountant (CPA): Certified Public Accountants are licensed by the State Board of Accountancy. CPA certification requirements:

- Bachelor's degree from an accredited college or university.
- Successful completion of the CPA exam
- One-Year qualifying full-time work experience

Brent Stanley Pine, CFP®, CPA

Year of Birth: 1963

Educational Background:

Education: Arizona State University, 1994, Masters of Taxation
Arizona State Board of Accountancy, 1996 CPA
College for Financial Planning, 1989 CFP®,
Arizona State University, 1985 B.S.

Business Experience:

Employment: IWM., 2001-present
Geneos Wealth Management, Inc., 2010-present
SagePoint Financial, Inc., 2001-2010
Gold & Associates, Inc., 1998-2001
Washington Square Securities, Inc., 1998-2001
Deloitte & Touche, LLP 1994-1996

Disciplinary Information: None

Other Business Activities:

Additional Compensation: None

Supervision:

Brent S. Pine, CPA, CFP® and IWM is supervised by our broker dealer, Geneos Wealth Management, Inc. Geneos Wealth Management, Inc periodically reviews (but not limited to) client transactions, client communications, and advertising as well as other aspects of tasks performed as a function of asset management. Their reviews are performed remotely on an ongoing basis throughout the year which include annual office exams performed on the premises.

Contact information for Geneos Wealth Management, Inc. is listed below:

Mailing address:

9055 E Mineral Circle Ste #200
Centennial, CO 80112

Phone: (888) 812-5043

Email: geneosinfo@geneoswealth.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None