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Wiese Capital Management, Inc.

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Form ADV Part 2A Brochure

This brochure provides information about the qualifications and business practices of Wiese Capital Management, Inc. If you have any questions about the contents of this brochure, please contact us at 203.255.3331. 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.

Additional information about Wiese Capital Management, Inc. is also available on the SEC's website at www.adviserinfo.sec.gov.

Material Changes - Item 2

The purpose of this page is to inform you of any material changes since the since the last annual update of our brochure.

There were no material changes from Wiese Capital Management, Inc.'s last annual brochure update filed on March 31, 2011.

We review our brochure at least annually to make sure that it remains current.

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Advisory Business - Item 4

Wiese Capital Management, Inc. (WCM) is an investment counseling firm providing personalized investment advice to individuals, trusts, pension plans, endowments, corporations and profit sharing plans. The firm was incorporated in Connecticut as a "C" corporation on June, 1994 by Peter C. Wiese, the Chairman, CEO and sole owner of the firm.

The firm offers equity and fixed income portfolio management and financial planning services.

Each account under the supervision of Wiese Capital Management, Inc. is treated individually, not co-mingled with others, to reflect the specific goals and needs of each client taking into account such confidential information as total assets and income, financial obligations and liquidity requirements, family situation, tax and estate considerations, risk preferences and investment time frame. Clients may impose restrictions on investing in certain securities or types of securities.

Selection of Third Party Investment Advisers

WCM is a member of the Edelman Managed Asset Program created by Edelman Financial Services, LLC, a S.E.C. registered investment adviser. Edelman Financial Services, LLC provides several widely diversified wrap fee asset allocation programs, known as Edelman Managed Asset Programs, to selected WCM clients who were referred to our firm by Edelman Financial Services, LLC. WCM and its Associated Persons will not manage, or obtain discretionary authority over the assets in accounts participating in these programs. Generally, clients may not impose restrictions on investing in certain securities or types of securities in accounts managed by Edelman Financial Services, LLC.

A complete description of the programs and services provided, the amount of total fees, the payment structure, termination provisions and other aspects of each program are detailed and disclosed in Edelman Financial Services, LLC's wrap brochure.

As of August 2012, the firm manages about \$10 million in client assets on a discretionary basis and provides non continuous advisory services to \$50 million in client assets on a non-discretionary basis.

Fees and Compensation - Item 5

Account Management Fee Schedule

Assets Under Management	Annual Fee
Up to \$0.5 million	2.00%
\$0.5 million to \$10 million	1.00%
Above \$10 Million	Negotiable

Wiese Capital Management, Inc.'s annual portfolio management fee for accounts whose assets have a

market value of \$500,000 or more is 1.00% of the first \$10 million market value, and negotiable on all assets over \$10 million. For accounts whose assets have a market value of less than \$500,000, the firm's fee is normally 2.00% of market value or \$5,000, whichever is less. In certain circumstances, depending upon the size and complexity of a client's portfolio, fees may be negotiable.

Clients normally are billed such fees quarterly, in arrears, based upon the market value of the assets under management at the end of the quarter. Fees for periods less than a quarter are prorated. The amount of each quarterly fee is one quarter (1/4) of the annual percentage fee multiplied by the market value of the account at the end of the quarter.

The firm's fees are customarily debited and paid directly from the client's account provided the following conditions are met:

- The Client must provide written authorization permitting the fees to be paid directly from their account held by the custodian. WCM does not have access to Client funds for payment of fees without Client consent in writing.
- WCM will send the Client an invoice showing the amount of the fee, the value of assets on which the fee is based, and the specific manner in which the fee was calculated.
- WCM will disclose that it is the Client's responsibility to verify the accuracy of the fee calculation and that the custodian will not determine whether the fee is properly calculated.
- WCM will send an invoice to the custodian indicating the amount of the fee to be paid by the custodian.

The custodian agrees to send the Client a statement, at least quarterly, indicating all amounts dispersed from the account, including the amount of the advisory fee paid directly to WCM. Please review each statement for accuracy. WCM will also receive a copy of your account statements from the custodian.

In special cases, the firm will agree to bill clients directly for fees incurred.

General Disclosures about Fees

Clients are not charged for any other types of fees or expenses other than brokerage transaction costs.

Clients may select any broker-dealer firm or agent they wish to execute trades for their account or act as custodian for their account. In the absence of any specific preference from the client, our firm may recommend broker-dealers or Peter C. Wiese may, separately from his investment advisory activities, execute trades for a client as an independent agent of the broker-dealer firm, Northeast Securities, Inc., which clears through J.P. Morgan Clearing Corp.

The most important factor in recommending unaffiliated broker-dealers is their ability to achieve good executions which include not only best price and commissions but also the relative quality of execution. Other factors considered are their knowledge of the market and securities, operational support, client reporting, record keeping, financial condition, and reputation and integrity.

With respect to client accounts where Peter C. Wiese also acts as the broker, there is a potential conflict of interest in that it could give him a incentive to recommend investment products based on the

compensation received, rather than on a client's needs. However, this has never been an issue given our longer term oriented, relatively low portfolio turnover investment approach. As an investment advisory firm, we purchase or sell securities for investment reasons, not to generate commissions. Such clients may receive certain discounts off the customary commission rates charged by Northeast Securities, Inc. but those reduced commission levels may still be higher than those charged by other broker dealers. Some of the offsetting benefits to such clients from our long-standing relationship with Northeast Securities, Inc. and familiarity with all their key employees include:

- Excellent operational support and record keeping.
- Access to one of the industry's most highly regarded clearing and custodial firm, J.P. Morgan Clearing Corp., a separately registered broker-dealer affiliate of J.P. Morgan Chase & Co.
- Access to knowledgeable advice on various compliance issues.

We do not reduce our advisory fees to offset the commissions. Clients are advised that transactions may be executed through other brokers or dealers if the client so desires.

Third Party Adviser (TPAs) Fees

WCM receives a percentage of the portfolio management fees charged such clients by Edelman Financial Services, LLC. The fees charged are the same as those charged by Edelman Financial Services, LLC to any other comparable client. The compensation arrangement presents a conflict of interest due to a financial incentive to recommend the services of the Edelman Financial Services, LLC. In order to address this conflict, the firm has adopted a code of ethics that obliges all associated persons to deal fairly with all clients when taking investment action and to uphold their fiduciary duty and to put the client's interest first. Clients are not required to use the services of any third party adviser we recommend.

Performance-Based Fees and Side-By-Side Management - Item 6

We and our Associated Persons do not accept performance based fees. Performance based fees are based on a share of capital gains on or capital appreciation of the client's assets.

Types of Clients - Item 7

The firm offers personalized investment advice to individuals, trusts, pension plans, corporations and profit sharing plans. Our minimum account size is five hundred thousand dollars (\$500,000), but accounts of lesser amounts may be accepted due to special considerations.

Methods of Analysis, Investment Strategies and Risk of Loss - Item 8

As mentioned previously, each account under the supervision of Wiese Capital Management, Inc. is individually structured, not co-mingled with others, to reflect the specific goals and needs of each client. Our investment approach emphasizes achieving above-average rates of return over the longer term with reduced financial risk, primarily through investments in equities.

Our clients' objectives and risk tolerances range from conservative income to more speculative growth. In structuring portfolios for all our clients, we employ essentially a bottom-up, top-down approach. In other words, we do fundamental security analysis to select appropriate individual securities and take into account the overall economic, geopolitical, and credit market outlook.

Among the factors we consider most important in selecting an equity holding are:

- Strong Management Team
- Pricing Flexibility and Earnings Growth Consistency
- Proprietary Products/Services or Brand Name Strength
- Significant Management Ownership (Especially for Smaller Companies)
- Low Price/Earnings Ratio Relative to Earnings Growth Rate
- High Sustainable Revenue, Earnings and Cash Flow Growth Rates
- High Profit Margins and Return on Equity
- Low Debt and Strong Free Cash Flow

The factors we consider most carefully in timing the purchase of a security that meets our criteria include:

- Money Market/Interest Rate Outlook
- General Economic and Fiscal outlook
- Industry Group Cycle and Price Performance
- Relative Company Earnings and Price Strength
- Earnings Acceleration, Earnings Estimate Trends, Earnings Surprises

We always attempt to put a sufficient number of equities in an account to achieve reasonable diversification between market sectors as well as domestic and international exposure. Typically, the equity portion of each account consists of 20 to 30 positions. Approximately one-half of these positions are higher-quality, lower risk, large – cap growth stocks, with the remainder in mid-cap and small-cap growth companies that are somewhat more speculative, but tend to have greater appreciation potential.

Although we tend to hold stocks for the longer term as long as our reasons for buying them remain valid, we believe that selling stocks that are no longer attractively priced is an important determinant of investment success. We develop a sell target for each holding and sell the stock when it reaches that target unless new developments warrant an increase in the sell target. We also sell stocks of companies when the fundamentals of their business or external factors affecting their environment change sufficiently to make investment relatively unattractive.

On the fixed-income side, we invest in municipal, government, corporate and convertible bonds, depending on a client's income status. We generally restrict our selection to at least investment-grade

bonds with maturities under 11 years and ladder maturities to minimize interest rate risk.

We do not normally use margin or other leveraged techniques. We also do not sell short, loan securities or purchase options, derivatives, restricted securities, commodities, real estate or other tangible assets. The use of any of these techniques or transactions requires the prior consent of the client.

It is important to emphasize that, despite attempts to mitigate risk, investing in securities involves risk of loss that clients should be prepared to bear.

Disciplinary Information - Item 9

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of us or the integrity of our management. There is no history of material legal or disciplinary events by our firm or our management persons.

Other Financial Industry Activities or Affiliations - Item 10

As discussed more fully in Item 5. Fees and Compensation, Peter C. Wiese is a Registered Representative (independent contractor) with Northeast Securities, Inc., a broker-dealer firm located at 333 Earle Ovington Boulevard, Mitchel Field, New York 11553, which clears through J.P. Morgan Clearing Corp.

Beginning in 1998, Wiese Capital Management, Inc. entered into a joint operating venture with Wolverine Investments, a S.E.C. registered investment adviser (SEC File No. 801-37177) whose principal office and place of business is the same as our firm. John M. Babyak, President and Chief Investment Officer of Wolverine Investments, Inc., is also a Senior Vice President and a control person of Wiese Capital Management, Inc.

Wiese Capital Management, Inc. and Wolverine Investments share common overhead expenses, such as office rent, telephone, cable television, internet, business administration, marketing and research services. In addition, Wiese Capital Management, Inc. and Wolverine Investments provide investment advisory and consulting services to each other. In any month when such services are significantly disparate, a reasonable and equitable consulting fee may be paid one to the other.

Recommendation of Other Advisors

WCM is a member of the Edelman Managed Asset Program created by Edelman Financial Services, LLC, a S.E.C. registered investment adviser. Edelman Financial Services, LLC provides several widely diversified wrap fee asset allocation programs, known as Edelman Managed Asset Programs, to selected WCM clients who were referred to our firm by Edelman Financial Services, LLC. Edelman Financial Services, LLC is unaffiliated with WCM. WCM receives a percentage of the portfolio management fees charged such clients by Edelman Financial Services, LLC. The fees charged are the same as those charged by Edelman Financial Services, LLC to any other comparable client. The compensation arrangement presents a conflict of interest due to a financial incentive to recommend the services of the

Edelman Financial Services, LLC. In order to address this conflict, the firm has adopted a code of ethics that obliges all associated persons to deal fairly with all clients when taking investment action and to uphold their fiduciary duty and to put the client's interest first. Clients are not required to use the services of any third party adviser we recommend.

Code of Ethics, Participation or Interest in Client Transactions and Personal Trading - Item 11

A. Code of Ethics

As a fiduciary, Wiese Capital Management, Inc. has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying our Code of Ethics and Personal Trading Policy, and represents the expected basis of all our dealings with our clients. Our firm will provide a copy of our Code of Ethics to any client or prospective client upon request.

B. Participation or Interest in Client Transactions and Personal Trading

No officer or employee of Wiese Capital Management, Inc. can recommend to clients, or buy/sell for client accounts, securities in which they have a material financial interest.

An officer/employee of the firm may invest in the same or related securities that they recommend to clients. However, no officer or employee of Wiese Capital Management, Inc. may purchase or sell any type of security prior to a transaction(s) being executed for a client account, therefore, preventing such employees or officers from benefiting from transactions placed on behalf of clients.

When participating in the allocation of a block of stock purchased or sold at multiple prices for Clients, no employee of Wiese Capital Management, Inc. can allocate to his or her account (or a family related account) at a more favorable price than any Client received. Likewise, an employee of Wiese Capital Management, Inc. may only make an individual trade for his or her own or family related account, when new positions are established or existing positions liquidated, only after all Client allocations are filled. This policy covers all types of securities trading including options.

If a decision is made by a portfolio manager to reduce current Client's positions on a percentage basis, then an employee of Wiese Capital Management, Inc. may likewise reduce, but only after all Client positions are satisfied. This policy covers all types of securities trading including options.

No employee of Wiese Capital Management, Inc. may trade securities on the basis of material, nonpublic information.

Any "hot issues" (i.e. Initial Public Offerings, or IPOs, that will trade at a premium) received must be allocated among Clients in an equitable manner and may not be allocated to any employee of Wiese Capital Management, Inc.

No employee of Wiese Capital Management, Inc. may purchase a private placement through a personal account without prior clearance from the firm's Chief Compliance Officer.

No employee of Wiese Capital Management, Inc. may purchase publicly traded securities of companies in which they hold restricted securities without prior disclosure to Clients and the firm's Chief Compliance Officer.

As a general rule, employees of Wiese Capital Management, Inc., as fiduciaries, pledge to the firm's Clients "an affirmative duty of utmost good faith, and full disclosure of all material facts". If any employee is uncertain as to whether there is a conflict of interest with respect to trading in his or her own account, that employee should consult with the firm's Chief Compliance Officer.

All personal securities transactions shall be reviewed on a regular basis by the firm's Chief Compliance Officer.

Brokerage Practices - Item 12

A.

1. Research and Other Soft Dollar Benefits

Wiese Capital Management, Inc. does not receive research or other products and services ("soft dollar benefits") in connection with client securities transactions.

The factors we consider in recommending unaffiliated broker-dealers at a client's request are discussed in Item 5. Fees and Compensation.

The factors we consider and the conflicts of interest involved for clients for whom Peter C. Wiese, Chairman of Wiese Capital Management, Inc., executes trades and receives a commission as an independent agent of the broker-dealer firm, Northeast Securities, Inc. are also discussed in Item 5. Fees and Compensation.

2. Brokerage for Client Referrals

Wiese Capital Management, Inc. does not receive client referrals from a broker-dealer or third party in return for commissions. This is not a factor in recommending broker-dealers.

3. Directed Brokerage

Wiese Capital Management, Inc. does not recommend, request or require that a client direct us to execute transactions through a specified broker-dealer, nor do we permit a client to direct brokerage.

B. Aggregating Orders

Normally, whenever the opportunity exists, Wiese Capital Management, Inc. will aggregate the purchase

or sale of securities for all accounts, for which the transaction is appropriate at that time. This does not mean, however, that when we purchase or sell a security, we will do so for all accounts that may eventually buy that security or, in the case of a sale, presently hold that security. Whenever client orders are aggregated, each client receives the same purchase or sale price.

Review of Accounts - Item 13

Each client account is reviewed on a continuous basis by an officer of Wiese Capital Management, Inc. The factors which may trigger a change in a client's portfolio include, but are not limited to, material changes in the underlying fundamentals of a security or its relative valuation, material changes in general market conditions and the overall economic, political and credit market outlook, as well as changes in a client's objectives or risk tolerance. Client account reviews are conducted by Peter C. Wiese, Chairman and CEO.

All clients receive the original copy of a purchase or sale confirmation from the custodian broker or bank immediately following the execution of a transaction in their account. They also receive monthly statements from the custodian firm showing among other things the value of each holding and all financial activity in their account. Independently of the custodian, our staff enters all client financial transactions into our Advent Portfolio Accounting System. This client data is reconciled monthly with the custodian's record of buy/sell transactions, debits, credits, expenses and similar transactions. This enables us to generate client account appraisals showing for each security holding its date of purchase, number of shares owned, unit and total cost, price and total market value, percentage yield and unrealized gain/loss. We make these appraisals available to Clients on a quarterly basis. At year end, upon Client request, we may also provide taxable account clients with written statements giving them the data necessary to complete income tax returns. In addition, we also communicate with most clients by telephone regarding performance and market outlook. Periodically we also send third-party research and comments to selective clients.

We will prepare specially tailored written reports upon a client's request and are always readily available to meet or talk with clients about any questions they may have with respect to their account.

WCM will periodically review reports provided by Edelman Financial Services, LLC to the client. Peter C. Wiese will contact the client at least annually, or more often as agreed upon with each client, to review the client's financial situation and objectives, communicate information to Edelman Financial Services, LLC as necessary, and to assist the client in understanding and evaluating the services provided by Edelman Financial Services, LLC. Clients will be expected to notify WCM of any changes in their financial situation, investment objectives, or account restrictions.

Client Referrals and Other Compensation - Item 14

WCM is a member of the Edelman Managed Asset Program created by Edelman Financial Services, LLC, a S.E.C. registered investment adviser. Edelman Financial Services, LLC provides several widely

diversified wrap fee asset allocation programs, known as Edelman Managed Asset Programs, to selected WCM clients who were referred to our firm by Edelman Financial Services, LLC. Edelman Financial Services, LLC is unaffiliated with WCM. WCM receives a percentage of the portfolio management fees charged such clients by Edelman Financial Services, LLC. The fees charged are the same as those charged by Edelman Financial Services, LLC to any other comparable client. The compensation arrangement presents a conflict of interest due to a financial incentive to recommend the services of the Edelman Financial Services, LLC. In order to address this conflict, the firm has adopted a code of ethics that obliges all associated persons to deal fairly with all clients when taking investment action and to uphold their fiduciary duty and to put the client's interest first. Clients are not required to use the services of any third party adviser we recommend.

WCM currently does not compensate, either directly or indirectly, third parties for client referrals.

Custody - Item 15

WCM is deemed to have custody of client funds because of the fee deduction authority granted by the client in the Advisory Agreement.

Clients will receive account statements at least quarterly from the broker-dealer or other qualified custodian. Clients are urged to review custodial account statements for accuracy.

Investment Discretion - Item 16

The great majority of Wiese Capital Management, Inc.'s accounts are managed on a discretionary basis. After obtaining all the essential background information on the clients and prior to the opening of their account, the clients sign our firm's Client Agreement which grants Wiese Capital Management, Inc. complete and unrestricted authority with respect to the investment of the Investment Account including, without limitation, the authority, at the client's sole expense: (a) to invest and reinvest the assets in the Investment Account at such time and in such manner as Wiese Capital Management, Inc. in the complete and unlimited exercise of its discretion shall determine or elect; (b) to purchase and sell securities in the client's name, for the client's account and at the client's sole risk; (c) to arrange for delivery of and payment of such investments, including securities bought and sold for the client's account; and (d) in effecting any such investments, reinvestments, purchases and sales, to use and obtain the assistance and services of such brokers, dealers, investment bankers, underwriters and other firms, enterprises and services as Wiese Capital Management, Inc. in the complete and unlimited exercise of its discretion shall designate and select. By signing the Agreement, clients grant Wiese Capital Management, Inc. a power of attorney to act as the clients' attorney-in-fact for the purposes of effecting or accomplishing any of the foregoing matters as well as any other matters which are subject matter of the Agreement.

In addition, prior to the opening of their account, clients must execute a Certificate of Limited Trading Authorization provided by the custodian firm granting a principal of Wiese Capital Management, Inc. the

authority to perform essentially the same function as above.

We also selectively manage accounts for which we do not purchase or sell securities without the client's consent even though they have executed a discretionary agreement.

Voting Client Securities - Item 17

Our firm does not have or accept authority to vote client securities. Clients receive their proxies or other solicitations directly from their custodian or a transfer agent. In our Proxy Voting Policy statement which all clients receive, we suggest that they can contact our firm or their custodian firm with any questions about a particular solicitation.

Financial Information - Item 18

WCM does not require the prepayment of any fees. Additionally, WCM has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

Requirements of State-Registered Advisers - Item 19

Principal Executive Officers and Management Persons

Peter C. Wiese

Formal Education after High School:

- Princeton University, Economics, B.A.

Business Background for the last 5 Years:

- Wiese Capital Management, Inc., CEO and CCO, 07/1994 to Present.
- Northeast Securities, Inc., Registered Representative, 01/1998 to Present.

Outside Business Activities

Peter Wiese is separately licensed as a registered representative with Northeast Securities, Inc., a securities broker/dealer registered with the Securities and Exchange Commission and the Financial Industry Regulatory Authority ("FINRA").

As a dually licensed representative, Mr. Wiese will receive commissions for the purchase and sale of securities. This commission revenue is separate and in addition to revenue received from advisory fees. This arrangement represents a conflict of interest due to the receipt of both advisory and commission compensation. WCM has policies and procedures in place to monitor all Client transactions and all Client transaction costs will be disclosed to the Client.

Mr. Wiese currently devotes about 25% of his time to his capacities at Northeast Securities, Inc.

Performance Based Fees

Our firm and our Associated Persons do not accept performance based fees. Performance based fees are based on a share of capital gains on or capital appreciation of the client's assets.

Disciplinary Information

Peter C. Wiese has not been involved in any reportable disciplinary events.

Other Relationships or Arrangements With Issuers of Securities

Our firm and our related persons do not have any relationships or arrangements with any issuer of securities.

Miscellaneous

Confidentiality

WCM views protecting its customers' private information as a top priority and, pursuant to the requirements of the Gramm-Leach-Bliley Act, the firm has instituted policies and procedures to ensure that customer information is kept private and secure.

WCM does not disclose any nonpublic personal information about its customers or former customers to any nonaffiliated third parties, except as permitted by law. In the course of servicing a client account, WCM may share some information with its service providers, such as transfer agents, custodians, broker-dealers, accountants, and lawyers.

WCM restricts internal access to nonpublic personal information about its clients to those employees who need to know that information in order to provide products or services to the client. WCM maintains physical and procedural safeguards that comply with state and federal standards to guard a client's nonpublic personal information and ensure its integrity and confidentiality. As emphasized above, it has always been and will always be the firm's policy never to sell information about current or former customers or their accounts to anyone. It is also the firm's policy not to share information unless required to process a transaction, at the request of the client, or as required by law.

A copy of the firm's privacy policy notice will be provided to each client prior to, or contemporaneously with, the execution of the Advisory Agreement. Thereafter, the firm will deliver a copy of the current privacy policy notice to its clients on an annual basis. If you have any questions on this policy, please contact Peter C. Wiese at 203.255.3331.

Peter C. Wiese

Chief Executive Officer and Chief Compliance Officer

Wiese Capital Management, Inc.

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August 21, 2012

Form ADV Part 2B Brochure Supplement

This Brochure Supplement provides information about Peter C. Wiese that supplements Wiese Capital Management, Inc. (hereinafter "WCM") Brochure. You should have received a copy of that Brochure. Please contact us at 203.255.3331 if you did not receive WCM's Brochure or if you have any questions about the contents of this supplement.

Additional information about Peter C. Wiese is available on the SEC's website at www.adviserinfo.sec.gov. Mr. Wiese's CRD number is 466451.

Educational Background and Business Experience - Item 2

Peter C. Wiese

Formal Education after High School:

- Princeton University, Economics, B.A.

Business Background for the last 5 Years:

- Wiese Capital Management, Inc., CEO and CCO, 07/1994 to Present.
- Northeast Securities, Inc., Registered Representative, 01/1998 to Present.

Disciplinary Information - Item 3

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Mr. Wiese and WCM. Mr. Wiese has not been involved in any reportable disciplinary events.

Other Business Activities - Item 4

Peter Wiese is separately licensed as a registered representative with Northeast Securities, Inc., a securities broker/dealer registered with the Securities and Exchange Commission and the Financial Industry Regulatory Authority ("FINRA").

As a dually licensed representative, Mr. Wiese will receive commissions for the purchase and sale of securities. This commission revenue is separate and in addition to revenue received from advisory fees. This arrangement represents a conflict of interest due to the receipt of both advisory and commission compensation. WCM has policies and procedures in place to monitor all Client transactions and all Client transaction costs will be disclosed to the Client.

Mr. Wiese currently devotes about 25% of his time to his capacities at Northeast Securities, Inc.

Additional Compensation – Item 5

Apart from the receipt of additional compensation for the sale of securities products, Mr. Wiese does not receive additional compensation or economic benefits from third party sources in connection with his advisory activities.

Supervision - Item 6

Mr. Wiese is an investment adviser representative of WCM. In this role, Mr. Wiese is responsible for the monitoring of client portfolios for investment objectives and other supervisory reviews. Mr. Wiese is also the Chief Compliance Officer of WCM. In this capacity, Mr. Wiese is responsible for the implementation of the firm's compliance program.

WCM has implemented a Code of Ethics and an internal compliance program that guides each Associated Person in meeting their fiduciary obligations to clients. Mr. Wiese adheres himself to WCM's code of ethics and compliance manual as mandated. Clients may contact Mr. Wiese at the phone number listed on the cover of this Brochure Supplement, to obtain a copy of WCM's code of ethics.

Additionally, WCM is subject to regulatory oversight by various agencies. These agencies require registration by WCM and its employees. As a registered entity, WCM is subject to examinations by regulators, which may be announced or unannounced. WCM is required to periodically update the information provided to these agencies and to provide various reports regarding firm business and assets under management.

Requirements for State-Registered Advisers - Item 7

Disciplinary Information

Mr. Wiese has not been involved in any reportable disciplinary events.

Bankruptcy Petition

Mr. Wiese has not been subject to a bankruptcy petition.