

Item 1 – Cover Page

**Mariner Wealth Advisors-Omaha, LLC
dba Mariner Wealth Advisors, LLC**

Part 2A of Form ADV: *Firm Brochure*

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This brochure provides information about the qualifications and business practices of Mariner Wealth Advisors-Omaha, LLC dba Mariner Wealth Advisors, LLC ("Mariner"). If you have any questions about the contents of this brochure, please contact us at (913) 647-9700 or by email at Compliance@Mariner-Holdings.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. Mariner is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information through which you determine to hire or retain an Adviser.

Additional information about Mariner is available on the SEC's website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. Our firm's CRD number is 109904.

Item 2 - Material Changes

On July 28, 2010, the United State Securities and Exchange Commission ("SEC") published "Amendments to Form ADV" amending the disclosure document that we provide to clients as required by SEC Rules.

We recently joined Mariner Wealth Advisors, LLC, a wealth management firm headquartered in Leawood, Kansas. This relationship brought about several material changes to our Form ADV 2A Firm Brochure, including a change in our name from Orizon Investment Counsel to Mariner Wealth Advisors. In addition, our current ownership and industry affiliations have changed. We now have relationships and arrangements that are material to our advisory business with related persons that are either an investment advisor, broker-dealer or investment company. These affiliations are detailed in Item 10 of this ADV Part 2A.

In the past we have offered or delivered information about our qualifications and business practices to clients on at least an annual basis. Pursuant to new SEC Rules, we will ensure that you receive a summary of any material changes to this and subsequent Brochures within 120 days of the close of our business' fiscal year. We may provide other ongoing disclosure information about material changes as necessary.

We will provide you with a new Brochure if requested based on changes or new information, at any time, without charge. Currently, our Brochure may be requested by contacting us at (913) 647-9700 or compliance@mariner-holdings.com.

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Item 4 – Advisory Business

Mariner Wealth Advisors-Omaha, LLC dba Mariner Wealth Advisors, LLC (“Mariner”) is a SEC-registered investment adviser located in Omaha, Nebraska. Mariner was founded in 2000 under the name Orizon Investment Counsel, LLC and was a wholly owned subsidiary of Orizon, LLC. On June 30, 2012, Mariner Wealth Advisors, LLC and four minority shareholders of Orizon, LLC purchased a majority interest in Orizon Investment Counsel, LLC from Orizon, LLC. On July 13, 2012, Mariner Wealth Advisors, LLC officially changed the name of Orizon Investment Counsel, LLC to Mariner Wealth Advisors-Omaha, LLC dba Mariner Wealth Advisors, LLC. The sole owner of Mariner Wealth Advisors, LLC is Mariner Holdings, LLC, an independent financial services firm. The Bicknell Family Holding Company, LLC holds a controlling interest in Mariner Holdings, and the Bicknell Family Management Company Trust holds a controlling interest in the Bicknell Family Holding Company.

INVESTMENT MANAGEMENT SERVICES

We provide personal financial planning, consulting, and investment management services to individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations and business entities. Depending upon the engagement, we offer our services on a fee basis based upon assets under management. Alternatively, certain of our Advisory Affiliates may offer securities brokerage services and insurance products under a commission arrangement, which may be used to offset our fees (as discussed below). We may provide our clients with a broad range of comprehensive financial planning and consulting services (which may include non-investment related matters).

Prior to engaging us, the client will be required to enter into one or more written agreements setting forth the terms, conditions, and objectives under which we shall render our services (the “Agreement”). Additionally, we may only implement our investment recommendations after a client has arranged for and furnished all information and authorization regarding accounts with appropriate financial institutions. Our clients are advised to promptly notify us if there are ever any changes in their financial situation or investment objectives or if they wish to impose any reasonable restrictions upon our advisory services.

Each investment service gives us discretion to provide continuous investment advice based on your individual objectives, needs, risk tolerance, and style of desired management. We utilize various security products in association with the investment service selected by you.

We tailor an investment portfolio designed for you based on the style of management you select. The process begins when you fill out a confidential, in-depth “Risk Tolerance Questionnaire”. The Risk Tolerance Questionnaire will help you to clarify your financial objectives and goals, establish your tolerance to risk, and identify your most comfortable style of management. The Risk Tolerance Questionnaire is used by our firm as the primary reference for managing your portfolio. You may also indicate any special instructions or limits that you request us to follow in managing your assets.

Based on our analysis of your Risk Tolerance Questionnaire, we will direct your resources into an investment portfolio that aligns with your specific circumstances. The types of

investments represent asset classes suited to your individual risk tolerance, goals, and management style. The specific percentages allocated to each asset class may vary due to the nature of asset performance and/or the investment management service selected.

Through our monitoring of relative strength and asset class risk factors, we may change your portfolio asset mix in order to help you meet your objectives. It is our intent to maintain a risk exposure commensurate with your objectives by using the various investment choices available under the investment management service selected by you.

To provide accurate and timely management of your invested assets, Mariner requires that you establish a custodial account. Mariner primarily utilizes the custody services of Charles Schwab & Co, Inc. and Fidelity Investments, which will maintain your assets and provide the underlying records for the assets held in your accounts.

ASSETS UNDER MANAGEMENT

Our assets under management as of July 17, 2012 are \$297,059,261.

Item 5 – Fees and Compensation

Our fees are subject to negotiation and all fee arrangements will comply with Section 205 of the Advisers Act. We reserve the right to waive the advisory fee for certain accounts such as employee accounts.

The specific manner in which our fees are charged is established in the Agreement. We will generally bill our fees in advance on a quarterly basis based upon the value of assets under management on the last day of the previous quarter, and as more fully described in the Agreement. The Agreement and/or the separate agreement with any financial institution(s) may authorize us through the financial institution(s) to debit a client's account for the amount of our fee and to directly remit that management fee in accordance with applicable custody rules. The financial institution(s) recommended by us have agreed to send a statement to the client, at least quarterly, indicating all amounts disbursed from the account including the amount of management fees paid directly to us.

A client may make additions to and withdrawals from the account at any time, subject to our right to terminate an account. If assets are deposited into an account after the inception of a quarter that exceed \$100,000, the fee payable with respect to such assets will be prorated based on the number of days remaining in the quarter. A client may withdraw account assets on notice to us, subject to the usual and customary securities settlement procedures. For partial withdrawals in excess of \$100,000 within a billing period, we shall credit our unearned fee towards the next quarter's fee. However, we design our portfolios as long-term investments and asset withdrawals may impair the achievement of a client's investment objectives.

For the initial quarter of investment management services, the first quarter's fees shall be calculated on a pro rata basis. The Agreement between us and a client will continue in effect until terminated by either party pursuant to the terms of the Agreement. Our annual fee shall be prorated through the date of termination and any remaining balance shall be charged or refunded to the client, as appropriate, in a timely manner.

Additions may be in cash or securities provided that we reserve the right to liquidate any transferred securities, or decline to accept particular securities into a client's account. We may consult with our clients about the options and ramifications of transferring securities. However, clients are advised that when transferred securities are liquidated, they are subject to transaction fees, fees assessed at the mutual fund level (i.e. contingent deferred sales charge) and/or tax ramifications.

Our fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred by a client. Clients may incur certain charges imposed by custodians, brokers, third party investment managers and other third parties such as fees charged by managers, custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual funds and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to our fee, and we shall not receive any portion

of these commissions, fees, and costs. Advisory clients should note that fees for comparable services vary and lower fees for comparable services may be available from other sources.

Item 12 further describes the factors that we consider in selecting or recommending broker-dealers for client transactions and determining the reasonableness of their compensation (e.g., commissions).

In limited circumstances, our investment adviser representatives, if properly licensed, may receive compensation for the sale of securities such as mutual funds, variable annuities and sometimes non-investment products such as life insurance, disability insurance and long-term care insurance. This practice presents a conflict of interest and gives us an incentive to recommend products based on compensation received, rather than the client's needs. Our objective is to always place the clients' interest first. We address this conflict by disclosing it in this Brochure. Clients have the option to purchase the products we recommend through other brokers or agents not affiliated with us.

401(k) and Pension fees –

Fees for plans subject to ERISA are based on a combination of fixed and variable charges. In addition, the type of plan, number of participants and plan asset size are all fee-determining factors.

Associated persons of Mariner can receive trail fees from the investment companies chosen by the plan sponsor. In such cases, Mariner provides full disclosure to plan sponsors regarding such commissions and fees. The receipt of such fees and their availability from different vendors may create conflicts of interest.

For participants who choose Mariner's management, additional fees may be deducted directly from the participant's account on a quarterly basis. All clients are explained any fee arrangement up front and in detail.

Financial Planning Fees –

Mariner may charge a separate fee for Financial Planning services which fee is determined based on the scope of services provided to the client and can vary based on the complexity of the engagement and client assets.

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

Mariner does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

Item 7 – Types of Clients

Mariner offers investment advisory services to individuals, trusts, retirement plans, corporations and non-profit organizations.

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

Investment Analysis

The completion of the Risk Tolerance Questionnaire as discussed in Item 4 determines a client's objectives, risk tolerance and style of management resulting in a suitable portfolio of investments.

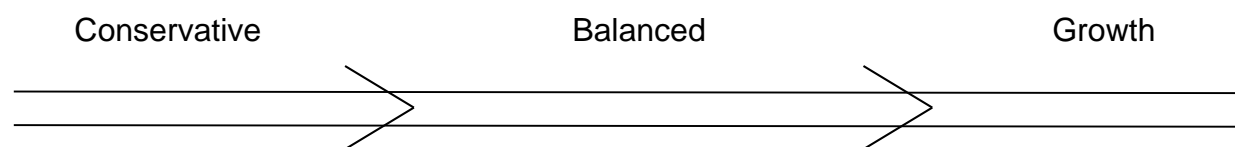
In analyzing types of investments as outlined in Item 4, Mariner utilizes the following methods:

- **Fundamental Analysis** – A method of evaluating a security by attempting to measure its intrinsic value by examining related economic, financial and other qualitative and quantitative factors. Fundamental analysts attempt to study everything that can affect the security's value, including macroeconomic factors (like the overall economy and industry conditions) and individually specific factors (like the financial condition and management of companies, industries, sectors or the economy). The end goal of performing fundamental analysis is to produce a value that an investor can compare with the security's current price in hopes of determining the position to take with that security.
- **Cyclical Analysis** – A form of fundamental analysis involving the process of making investment decisions based on the different stages an industry is in during a given point in time. The type of position taken will depend on specific characteristics, as well as where the industry is in its life cycle.
- **Technical Analysis** – The set of techniques in which charts and graphs are used to plot price movements, volume, and other indicators, in order to anticipate future price movements. Users of these techniques, called chartists or market technicians, believe that past trends in these indicators can be used to extrapolate future trends and that conditions of undervaluation and overvaluation can be identified.
- **Mutual Fund and/or ETF Analysis** – Mariner may utilize mutual funds and ETFs in developing a suitable client portfolio. In addition to the analytical methods above, Mariner reviews the experience, types of holdings, cost of management and risk adjusted performance to determine the suitability of a mutual fund or an ETF.

Mariner utilizes a multitude of sources to support the development of the analytical methods described above in an ongoing effort to study how an investment is likely to perform or its suitability for a particular investment strategy.

Investment Strategies

Recognizing the complexity of the multitude of factors influencing investment strategy, Mariner has attempted to classify investment strategies into three traditional forms.



- Conservative
 - Limited time horizon
 - Current income/cash flow and principal preservation
 - Willingness to accept lower returns for less risk and volatility
 - Investment experience commensurate with goals
- Balanced
 - Intermediate to longer term investment horizon
 - Seeks diversified asset allocation strategy
 - Prefers a balanced approach to risk and protection over growth strategies, especially in declining markets
 - Average investment experience
- Growth
 - Long term investment horizon, generally greater than 10 years
 - Seeks to maximize capital appreciation
 - Comfortable with the volatility that accompanies higher risk assets
 - Average to extensive investment experience

Ongoing management of investment models and portfolios utilize the following strategies:

- Tactical asset allocation is an active management strategy that allows portfolio managers to seek value by rebalancing the percentages of assets held in various categories to take advantage of strong market sectors. Portfolio managers will typically return to the portfolio's original strategic asset mix when the strength of such market sectors is no longer present.
- Dynamic asset allocation is a strategy that involves periodic rebalancing of a portfolio to readjust the portfolio back to its long-term asset targets. This strategy involves reducing positions in the best-performing asset class, while adding to positions in underperforming assets. The general goal of dynamic asset allocation is to reduce fluctuation risks and achieve returns that exceed the target benchmark.

Risk of Loss

Clients must understand that past performance is not indicative of future results. Therefore, current and prospective clients should never assume that future performance of any specific investment or investment strategy will be profitable. Investing in securities (including stocks, mutual funds, ETFs, and bonds) involves risk of loss. Further, depending on the different types of investments there may be varying degrees of risk. Clients and prospective clients should be prepared to bear investment loss including loss of original principal.

Because of the inherent risk of loss associated with investing, Mariner is unable to represent, guarantee, or even imply that its services and methods of analysis can or will predict future results, successfully identify market tops or bottoms, or insulate you from losses due to market corrections or declines. Depending on the different types of investments, there may be certain additional risks associated with investing in securities through Mariner's investment management programs, including:

- *Market Risk:* Either the stock market as a whole, or the value of an individual company, goes down resulting in a decrease in the value of client investments. This is also referred to as systemic risk.
- *Equity (Stock) Market Risk:* Common stocks are susceptible to general stock market fluctuations and to volatile increases and decreases in value as market confidence in and perceptions of their issuers change. If you held common stock, or common stock equivalents, of any given issuer, you would generally be exposed to greater risk than if you held preferred stocks and debt obligations of the issuer.
- *Company Risk:* When investing in stock positions, there is always a certain level of company or industry specific risk that is inherent in each investment. This is also referred to as unsystematic risk and can be reduced through appropriate diversification. There is the risk that the company will perform poorly or have its value reduced based on factors specific to the company or its industry. For example, if a company's employees go on strike or the company receives unfavorable media attention for its actions, the value of the company may be reduced.
- *ETF and Mutual Fund Risk:* When the client is invested in an ETF or mutual fund, it will bear additional expenses based on its pro rata share of the ETF's or mutual fund's operating expenses, including the potential duplication of management fees. The risk of owning an ETF or mutual fund generally reflects the risks of owning the underlying securities the ETF or mutual fund holds. Clients will also incur brokerage costs when purchasing ETFs.
- *Management Risk:* Your investment with Mariner varies with the success and failure of our investment strategies, research, analysis and determination of portfolio services. If our investment strategies do not produce the expected returns, the value of the investment will decrease.
- *Foreign Investment Risk:* Foreign investing involves risks not typically associated with U.S. investments, including adverse fluctuations in foreign currency values, adverse political, social and economic developments, less liquidity, greater volatility, less developed or less efficient trading markets, political instability and differing auditing and legal standards. Investing in emerging markets imposes risks different from, or greater than, risks of investing in foreign developed countries.
- *Foreign Currency Risk:* Currency market risk results from the price movement of foreign currency values in response to shifting market supply and demand. Interest rate risk arises whenever a country changes its stated interest rate target associated with its currency. Country risk arises because virtually every country has interfered with international transactions in its currency. Interference has taken the form of regulation of the local exchange market, restrictions on foreign investment by residents or limits on inflows of investment funds from abroad. Restrictions on the exchange market on or international transactions are intended to affect the level or movement of the exchange rate. This risk could include the country issuing a new currency, effectively making the "old" currency worthless.

- *Interest Rate Risk:* Debt securities have varying levels of sensitivity to changes in interest rates. In general, the price of a debt security may fall when interest rates rise. Securities with longer maturities may be more sensitive to interest rate changes. Certain corporate bonds and mortgage-backed securities may be significantly affected by changes in interest rates. Some mortgage-backed securities may have a structure that makes their reaction to interest rates and other factors difficult to predict, making their value highly volatile. Because zero coupon securities do not make interest payments, they are considered more volatile than bonds making periodic payments. When interest rates rise, zero coupon securities fall more sharply than interest paying bonds. However, zero coupon securities rise more rapidly in value when interest rates drop.
- *Options (Derivatives Risk):* Investment in options may give rise to leverage risk, and can have a significant impact on the accounts' performance. Derivatives are subject to credit risk and liquidity risk.
- *Tax Risk:* The actual tax consequences of investments made by Mariner will vary depending upon an investor's particular circumstances. Accordingly, it is not possible to provide a comprehensive description of the tax risks that could be material to a client. Instead, clients are urged to consult their own legal counsel and tax advisers regarding current or future tax risks. Mariner will not seek a ruling from the United States Internal Revenue Service ("the IRS") with respect to any tax issues affecting the client's portfolio(s).

Each investor is urged to consult its own tax adviser with respect to the U.S. federal, state, local and foreign income tax consequences of investments made by Mariner. The foregoing risk factors do not purport to be a complete explanation of the risks involved when investing with Mariner.

BUSINESS CONTINUITY PLAN

Mariner has a business continuity plan, which provides a course of action for the assessment of a significant business disruption and for the continuation of its business following such an event. The business continuity plan consists of policies and procedures outlining the responsibilities of key personnel in the event of a significant business disruption.

Item 9 – Disciplinary Information

We are required to disclose any legal or disciplinary events that are material to a client's or prospective client's evaluation of our advisory business or the integrity of our management. Our firm has no reportable disciplinary events to disclose.

Item 10 – Other Financial Industry Activities and Affiliations

Mariner is majority owned by MWA-OIC, LLC and four former shareholders of Orizon, LLC. Through these relationships, we have relationships and arrangements that are material to our advisory business or to our clients with related persons that are either an investment adviser, broker-dealer or investment company.

Other Investment Advisers

We are affiliated, and under common control, with other SEC registered investment advisers:

- 440 Investment Group, LLC (“440”) (CRD No. 155399);
- Adams Hall Asset Management L.L.C. (“Adams Hall”) (CRD No. 107355);
- Ascent Investment Partners, LLC (“AIP”) (CRD No. 152533);
- Convergence Investment Partners, LLC (“CIP”) (CRD No. 148472);
- Mariner Real Estate Management, LLC (“MREM”) (CRD No. 159261);
- Mariner Wealth Advisors, LLC (“MWA”) (CRD No. 140195);
- Montage Investments, LLC (“Montage”) (CRD No. 152607);
- Nuance Investments, LLC (“Nuance”) (CRD No. 148534);
- Palmer Square Capital Management LLC (“Palmer Square”) (CRD No. 155697);
- Tactical Investment Managers, LLC (“TIM”) (CRD No. 155912); and,
- Tortoise Capital Advisors, L.L.C. (“TCA”) (CRD No. 123711), respectively.

Broker-Dealer

We are affiliated, and under common control, with Montage Securities, LLC (“Montage Securities”) (CRD No. 154327), a broker/dealer registered with the SEC and various state jurisdictions, member of the Financial Industry Regulatory Authority (FINRA), Securities Investment Protection Corporation (SIPC), and Municipal Securities Rulemaking Board (MSRB). Certain of our personnel are Registered Representatives of Montage Securities, LLC. However, no securities transactions for our clients will be executed through Montage Securities.

Our principal executive officers and other employees are Registered Representatives of Securities Service Network, Inc., (SSN), an unaffiliated registered broker-dealer and FINRA member. These individuals may initiate securities transactions for advisory clients, and SSN may receive separate and customary compensation for this activity, including 12b-1 fees, and a portion of the compensation may be paid to these individuals. These same individuals may be licensed as insurance agents with one or more insurance companies, providing insurance products and may receive separate and customary compensation for products sold. Mariner pays a portion of its advisory fees to SSN.

Investment Company or Other Pooled Investment Vehicles

One of our Advisory Affiliates is the investment adviser to the Convergence Core Plus Fund administered by U.S. Bancorp Fund Services. All relevant information, terms and conditions relative to the Convergence Core Plus Fund may be found in its prospectus, which each investor is required to receive prior to being accepted as an investor.

One of our Advisory Affiliates is the investment adviser to Palmer Square Absolute Return Fund administered by UMB Fund Services. All relevant information, terms and conditions relative to the Absolute Return Fund may be found in its prospectus, which each investor is required to receive prior to being accepted as an investor.

One of our Advisory Affiliates is the investment adviser to Palmer Square SSI Alternative Income Fund administered by UMB Fund Services. All relevant information, terms and conditions relative to the Alternative Income Fund may be found in its prospectus, which each investor is required to receive prior to being accepted as an investor.

One of our Advisory Affiliates is the investment adviser to the Nuance Concentrated Value Fund administered by U.S. Bancorp Fund Services. All relevant information, terms and conditions relative to the Nuance Concentrated Value Fund may be found in its prospectus, which each investor is required to receive prior to being accepted as an investor.

One of our Advisory Affiliates is the investment adviser to the Tortoise MLP & Pipeline Fund administered by U.S. Bancorp Fund Services. All relevant information, terms and conditions relative to the Tortoise MLP & Pipeline Fund may be found in its prospectus, which each investor is required to receive prior to being accepted as an investor.

One of our Advisory Affiliates is the investment manager of Montage Seed Capital, LLC. One of our Advisory Affiliates is the investment manager to the Palmer Square Multi-Strategy Fund L.P. ("PSMSF") and Palmer Square Multi-Strategy Fund, Ltd. ("PSMSF Ltd"), both fund of funds comprised of a diversified portfolio of managers employing a variety of investment strategies; Palmer Square Opportunity Fund L.P. ("PSOF"), a fund of funds designed to capitalize on market opportunities; Colony Multi-Strategy Fund, L.P. ("CMSF"); Palmer Square Emerging Manager Fund L.P. ("PSEMF"); and Palmer Square Emerging Manager Fund II L.P. ("PSEMF II"), (together, the "private funds").

All relevant information, terms and conditions relative to the private funds including the investment objectives and strategies, minimum investments, qualification requirements, suitability, fund expenses, risk factors, and potential conflicts of interest, are set forth in the offering documents (which typically include confidential private offering memorandum, Limited Partnership Agreement, and Subscription Agreement), which each investor is required to receive and/or execute prior to being accepted as an investor.

One of our Affiliates due to common control is the investment manager to Mariner Real Estate Partners ("MREP"), Mariner Real Estate Partners II ("MREP II"), Mariner Real Estate Partners III ("MREP III"), and Mariner Real Estate Partners III A ("MREP III A"), all of which are pooled investment vehicles focusing on real estate investments. MREP and MREP II are closed to any new investors.

Accounting Firm

We are under common control with Mariner Consulting, a Certified Public Accounting Firm located in the same place of business as MWA. We do not render accounting advice or tax preparation services to our clients. Rather, to the extent that a client requires accounting advice and/or tax preparation services, we, if requested, will recommend the services of a Certified Public Accountant, all of which services shall be rendered independent of Mariner

pursuant to a separate agreement between the client and the Certified Public Accountant, referral or otherwise. We shall not receive any of the fees charged by any recommended Certified Public Accountant, referral or otherwise.

Orizon CPAs may recommend Mariner to its clients and Mariner may recommend Orizon CPAs to its clients, but clients are under no obligation to use the services of any affiliated entity.

Law Firm

One of our affiliates, Kirk Lambright, is a licensed practicing attorney with the same place of business as MWA. Mr. Lambright maintains a limited legal practice, separate and distinct from our investment advisory activities. No portion of any other services rendered by us to our clients should be interpreted as legal advice. Rather, clients should defer to the advice of their own attorney.

Insurance Company or Agency

We are under common control with Power Group Company LLC; Mariner Insurance Resources, LLC; Power Group Risk Services; ERS Insurance, Inc.; and ERS Securas LLC; duly licensed insurance agencies. We do not render or recommend insurance advice or services to our clients. Certain of our Advisory Affiliates, in their individual capacities, are licensed insurance agents with these companies and in such capacity may recommend on a fully disclosed basis the purchase of certain insurance-related products.

Real Estate Broker or Dealer

We are under common control with Mariner Real Estate Management, LLC. One of our affiliates, Ryan Anderson, is a licensed real estate broker and owner of Mariner Real Estate Management, LLC. Certain of our Advisory Affiliates may recommend, on a fully-disclosed basis, the purchase of certain real estate properties to our clients.

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

Mariner has adopted a Code of Ethics to govern the conduct of its personnel to ensure that all acts, practices and courses of business engaged in by access persons of Mariner reflect high standards and comply with the requirements of the Investment Advisers Act of 1940 and any and all requirements necessary to comply with state and federal securities laws. An access person is defined as a supervised person who has access to non-public information regarding clients' purchase or sale of securities, is involved in making recommendations to clients, or has access to such recommendations that are non-public.

Among other things, our Code of Ethics also requires the prior approval of any acquisition of securities in a limited offering (e.g., private placement) or an initial public offering. The Code of Ethics is designed to prohibit an access person from misappropriating an investment opportunity from a client for one's personal benefit. Mariner's Code of Ethics further includes the firm's policy prohibiting the use of material non-public information. While we do not believe that we have any particular access to non-public information, all employees are reminded that such information may not be used in a personal or professional capacity.

Mariner's Code of Ethics requires each access person to acknowledge that he or she has received a copy of the Code of Ethics, has read it, understands it, and will fully comply with the Code of Ethics. It requires personal trading reports from all access persons on a quarterly basis, as well as signing an initial and annual securities holding report. The reports are reviewed by the Chief Compliance Officer, and our Code of Ethics also provides for oversight, enforcement and recordkeeping provisions.

The Code of Ethics requires prompt reporting of any violations to the Chief Compliance Officer. Mariner will provide a copy of the Code of Ethics to any client upon request.

In their separate capacity as registered representatives of SSN, or as insurance agents, individuals will be able to implement recommended securities or insurance transactions for advisory clients for separate and typical compensation. Advisory clients of Mariner are under no obligation to use these individuals for any insurance product purchases.

As disclosed in the preceding section of this Brochure (Item 10), related persons of our firm are separately registered as securities representatives of a broker-dealer, and licensed as an insurance agent of various insurance companies. Please refer to Item 10 for a detailed explanation of these relationships and important conflict of interest disclosures.

Item 12 – Brokerage Practices

Mariner requires that clients provide us with written authority to select the broker-dealer to use and the commission costs that will be charged to our clients for these transactions. Clients must include any limitations on this discretionary authority in this written authority statement. Clients may change/amend these limitations as required. Such amendments must be provided to us in writing.

Best Execution Policy: Mariner's general guiding principal for brokerage determinations is to seek "best execution" for client trades, which is a combination of price, execution and other factors. In determining brokerage, Mariner considers, among other things, security-specific issues, market conditions at the times that orders are placed as well as while the transactions are being executed, and commissions. Generally, Mariner will trade on behalf of the client with the firm that maintains custody of the client's account, except in situations in which our experience or pre-trade analysis suggests that there may be an advantage to executing the trade with another broker-dealer (e.g. large block orders).

Policy regarding block trading: Mariner will block trades where possible and when advantageous to clients. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple clients' accounts so long as transaction costs are shared equally and on a pro-rated basis between all accounts included in any such block. Block trading allows Mariner to execute equity trades in a timelier, more equitable manner, at an average share price, which may reduce overall expenses to clients. Mariner will typically aggregate trades among clients whose accounts can be traded at a given broker.

Generally, since February 1, 2011, Mariner recommends that its investment advisory clients establish brokerage accounts with the Institutional Division of Charles Schwab & Co., Inc. ("Schwab"). Schwab is a registered broker-dealer, Member SIPC, and maintains custody of client's assets. Mariner is independently owned and operated and not affiliated with Schwab. There are times when a client wishes to use a different custodian or broker-dealer other than Schwab. In some cases, we can accommodate the client's request.

Schwab provides Mariner with access to its institutional trading and custody services, which are typically not available to retail investors. These services generally are available to independent investment advisors on an unsolicited basis and are not otherwise contingent upon Mariner's committing to Schwab any specific amount of business (assets in custody or trading). The services of may include brokerage, 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.

Client accounts custodied at Schwab are not generally charged a separate fee for custody of the assets. Instead, Schwab is compensated by account holders through commissions on a per transaction basis or asset-based fees for securities trades that are executed through Schwab or that settle into Schwab accounts. Mariner does not share or participate in the fees or revenues charged to clients by Schwab. Mariner's advisory and consulting fees are in addition to these fees mentioned above.

As a fiduciary, Mariner endeavors to act in its clients' best interests. Mariner's recommendation that clients maintain their assets in accounts at Schwab may be based on the benefit to Mariner of the availability of some of the foregoing products and services and not solely on the nature, cost or quality of custody and brokerage services provided by Schwab, which may create a potential conflict of interest.

In certain instances, Mariner may utilize a prime brokerage agreement with another broker-dealer. Under this relationship, Mariner may trade directly with the firm that maintains custody of the client's account or with another broker-dealer. Should Mariner elect to use another broker-dealer, the client will pay a transaction fee to the custodial firm in addition to the commission charged by the executing broker-dealer. Mariner will use other brokers only when doing so is consistent with our duty of best execution.

Item 13 – Review of Accounts

Each Wealth Adviser is responsible for completing a Client Risk Tolerance questionnaire for each new client in addition to a New Account Suitability Form required by Securities Service Network, Inc., our broker/dealer. It is the responsibility of the Wealth Adviser to “know the client” and be able to direct the client to the appropriate investment strategy.

Wealth Advisers should meet with each client at least annually to review account performance and to determine if any changes in client’s objectives warrants changes in investment strategy. This will be determined by updating the Client Risk Tolerance questionnaire. If any significant objectives change between annual meetings, clients should contact the Wealth Adviser to discuss these changes promptly.

Account review is facilitated through an arrangement with Orion Adviser Services, LLC (“Orion”). We have engaged Orion to provide a “back office” system which enables us to gather and aggregate client data from multiple platforms and providers, maintain portfolios, review accounts for variances, analyze account performance, generate quarterly statements and other reports, facilitate the trading of client accounts and make information available on-line via the internet, in a secure manner, to clients, Wealth Advisers and our broker/dealer. Quarterly reports are provided to clients electronically or by mail. In addition, clients will receive monthly or quarterly reports and transaction confirmations from the custodian.

PENSION AND 401(k) SERVICES

Reviews will generally occur on an annual basis. These accounts are reviewed by a licensed Mariner adviser.

Participants will receive quarterly statements from the provider.

FINANCIAL PLANNING SERVICES

While reviews may occur at different stages depending on the nature and terms of the specific engagement, typically no formal reviews will be conducted for Financial Planning clients unless specifically contracted.

Financial Planning clients will receive a completed financial plan. Additional reports will not typically be provided unless otherwise contracted for.

Item 14 – Client Referrals and Other Compensation

Some of our employees, who are also registered representatives of a broker/dealer, may receive, from time to time, 12b-1 fees from mutual funds and/or variable annuities in which they have placed client funds.

We currently have an arrangement with one Investment Adviser Representative, also a registered representative of a broker/dealer, who has offered our services to one client. We pay a portion of our advisory fee to this “solicitor’s” broker/dealer.

If a client is introduced to us, we may pay that introducer a referral fee in accordance with the requirements of Rule 206(4)-3 of the Advisers Act and any corresponding state securities law requirements. Any such referral fee shall be paid solely from our investment management fee, and shall not result in any additional charge to the client. If the client is introduced to us by an unaffiliated solicitor, the client will be given, prior to or at the time of entering into any advisory contract with the client, (1) a copy of our written disclosure statement which meets the requirements of Rule 204-3 of the Advisers Act, and (2) a copy of the solicitor's disclosure statement containing the terms and conditions of the solicitation arrangement including compensation. Any affiliated solicitor of ours shall disclose the nature of his/her relationship to prospective clients at the time of the solicitation and will provide all prospective clients with a copy of our written disclosure statement at the time of the solicitation.

We may recommend affiliate investment advisers’ services to manage a portion of a client’s assets. Any of the clients recommended by us may incur additional fees. Clients are advised that a conflict of interest exists to the extent we recommend affiliate investment adviser services.

We may have clients that are solicited to invest in investment-related limited partnerships or limited liability companies for which one of our related persons serves as the general partner or manager.

Item 15 – Custody

Mariner is deemed to have custody of client funds and securities under Rule 206(4)-2 due to its ability to debit fees directly from client accounts. A qualified custodian, as discussed in Item 12, maintains custody of your assets. Your custodian will provide you a statement monthly or quarterly of account detail, balances and activity for the period. These statements are available electronically or by mail. Clients should review the statements in detail to verify accuracy.

In addition to the periodic statements that clients receive directly from their custodians, Mariner also sends account statements directly to our clients on a quarterly basis. We urge our clients to carefully compare the information provided on these statements to ensure that all account transactions, holdings and values are correct and notify Mariner of any discrepancies. Mariner utilizes data from the custodian to complete its quarterly statements.

Item 16 – Investment Discretion

We usually receive discretionary authority from the client at the outset of an advisory relationship to select the identity and amount of securities to be bought or sold. In all cases, however, such discretion is to be exercised in a manner consistent with the stated investment objectives for the particular client account.

When selecting securities and determining amounts, we observe the investment policies, limitations and restrictions of the clients for which we advise.

Investment guidelines and restrictions must be provided to us in writing.

Item 17 – Voting Client Securities

Mariner does not receive proxies for client accounts. Proxies for securities held in client accounts will be sent directly to the client by the custodian.

Item 18 – Financial Information

Under no circumstances do we require or solicit payment of fees in excess of \$1200 per client more than six months in advance of services rendered. Therefore, we are not required to include a financial statement. As an advisory firm that maintains discretionary authority for client accounts, we are also required to disclose any financial condition that is reasonably likely to impair our ability to meet our contractual obligations. Mariner has no additional financial circumstances to report. Mariner has not been the subject of a bankruptcy petition at any time during the past ten years.

Part 2B: Supplement Brochures

Daniel A. Tucker, CFP®*

Born: 1963

Educational Background and Business Experience

A.A.S. Computer Programming, Des Moines Area Community College (1985)

Ankeny, Iowa

Certified Financial Planner® (2006)*

Mariner Wealth Advisors, LLC, <i>President and Senior Wealth Advisor</i>	7/12 – Present
Orizon Investment Counsel, LLC, <i>President</i>	1/07 – 7/12
Orizon Investment Counsel, LLC, <i>Vice President</i>	6/00 – 1/07
Orizon Group, LLC, <i>Shareholder/Partner</i>	6/00 – Present

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

Other Business Activities

Daniel A. Tucker is a licensed securities representative and may affect transactions through Securities Service Network for advisory clients and non-advisory clients of Mariner Wealth Advisors, LLC and receive compensation. These orders are incidental to the management and consulting services and are not expected to conflict with portfolio management practices.

We recognize this potential conflict. All managed clients have an asset allocation guideline determined by their time horizon, tolerance for risk, and other factors. Trading decisions are made based on the appropriateness of each security for the portfolio regardless of custodian.

Additional Compensation

Daniel A. Tucker does not receive additional economic benefit from anyone outside the client relationship except for the commissions earned from Securities Service Network as outlined in the Outside Business Activities section.

Supervision

Daniel A. Tucker is the president of Mariner Wealth Advisors, LLC. His advisory activities are supervised by the Investment Committee. Cheryl Vohland, Mariner's Chief Compliance Officer, is responsible for reporting Daniel A. Tucker's advisory activities. Cheryl Vohland can be reached at (913) 647-9700.

Mariner Wealth Advisors, LLC monitors the advice provided by Daniel A. Tucker by:

Reviewing documents sent to clients in advance

Retaining copies of these documents

All emails are saved and can be retrieved for review by compliance

Stacie A. Neussendorfer, JD, CFP®*

Born: 1968

Educational Background and Business Experience

Juris Doctor, University of Nebraska College of Law (1995)

B.A. Political Science, University of Nebraska (1991)

Lincoln, Nebraska

Certified Financial Planner® (2006)*

Mariner Wealth Advisors, LLC, <i>Wealth Advisor</i>	7/12 – Present
Orizon Investment Counsel, LLC, <i>Wealth Advisor</i>	4/08 – 7/12
Orizon Investment Counsel, LLC, <i>Director of Financial Planning</i>	4/08 – 7/10
Great Western Bank, <i>Trust Officer</i>	5/00 – 4/08

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

Other Business Activities

Stacie A. Neussendorfer is a licensed securities representative and may affect transactions through Securities Service Network for advisory clients and non-advisory clients of Mariner Wealth Advisors, LLC and receive compensation. These orders are incidental to the management and consulting services and are not expected to conflict with portfolio management practices.

We recognize this potential conflict. All managed clients have an asset allocation guideline determined by their time horizon, tolerance for risk, and other factors. Trading decisions are made based on the appropriateness of each security for the portfolio regardless of custodian.

Additional Compensation

Stacie A. Neussendorfer does not receive additional economic benefit from anyone outside the client relationship except for the commissions earned from Securities Service Network, Inc. as outlined in the Outside Business Activities section.

Supervision

Stacie A. Neussendorfer's advisory activities are supervised by Daniel A. Tucker, President of Mariner, and Cheryl Vohland, Chief Compliance Officer of Mariner. Cheryl Vohland can be reached at (913) 647-9700.

Mariner Wealth Advisors, LLC monitors the advice provided by Stacie A. Neussendorfer by:

Reviewing documents sent to clients in advance

Retaining copies of these documents

All emails are saved and can be retrieved for review by compliance

Randal R. Korth

Born: 1954

Educational Background and Business Experience

B.S. Business Administration, University of Nebraska at Omaha (1978)
Omaha, Nebraska

Mariner Wealth Advisors, LLC, <i>Chief Investment Officer and Senior Wealth Advisor</i>	7/12 – Present
Orizon Investment Counsel, LLC, <i>Chief Investment Officer</i>	9/10 – 7/12
Orizon Investment Counsel, LLC, <i>Wealth Advisor</i>	1/10 – 7/12
Immanuel Health Systems, <i>Chief Financial Officer</i>	1986 – 2009
Immanuel Health Systems, <i>President</i>	1/04 – 1/09
Immanuel Health Systems, <i>Interim Chief Executive Officer</i>	12/06 – 1/09

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

Other Business Activities

Randy Korth is a licensed securities representative and may affect transactions through Securities Service Network for advisory clients and non-advisory clients of Mariner Wealth Advisors, LLC and receive compensation. These orders are incidental to the management and consulting services and are not expected to conflict with portfolio management practices.

We recognize this potential conflict. All managed clients have an asset allocation guideline determined by their time horizon, tolerance for risk, and other factors. Trading decisions are made based on the appropriateness of each security for the portfolio regardless of custodian.

Additional Compensation

Randy Korth does not receive additional economic benefit from anyone outside the client relationship except for the commissions earned from Securities Service Network as outlined in the Outside Business Activities section.

Supervision

Randy Korth's advisory activities are supervised by Daniel A. Tucker, President of Mariner, and Cheryl Vohland, Chief Compliance Officer of Mariner. Cheryl Vohland can be reached at (913) 647-9700.

Mariner Wealth Advisors, LLC monitors the advice provided by Randy Korth by:

Reviewing documents sent to clients in advance

Retaining copies of these documents

All emails are saved and can be retrieved for review by compliance

Gary W. Lanzen, CFP®*

Born: 1954

Educational Background and Business Experience

B.S. Education, Faith Baptist College (1977)

Ankeny, Iowa

M.A. Administration, Grace Theological Seminary (1982)

Winona Lake, Indiana

Certified Financial Planner®

Mariner Wealth Advisors, LLC, <i>Senior Wealth Advisor</i>	7/12 – Present
Orizon Investment Counsel, LLC, <i>Senior Investment Analyst</i>	6/10 – 7/12
Orizon Investment Counsel, LLC, <i>President</i>	6/20 – 1/07
Orizon Investment Counsel, LLC, <i>Chief Investment Officer</i>	6/00 – 6/10
Orizon Group, LLC, <i>Shareholder/Partner</i>	6/00 – 6/06

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

Other Business Activities

Gary W. Lanzen is a licensed securities representative and may affect transactions through Securities Service Network for advisory clients and non-advisory clients of Mariner Wealth Advisors, LLC and receive compensation. These orders are incidental to the management and consulting services and are not expected to conflict with portfolio management practices.

We recognize this potential conflict. All managed clients have an asset allocation guideline determined by their time horizon, tolerance for risk, and other factors. Trading decisions are made based on the appropriateness of each security for the portfolio regardless of custodian.

Additional Compensation

Gary W. Lanzen does not receive additional economic benefit from anyone outside the client relationship except for the commissions earned from Securities Service Network as outlined in the Outside Business Activities section.

Supervision

Gary W. Lanzen's advisory activities are supervised by Daniel A. Tucker, President of Mariner, and Cheryl Vohland, Chief Compliance Officer of Mariner. Cheryl Vohland can be reached at (913) 647-9700.

Mariner Wealth Advisors, LLC monitors the advice provided by Gary W. Lanzen by:

Reviewing documents sent to clients in advance

Retaining copies of these documents

All emails are saved and can be retrieved for review by compliance

Thomas C. Denham, CPA**

Born: 1953

Educational Background and Business Experience

A.A. Business, Iowa Western Community College (1974)

Council Bluffs, Iowa

B.S. Health and Physical Education, Indiana State University (1977)

Terre Haute, Indiana

Certified Public Accountant (1982)

Mariner Wealth Advisors, LLC, *Senior Wealth Advisor* 7/12 – Present

Orizon Investment Counsel, LLC, *Wealth Advisor* 6/00 – 7/12

Orizon Group, LLC, *Shareholder/Partner* 6/00 - Present

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

Other Business Activities

Orizon CPAs LLC and Orizon Consulting LLC involve tax consulting and financial planning. Both of these activities do not involve a substantial amount of Tom's time. Any future activities must be approved by compliance and considered for client accounts. This does not create a material conflict of interest as Tom's time is substantially devoted to clients and prospects of Mariner Wealth Advisors, LLC and the income received does not create a conflict with the investment strategy and investment goals of clients. Tom Denham is a licensed securities representative and may affect transactions through Securities Service Network for advisory clients and non-advisory clients of Mariner Wealth Advisors, LLC and receive compensation. These orders are incidental to the management and consulting services and are not expected to conflict with portfolio management practices.

We recognize this potential conflict. All managed clients have an asset allocation guideline determined by their time horizon, tolerance for risk, and other factors. Trading decisions are made based on the appropriateness of each security for the portfolio regardless of custodian.

Additional Compensation

Thomas C. Denham does not receive additional economic benefit from anyone outside the client relationship except for the commissions earned from Securities Service Network as outlined in the Outside Business Activities section.

Supervision

Thomas C. Denham's advisory activities are supervised by Daniel A. Tucker, President of Mariner, and Cheryl Vohland, Chief Compliance Officer of Mariner. Cheryl Vohland can be reached at (913) 647-9700.

Mariner Wealth Advisors, LLC monitors the advice provided by Thomas C. Denham by:

Reviewing documents sent to clients in advance

Retaining copies of these documents

All emails are saved and can be retrieved for review by compliance

***Certified Financial Planner® (CFP®)** The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Candidates must complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign University). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning. Candidates are now required to have a working knowledge of debt management, planning liability, emergency fund reserves, and statistical modeling. It may take from 2 to 3 years of study to complete these programs.
- Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

For additional information on the Certified Financial Planner™, CFP® designation you may visit the website of the Certified Financial Planner Board of Standards Inc. at CFA Institutes website at www.cffp.edu.

****Certified Public Accountant (CPA)** is the statutory title of qualified accountants in the United States who have passed the Uniform Certified Public Accountant Examination and have met additional state education and experience requirements for certification as a CPA. The primary functions CPA fulfill, relate to assurance services, or public accounting. In assurance services, also known as financial audit services, CPAs attest to the reasonableness of disclosures, the freedom from material misstatement, and the adherence to the applicable generally accepted accounting principles (GAAP) in financial statements.

In order to become a CPA in the United States, the candidate must sit for and pass the Uniform Certified Public Accountant Examination (Uniform CPA Exam), which is set by the American Institute of Certified Public Accountants and administered by the National Association of State Boards of Accountancy. Eligibility to sit for the Uniform CPA Exam is determined by individual State Boards of Accountancy. Typically the requirement is a U.S. bachelor's degree which includes a minimum number of qualifying credit hours in accounting and business administration with an additional 1 year study. This requirement for 5 years study is known as the "150 hour rule" and has been adopted by the majority of state boards, although there are still some exceptions. This requirement mandating 150 hours of study has been adopted by 45 states.

MARINER WEALTH ADVISORS, LLC PRIVACY POLICY

FACTS	WHAT DOES MARINER WEALTH ADVISORS, LLC DO WITH YOUR PERSONAL INFORMATION?		
WHY?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.		
What?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <p>■ Name; ■ Social Security number; ■ Address; ■ Assets; ■ Income; ■ Account Balances; ■ Account Transactions; ■ Transaction History; ■ Transaction or Loss History; ■ Investment Experience; ■ Risk Tolerance; ■ Retirement Assets; ■ Checking Account Information; ■ Employment Information; ■ Wire Transfer Instructions.</p> <p>If you decide at some point to either terminate our services or become an inactive customer, we will continue to adhere to our privacy policy, as may be amended from time to time.</p>		
How?	All financial companies need to share clients’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients’ personal information; the reasons Mariner Wealth Advisors, LLC (“MWA”) chooses to share; and whether you can limit this sharing.		
Reasons we can share your personal information	Does Mariner Wealth Advisors, LLC share?	Can you limit this sharing?	
For our everyday business purposes—such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes. MWA may share personal information described above for business purposes with a non-affiliated third party if the entity is under contract to perform transaction processing or servicing on behalf of MWA and otherwise as permitted by law. Any such contract entered by MWA will include provisions designed to ensure that the third party will uphold and maintain privacy standards when handling personal information. MWA may also disclose personal information to regulatory authorities as required by applicable law.	No.	
For our marketing purposes—to offer our products and services to you	Yes. MWA shares personal information for our marketing purposes as permitted by law.	Yes.	
For joint marketing with other financial companies	No.	We don’t share.	
For our affiliates’ everyday business purposes—information about your transactions and experiences	Yes. MWA shares personal information with affiliates as permitted by law.	No.	
For our affiliates’ everyday business purposes—information about your creditworthiness	No.	We don’t share.	
For nonaffiliates to market to you	No.	We don’t share.	
QUESTIONS?	Call (913) 647-9700 or email compliance@mariner-holdings.com		

Who is providing this notice?	Mariner Wealth Advisors, LLC
How does Mariner Wealth Advisors, LLC protect my personal information?	<p>To protect your nonpublic personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>MWA limits access to personal information to individuals who need to know that information in order to service your account.</p>
How does Mariner Wealth Advisors, LLC collect my personal information?	<p>We collect your personal information, for example, when you</p> <p>Complete account paperwork; ■ Seek advice about your investments; ■ Direct us to buy securities; ■ Direct us to sell your securities; ■ Enter into an investment advisory contract; ■ Give us your contact information.</p> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> ■ sharing for affiliates' everyday business purposes—information about your creditworthiness ■ affiliates from using your information to market to you ■ sharing for non-affiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing.</p>

Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <p>■ MWA may share personal information described above for business purposes as permitted by law with our affiliates. Our affiliates include financial intermediaries such as investment advisers. MWA does not share confidential information with affiliates so that they can market their services or products to you.</p>
Non-affiliates	<p>Companies not related by common ownership or control. They can be financial and non-financial companies.</p> <p>■ MWA may share personal information described above for business purposes with non-affiliated third parties performing transaction processing or servicing on behalf of MWA and otherwise as permitted by law. Such companies may include broker-dealers, banks, investment advisers, mutual fund companies and insurance companies. MWA may also share personal information with parties who provide technical support for our hardware and software systems and our legal and accounting professionals. MWA does not share with non-affiliates so that they can market their services or products to you.</p>
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <p>■ MWA does not jointly market with nonaffiliated financial companies.</p>